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1 CONTACT DETAILS

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Web link to published version of organisation's HR Strategy and Action Plan:	http://www.fsjd.org/en/hr-excellence-in-research_139362

2 ORGANISATIONAL INFORMATION

2.1 Organisational profile

The Fundació Sant Joan de Déu (FSJD) is based in Barcelona, Spain and was created in 2002 to provide a framework for the research activity which is carried out in the biomedical and social spheres at Hospital Sant Joan de Déu in Esplugues, at Parc Sanitari Sant Joan de Déu in Sant Boi de Llobregat, and in other healthcare centres of the Hospitaller Order of St. John of God – Aragon-San Rafael Province. The consolidated research areas at Sant Joan de Déu are grouped into the Institute of Research Sant Joan de Déu, which is managed by FSJD.

The Hospitaller Order of St. John of God is an international non-profit organisation that is devoted to sheltering, accompanying and promoting the health of the most vulnerable persons. Its origins date back to the 16th century and it is now present in 50 countries around the world. It is formed by 1,230 brothers, over 40,000 co-workers (professionals and volunteers) and over 300,000 benefactors.

FSJD's fundamental aim is to contribute to the improvement of people's health and welfare by fostering, supporting and coordinating research and innovation. FSJD strives to achieve efficiency and to strengthen networked activities while always bearing closely in mind its institutional values and ethical commitment.

The scope of FSJD's research is organised around: Child and human development, Mental Health, Ageing and other Social spheres.

FSJD's research is primarily focused within the fields of maternal and child's health and mental health, and covers seven areas of knowledge which are organised into:

Vertical research areas:

1. Paediatric neuroscience
2. Molecular and cellular biology of developmental tumours
3. Adult-age disorders originated in the foetal period or in the early years of life
4. Infectious diseases and systemic inflammatory response in paediatrics
5. Foetal/Paediatric Diseases and environment, metabolic and genetic factors
6. Mental health

Horizontal Research Areas:

1. Genetic, molecular biology and gene therapy
2. Neuropsychology, cognitive and development neuroscience
3. Biomedical engineering
4. Epidemiology

Moreover, FSJD have other research groups working in other spheres, notably including that of socially vulnerable populations.

2.2 Key figures for the organisation

The following table shows the main indicators regarding human resources and main research funding sources. The scope of the application of HR policy of the FSJD is focused on the researchers hired by the institution, and on the IP in charge of these researchers.

Table 1 Key Figures

Staff & Students	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	122
Of whom are international (i.e. foreign nationality)	19
Of whom are externally funded (i.e. for whom the organisation is host organisation)	107
Of whom are women	86
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	35
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	58
Of whom are stage R1 = in most organisations corresponding with doctoral level	29
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	160.
Research Funding (figures for most recent fiscal year)	6.937.654€
Total annual organisational budget	8.472.316€
Annual organisational direct government funding (designated for research)	180.332€
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	2.432.847€
Annual funding from private, non-government sources, designated for research	4.504.807€

3 NARRATIVE

The next panel synthesizes the diagnostic, identifying main strengths and weaknesses and the degree of implementation of the 40 C&C principles.

Table 2: SWOT analysis

STRENGTHS	WEAKNESSES
Ethical and Professional Aspect	
<ul style="list-style-type: none"> • Research groups, structures and resources which are already outstanding and consolidated • High translational research • Long trajectory on collaborative research with other national and international entities • Strong governance in the Institution • Involvement of the population in research activities 	<ul style="list-style-type: none"> • Lack of strategies to promote the generation of synergies that favour research.
Recruitment and Selection	
<ul style="list-style-type: none"> • Good results in talent attraction by the competitive calls “Ramón y Cajal” and “Miguel Servet”. • The recruitment of researchers belonging to disadvantaged groups is facilitated, according to the present national legislation. • The HR Department of the Institution supports the recruitment process in the management of human resources. • In some cases, open calls for recruitment of researchers were published on 40 national and international scientific job websites. 	<ul style="list-style-type: none"> • Insufficient human resources in R&D (including technical and management profiles) • No defined policy regarding the evaluation and judgement of: post-Doctoral appointments, seniority, recognition of mobility, variation of the chronological order of the cv, merits, transparency, or selection processes were written. • No selection committees were used in the recruitment process of researchers funded by research projects. • There are no guidelines or recommendations, nor standardised processes for the selection of research personnel. • There is no standard procedure for merit evaluation for the recruitment of researchers funded by research projects. • There is not a standard procedure for hiring researchers.
Working Conditions and Social Security	
<ul style="list-style-type: none"> • The recognition of the profession is enforced at national level by Law 14/2011. • There is a continuous effort, dependent on funding, to renew the research facilities. Furthermore, access to facilities, equipment, services and methodological support is available. • There is a security commission in which all the departments are represented, in addition to consensus risk protection protocols. • The Institution participates in several research networks. • The whole Institution provides the flexibility deemed for successful research performance in accordance with the existing legislation. 	<ul style="list-style-type: none"> • Although researchers and Hospital temporary staff were trained in the Institution, no resources (lab space and training headcount) were allocated to this activity, and this activity is not properly recognised. • Although the good scientific practices manual recommends certain rules for co-authorship, there is no person or institution responsible for mediating and solving co-authorship conflicts. • Differences in the salary perceived by researchers of the same category were observed. • No official certification is provided for the training activities of the researchers. • Old office facilities were not well-adapted to present research needs.

<ul style="list-style-type: none"> • The Institution is committed to improving the stability of employment conditions for researchers, but this fact depends mainly on funding. • All salaries of the Institution were above the minimum amount established at the collective labour agreement of Universities and Research Centres. In some circumstances, salaries were improved by headcount money from the competitive and non-competitive projects. • There is not a major concern about gender inequalities at the Institution. • The Institution offers information about funding for mobility. Also, administrative instruments for the portability of grants and social security provisions are implemented. • Existence of a good practice code, a co-authorship policy and a Research Committee. The IP regulation is currently under drafting. 	<ul style="list-style-type: none"> • The composition of the research committee only includes senior researchers. • The Institution does not have defined proper procedures to favour mobility of researchers, or access to career advice. • The Institution has not implemented a mentor to support and guide the personal and professional development of researchers. • The PI doesn't always consider mobility as an important action in the training plans for junior scientists. There is a need to establish a procedure so that PI includes mobility in the training plans for junior scientists. • There is not a gender balance policy at the Institution. • Although there is a regulation concerning the stabilisation of employment for the researchers granted by RyC and Miguel de Servet grants, it could be improved. • There is not an impartial ombudsman to deal with complaints or appeals of researchers at the Institution.
Training and Development	
<ul style="list-style-type: none"> • The code of good research practices establishes in section 7.1 that the PI should provide the adequate measures to properly store the documentation or biological and chemical material for its preservation and use. • The Institution is already developing a training programme for researchers. 	<ul style="list-style-type: none"> • The notebooks or other documents related to research should be registered. • There is no written recommendation for the management of scientific results or human resources management for the senior researchers. • No guidelines were written concerning the proper supervision of R1 and R2 researchers recruited for the completion of a research project. • There is no training course schedule for the researchers, with a few exceptions. • There is neither a plan for professional development, nor a categorisation of the research career, establishing the rights and duties of each professional degree, at the Institution.

4 ACTIONS

4.1 Actions to be undertaken in this HR strategy

The detected Gaps were grouped into a number of areas of improvement that were the basis for the subsequent design of the Action Plan; these **areas of improvement** are:

1. Definition of the **researcher's career plan**:
 - FSJD does not have a research career plan that categorises the minimum criteria required to access each of the research positions defined at the Institution, associating the contractual modalities with funding mechanisms.
 - The limitations on the recruitment procedures limit the opportunities for career development.
 - The current “professional groups” do not correspond with the R scale and in many cases, do not reflect the postdoctoral functional profile and the degree of evolution throughout their research career.
2. **Professionalise the recruitment** and adapting processes to the OTM-R
 - Counselling and employment advisory services are missing in the organisation.
 - It is necessary to improve the information on the selection processes. Researchers consider that selection processes are not internationally comparable.
 - Committees are not multidisciplinary and the experience of their members is not sufficiently valued.
 - Selection processes need to address OTM_R criteria, especially to strengthen the comparability to attract international talent.
3. Improving **training**
 - There is no Continuous Training Program for researchers, although there is a training offer.
 - Transversal competencies are not identified in association with each stage of the research, and in many cases, are not certified.
 - Continuous training actions are not oriented towards improving the employability of researchers outside the scientific or academic arena.
4. Defining new **policy for PhDs**
 - Although the regulatory, organisational and procedural scheme regarding the monitoring of PhD students is settled, so far doctoral programmes have operated autonomously. The new organisational model is an opportunity to improve monitoring processes and to spread good practices in issues of direction of theses.
5. **Spreading information**
 - Although there are organisational systems, procedures and regulatory framework to meet some of the principles of the C&C, the information is not well-structured or easily accessible to researchers. More effort on dissemination is needed.
6. Other questions under the **organisational** umbrella

- Researchers and managers feel that the dissemination of the results of their research to the non-specialist public is not handled properly. Moreover, the exploitation of their research can be improved.

The HRS4R processes have helped to identify and prioritise actions focused on those underdeveloped areas, according to **the consolidation of the European research environment for improving** management and development of research talent.

The next table shows the list of actions to be undertaken in this HR strategy.

The next table presents a proposal of the actions to be developed by FJSD to fill the gaps encountered in the analysis of the current implementation of the C&C criteria. The table includes: i) a short description of the action, ii) the chronogram and the estimated implementation time, iii) the person in charge (in bold) and the supporting team (in parentheses), and iv) the performance indicators to monitor its application.

All the new contents will be generated in online version and in English and in Spanish or/and Catalan, briefly indicated in Table 3 as "multilingual".

- **RAI**: Dr. Rafael Artuch Iriberry, President of the Research Committee of FSJD Comité Científico del Institute of Research Sant Joan de Déu, managed by FSJD.
- **RAO**: Ms. Roser Arnalte Olloquequi, Research Management Manager at FSJD.
- **EBA**: Mr. Emili Bargalló Angerri, Director of FSJD.
- **CGM**: Ms. Clara Goula Mallofrè, Financial and Human Resources Manager at FSJD.
- **JMH**: Dr. Josep Maria Haro Abad, Director of Research, Teaching and Innovation Area at Parc Sanitari Sant Joan de Déu (PSSJD).
- **AMM**: Ms. Ana Maria Merino Márquez, Communication, Knowledge Management and Library Manager at FSJD.
- **JPP**: Dr. Jaume Pérez Payarols, Director of Research, Teaching and Innovation Area at Hospital Sant Joan de Déu (HSJD)
- **FPM**: Dr. Francesc Palau Martínez Director of the Institute of Research Sant Joan de Déu, managed by FSJD, and Head of Genetic and Molecular Medicine.
- **JR**: Ms. Julia Ribot, Scientific Manager of the Institute of Research Sant Joan de Déu.
- **ATR**: Arian Tarbal Roquer, staff member in the Innovation Department at Sant Joan de Déu Hospital).
- **IWG**: researchers from the Implementation Working group.

Table 3 Actions

	Nº	C&C	TITLE ACTION	DESCRIPTION	CHRONOGRAM	RESPONSIBLE UNIT	INDICATORS / TARGET
Organisation	A1	ALL	Strengthen awareness, commitment and implementation of the Charter & Code criteria.	<p>The goal of this action is to attain an increasing involvement of the C&C criteria in the research community and in everyday research practices.</p> <p>Include the actions defined in this Action Plan in the new strategic plan of the FSJD.</p> <p>Prepare <u>multilingual</u> online material explaining the advantages of the application of the C&C principles and updates of the HRS4R web page, distribute it among all the researchers and incorporate this information into the Welcome Manual for newcomers.</p> <p>Schedule periodical briefings in departments to influence the dissemination of the C&C key lessons to research staff.</p> <p>Schedule periodical briefings to the institution's management committees and boards to introduce the OTM-R and C&C key lessons to the administration staff.</p> <p>Incorporation of new researchers that wish to join the Implementation Working Group (IWG) for specific working teams and to become "Delegates for HRS4R".</p> <p>HR managers will attend workshops organised by European institutions to share good practices in the implementation of C&C actions.</p>	Q1-Q3 2018	EBA (AMM + CGM)	<ul style="list-style-type: none"> • Online documents, available on: HRS4R web page and Welcome Manual. • Periodical briefings celebrated. • New members at the Implementation Working Group • HR managers attending European workshops. • Strategic Plan 2018-2020 including HR-Action Plan's actions.

Researchers Career	A2	11, 16, 17, 18, 19, 20, 21, 23, 25, 26, 28, 29, 30, 33, 37, 38, 39	Design and implement the FSJD's Researchers' Career Plan .	<p>The Researchers' Career Plan will define clear research career pathways, according to the same standards of the European R scale (https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors), and should include information on: revised salary scales, career stabilisation plan, and the functions and responsibilities derived from the positions. Also, it will emphasise the positive value of intersectoral or transdisciplinary mobility, and the participation in research networks.</p> <p>Additionally, it will clearly describe the minimum qualifications needed to enable the promotion to a higher research step.</p> <p>The institution has its own stabilisation policy for "Miguel de Servet" and "Ramon y Cajal" researchers, if they meet the recruiting criteria, and funding is provided. For the remaining researchers, mentoring in professional pathways or alternatives to research will be provided.</p> <p>For young researchers: Give support to train and develop the next generation of research leaders, support excellent individuals at critical points of their careers and help address research skills priorities identified with partners.</p>	Q2-Q3 2018	EBA (CGM + FPM + JPP + RAO + JMH + IWG)	<ul style="list-style-type: none"> • Researchers' Career Plan defined and published on line and <u>multilingual</u>. • Researchers' Career Plan available online and in the Welcome Manual. • Guide for training junior scientists published online and <u>multilingual</u>.
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A3	11, 16, 17, 18, 19, 20, 23, 28, 29, 33, 36	Design and implement the FSJD's Career Evaluation Process.	<p>This process will be aligned with the Research Career Plan and should clearly establish and measure the impact of positive criteria for the performance evaluation, such as: performance of training courses, mobility, direction of Ph.D. theses, mentorship or junior scientist training, etc.</p> <p>In addition, it should define the guidelines to the selection of independent evaluation committees. If necessary, the researchers will be assisted by the HR Department.</p> <p>The research performance will be key for the assignation of lab space.</p> <p>The Career Evaluation Process should be written in a on line and <u>multilingual</u>.guide and disseminated in the Welcome Manual.</p>	Q42018 - Q12019	EBA (CG + FP + JPP + RAO + JMH + IWG)	<ul style="list-style-type: none"> ● Career Evaluation Process protocols defined. ● Guidelines to the selection of independent evaluation committees written on line and <u>multilingual</u>. ● Number of Assistances to researchers by the HR Department. ● Career Evaluation Process available online and in the Welcome Manual.
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Recruitment	A4	12, 13, 14, 15	Design and implement the FSJD's Selection and Recruitment Procedure , based upon OTM-R criteria.	<p>Creation of the "OTM-R Implementation working team" with the task of reviewing the processes of selection and recruitment of researchers for the progressive adaptation to the OTM-R system.</p> <p>Development of a protocol and a guide for implementation of the OTM-R system in the recruitment of researchers.</p> <p>Training actions for researchers on implementation of the OTM-R system.</p> <p>For hiring researchers through R&D&I Project Funding: Providing clear procedures and scoring scales for the qualification required for each call. The calls will be published in Euraxess and other online platforms.</p> <p>A recruitment committee will be set up ad hoc to oversee the evaluation of the candidates.</p> <p>The FSJD's multilingual web portal on job opportunities (TRABAJA CON NOSOTROS) will include both job offers and a repository of information on selection and recruitment procedures.</p> <p>A written guideline for Recruitment Procedure will be available.</p> <p>If necessary, specific training will be provided to the technicians and researchers involved in recruiting processes.</p>	Q22019	CGM (RAO + IWG)	<ul style="list-style-type: none"> • OTM-R working team selected. • OTM-R protocol defined and published online. • OTM-R Guide defined and published online and <u>multilingual</u>. • Number of OTM-R training sessions. • Number of calls published at Euraxess. • Number of Recruitment committees selected. • Guideline for Recruitment Procedure defined and published online and <u>multilingual</u>. • Recruitment Procedure available online and in the Welcome Manual.
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Training	A5	2,5,31,33,37,38,39	Design and implement the FSJD's Training Plan for researchers.	<p>Profiling the professional qualifications and skills for each of the categories of the R scale in the Researchers' Career Plan. The profiling will be used as a tool for identifying training needs for each category.</p> <p>Perform a survey to identify the training needs. Include in the survey topics like: IP in biomedicine, technology transfer, data protection, ethics in research, prevention of labour risks, data protection policy, languages (English), and soft or transversal skills. Additionally, specific training about clinical studies will be provided to those researchers implicated.</p> <p>Define a training plan and organise these courses.</p> <p>Update the online documents repository.</p> <p>These courses should have a final evaluation, for example a multiple choice online test. Basic modules of these courses will be mandatory for newcomers. For positive evaluations, a certificate of compliance will be provided.</p> <p>Perform a concise evaluation of the merits of the researchers in charge of the training of new researchers, and revise the teaching load of the researcher before the assignation of a junior scientist for training.</p>	Q32019	FPM (JMH, JPP, JR, AMM, IWG)	<ul style="list-style-type: none"> • Survey performed and analysed. • Training Plan defined. • Number of training courses performed. • Number of training courses finished with a positive evaluation and number of certifications by scientists. • Training Plan available online and in the Welcome Manual. • Evaluation of the teaching load before assigning new training responsibilities
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Policy	A6	4, 32, 33, 34, 35	Update the FSJD's Research Committee attributions.	<p>Redefine its activities, composition, assignment times and operating mechanisms. Include in its composition the members of all the scientific scales of researchers.</p> <p>In cases of complaints or disputes, the research committee will act as an ombudsman examining and judging the situation. It will be assured that no conflicts of interest will rise between the members of the Research Committee in the judgement of a situation.</p> <p>It will also mediate and solve co-authorship related conflicts, and good scientific practices issues.</p> <p>Additionally, it will revise the Ph.D. co-direction guidelines.</p> <p>Write a Guide for the new Research Committee attributions, published online and <u>multilingual</u>.</p>	Q42019	RAI (JR, FPM, JMH)	<ul style="list-style-type: none"> • Research Committee reformed with new responsibilities. • Research committee Guide defined and published online and <u>multilingual</u>.
	A7	5, 8, 31	Define the FSJD's Tech Transfer Policy.	<p>A Tech Transfer Policy will be defined accordingly with present procedures.</p> <p>A specific clause of current IP regulations of the Institution will be included in the new contracts and info will be distributed to the newcomers, for their signed ratification. Will also be <u>multilingual</u> versions.</p> <p>Training courses on Tech Transfer and IP will be provided.</p>	Q12020	JPP (JMH)	<ul style="list-style-type: none"> • Tech Transfer plan defined and published. • IP regulation clause included in all new contracts. • Training courses on IP available online and in-person.

A8	33, 36,37, 38, 39, 40	Improving PhD and Post Doc supervision.	<p>Emphasise the academic supervision of junior researchers as a first step in the development of their research career, establishing clearly their rights and duties of each scientific position, providing feedback of their performance, and insisting on the internationalisation of their careers by mobility actions or the participation in scientific networks.</p> <p>For R3 and R4 researchers in charge of the supervision, benchmark of international practices on functions and skills for the supervision of PhD and postdoctoral researchers (analysis of responsibilities, processes and monitoring mechanisms, etc.)</p> <p>Preparation of a guide of good practices of academic supervision and direction of thesis published online and <u>multilingual</u>.</p> <p>Pilot project for the development of the position of Supervisor of Post Docs.</p>	Q32020	FPM (RAI +JR + IWG)	<ul style="list-style-type: none"> • Ph.D. and Post Doc supervision benchmark report performed. • Guide of good practices of supervision and direction of thesis published online and <u>multilingual</u>. • Pilot Project of supervision of Post Docs finished.
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A9	11, 16, 17, 18, 19, 20, 23, 28, 29, 30, 33, 36, 40	Design and implement the FSJD's Mentorship Programme	<p>Conduct a satisfaction survey for various stakeholders on doctoral education (students, supervisors, coordinators, etc.)</p> <p>Benchmark of international practices on functions and skills for mentorship. The Mentor, as a more experienced and senior person, should guide and advise junior researchers about the most appropriate way to develop his /her talent for answering personal and professional challenges of his life, and to seek, if necessary, alternative opportunities inside or outside the research career.</p> <p>Design the FSJD's Mentorship Programme, including both career development advice (mobility, training, professional paths, etc.), and academic advice.</p> <p>Preparation of a guide of good mentorship practices published online and <u>multilingual</u>.</p> <p>Set up a pilot mentorship programme.</p> <p>Training courses for Mentors will be mandatory.</p>	Q42020	FPM (RAI +JR + IWG)	<ul style="list-style-type: none"> • Satisfaction survey results done and analysed. • Benchmark of international Mentorship Programmes done. • Mentorship Programme defined and published. • Guide of mentorship programme defined and published online and <u>multilingual</u>. • Pilot on mentorship performed. • Training courses on mentorship available.
A10	9	Design the FSJD's Outreach Plan	<p>Improvement of the present outreach activity by defining, preparing and implementing an "Outreach plan" to coordinate and improve all the outreach activities of the institution.</p> <p>Assign the outreach competencies to the Communication Department, specifically to one staff member.</p> <p>Identify and support potential science disseminators willing to perform outreach activities.</p> <p>Training courses on outreach will be provided.</p>	Q22020	AMM (RAO + ATR+ IWG)	<ul style="list-style-type: none"> • FSJD Outreach Plan defined. • Outreach leader assigned. • List of the most active science disseminators researchers created. • Training courses on outreach available.

	A11	27	Design and implement the FSJD's Gender Plan	<p>Study the present scope of gender issues at FSJD.</p> <p>Define, prepare and implement the FSJD's Gender Plan.</p> <p>Include these competencies in the RH department, specifically assigning them to one staff member.</p> <p>Create guidelines for gender published online and <u>multilingual</u>.</p> <p>Training courses on gender will be provided.</p>	Q12021	CGM	<ul style="list-style-type: none"> • Gender diagnosis at FSJD done. • Gender plan preformed. • Gender plan leader assigned. • Guidelines for gender equality defined and published online and <u>multilingual</u>. • Training courses on gender available online.
Information	A12	2, 3, 4, 7, 8, 31, 36	Write the FSJD's Welcome Manual	<p>The manual will include all the information concerning the procedures, rules, policies and resources available for the correct development of the research career at the Institution, such as: research ethics, good laboratory practices, notebook completion and storage actions, risk protection, data protection policies, IP regulation, tech transfer, gender policy, flexible working hours, complaints procedures, relation with supervisors and mentors, etc.</p> <p>The information provided will be updated periodically, so that Evolutionary versions will be elaborated.</p> <p>The Welcome Manual will be available online and <u>multilingual</u> to all newcomers and present research staff.</p>	Q22021	CGM (AMM + JR)	<ul style="list-style-type: none"> • FSJD Welcome Manual versions published online and <u>multilingual</u>.

	A13	2, 23, 24, 36, 37, 40	Update the FSJD's Code of Good Practices in Research.	<p>Update the code of Good Practices in including actions, recommendations and commitments for the development of research activities.</p> <p>The update will cover topics like: data protection, IP rights, personal and professional life balance, etc.</p> <p>The Code of Good Practices will be available online and <u>multilingual</u> to all newcomers and present research staff.</p> <p>Centralise the management of Laboratory notebooks for all the Institution and name a person in charge.</p> <p>Additionally, FSJD is presently performing a revision of the ethical committee evaluation process to diminish the project submission and approval time, contributing directly to the improvement of good practices in research at the institution.</p>	Q32021	FPM (RAI + JR)	<ul style="list-style-type: none"> • FSJD Code of Good Practices in Research updated published online and <u>multilingual</u>. • Laboratory notebooks leader assigned.
Organisation	A14	7	Implementation of occupational risk prevention measures.	<p>Revise the status of the ergonomics condition at the FSJD's workplaces.</p> <p>Performing actions to improve safety and health conditions in workplaces, facilities, equipment and processes.</p> <p>Implementation of occupational risk prevention measures assessed as significant in the risk assessment plan.</p>	Q42021	CGM (IWG)	<ul style="list-style-type: none"> • Report of the status of the ergonomic conditions done. • Occupational risk prevention plan revisited.

Table 4 presents the planned schedule of the implementation of the designed actions.

Table 4: Timing for actions Chronogram

Nº	TITLE ACTION - INDICATORS / TARGET	Year 1				Year 2				Year 3				Year 4				Year 5				
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
A1	Strength awareness, commitment and implementation of the Charter & Code criteria.																					
	Online documents, available on: HRS4R web page and Welcome Manual.																					
	Periodical briefings celebrated.																					
	New members at the Implementation Working Group.																					
	Strategic Plan 2018-2020 including HR-Action Plan's actions.																					
A2	Design and implement the FSJD's Researchers' Career Plan.																					
	Researchers' Career Plan defined and published on line and multilingual.																					
	Researchers' Career Plan available online and in the Welcome Manual.																					
	Guide for training junior scientists published online and multilingual.																					
A3	Design and implement the FSJD's Career Evaluation Process.																					
	Career Evaluation Process protocols defined.																					
	Guidelines to the selection of independent evaluation committees written on line and multilingual.																					
	Career Evaluation Process available online and in the Welcome Manual.																					
A4	Design and implement the FSJD's Recruitment Procedure, based upon OTM-R criteria.																					
	OTM-R working team selected.																					
	OTM-R protocol defined and published online.																					
	OTM-R Guide defined and published online and multilingual.																					
	Guideline for Recruitment Procedure defined and published online and multilingual.																					
	Recruitment Procedure available online and in the Welcome Manual.																					
A5	Design and implement the FSJD's Training Plan for researchers.																					
	Survey performed and analysed.																					
	Training Plan defined.																					
	Training Plan available online and in the Welcome Manual.																					
	Evaluation of the teaching load before assigning new training responsibilities																					
A6	Update the FSJD's Research Committee attributions.																					
	Research Committee reformed with new responsibilities.																					
	Research committee Guide defined and published online and multilingual.																					
A7	Define the FSJD's Tech Transfer Policy.																					
	Tech Transfer plan defined and published.																					

4.2 Summary of the Gap Analysis and actions undertaken to implement the C&C criteria at FSJD:

During the Gap Analysis, four different series of data were gathered to evaluate the implementation of each of the 40 C&C criteria at FSJD:

- 1) Perception of the implementation of the criteria, provided by the researchers' survey.
- 2) Perception of the importance of the criteria, provided by the researchers' survey.
- 3) Number of researchers that ignore the implementation of the criteria, also provided by the researchers' survey.
- 4) Diagnosis of the criteria by the Working Group.

Table 5 presents the data obtained by these four sets of data for each criterion, and the number and code of actions that were designed to implement each criterion at the FSJD. The intensity of the colour reflects: In the "Implementation consolidated results" column, more intense= less implemented; In the "Importance consolidated results" column, more intense= more important; In the "Not aware about the level of implementation" column, more intense= highest number of researchers unaware; In the "Working Group decision" column, more intense= less implemented. The "Actions" column reflects the number of actions designed (1 to 7), and the code of the actions. Criteria 25, 26, 28 and 33 correspond to the more important, less implemented criteria of the Gap Analysis document.

As it can be observed, all the criteria have at least an associated action for its implementation at the FSJD. The Implementation of those criteria associated with Recruitment and Selection (12 to 21) and Supervision (36 to 40), which were less implemented and less well-known by the researchers, will be covered by the application of more than two actions each. Four criteria were considered more important and less implemented by the researchers' survey: 25. "Stability and permanence of employees", 26. "Funding and salaries", 28. "Career development", and 33. "Training". As "Stability and permanence of employees" and "Funding and salaries" were highly dependent on the availability of funding opportunities, the FSJD will implement these two criteria within its capabilities.

The implementation of "Career development" and "Training" will be assured by the appliance of actions 4 and 7, respectively.

Table 5. Summary of the diagnosis of the criteria and the number of actions designed for their implementation.

	Implementation consolidated results	Importance consolidated results	Not aware about the level of implementation.	Working Group (1="Insufficiently implemented" to 4="Fully implemented")	Number of actions that improve the implementation of the criteria	Actions that improve the implementation of the criteria
1. Research freedom	0,98	0,94	14	4	1	A1,
2. Ethical principles	0,96	0,98	7	3	4	A1, A5, A12, A13,
3. Professional responsibility	0,94	0,97	9	3	2	A1, A12,
4. Professional attitude	0,93	0,90	7	4	3	A1, A6, A12,
5. Contractual and legal obligations	0,83	0,91	11	3	3	A1, A5, A7,
6. Accountability	0,99	0,93	18	4	1	A1,
7. Good practice in research	0,85	0,96	7	3	3	A1, A12, A14
8. Dissemination, exploitation of results	0,93	0,94	6	3	3	A1, A7, A12,
9. Public engagement	0,84	0,94	9	2	2	A1, A10,
10. Non-discrimination	0,96	0,97	11	4	1	A1,
11. Evaluation/ appraisal systems	0,78	0,88	32	1	4	A1, A2, A3, A9,
12. Recruitment	0,86	0,88	36	1	2	A1, A4
13. Recruitment (Code)	0,88	0,88	26	1	2	A1, A4
14. Selection (Code)	0,72	0,81	39	1	2	A1, A4
15. Transparency (Code)	0,83	0,85	32	1	2	A1, A4
16. Judging merit (Code)	0,92	0,89	46	1	4	A1, A2, A3, A9,
17. Variations in the chronological order of CVs (Code)	0,94	0,86	40	1	4	A1, A2, A3, A9,
18. Recognition of mobility experience (Code)	0,95	0,86	28	1	4	A1, A2, A3, A9,
19. Recognition of qualifications (Code)	0,96	0,83	47	1	4	A1, A2, A3, A9,
20. Seniority (Code)	0,94	0,87	48	1	4	A1, A2, A3, A9,
21. Postdoctoral appointments (Code)	0,75	0,90	41	1	2	A1, A2

22. Recognition of the profession	0,87	0,94	26	4	1	A1,
23. Research environment	0,86	0,95	10	3	5	A1, A2, A3, A9, A13,
24. Working conditions	0,93	0,96	17	1	2	A1, A13,
25. Stability and permanence of employment	0,63	0,97	21	1	2	A1, A2
26. Funding and salaries	0,74	0,96	22	2	2	A1, A2
27. Gender balance	0,91	0,91	25	3	2	A1, A11,
28. Career development	0,68	0,92	37	1	4	A1, A2, A3, A9,
29. Value of mobility	0,91	0,79	45	2	4	A1, A2, A3, A9,
30. Access to career advice	0,78	0,85	48	1	3	A1, A2, A9,
31. Intellectual Property Rights	0,93	0,92	44	3	4	A1, A5, A7, A12,
32. Co-authorship	0,93	0,92	32	2	2	A1, A6,
33. Teaching	0,78	0,90	38	1	7	A1, A2, A3, A5, A6, A8, A9,
34. Complaints/ appeals	0,75	0,86	54	1	2	A1, A6,
35. Participation in decision-making bodies	0,75	0,83	50	2	2	A1, A6,
36. Relation with supervisors	0,94	0,93	19	1	6	A1, A3, A8, A9, A12, A13,
37. Supervision and managerial duties	0,94	0,94	19	1	5	A1, A2, A5, A8, A13,
38. Continuing Professional Development	0,90	0,94	19	1	4	A1, A2, A5, A8,
39. Access to research training and continuous development	0,78	0,92	29	1	4	A1, A2, A5, A8,
40. Supervision	0,89	0,92	22	1	4	A1, A8, A9, A13,

4.3.1 Actions addressing the implementation of Open, Transparent, and Merit-Based Recruitment principles:

The main action that will be implemented to address the OTM-R principles will be the updated recruiting procedure, which will include the C&C principles and will be coherent with the “Research Career Plan” and “Evaluations Procedures”. These new approaches will develop a key role in the development of the OTM-R policy.

- Providing clear and transparent information on the whole selection process,
- Posting a clear and concise job advertisement with international links to detailed information,
- Ensuring that the levels of qualifications and competencies required are in line with the needs of the position,
- Considering the inclusion of explicit pro-active elements for underrepresented groups,
- Keeping the administrative burden for the candidate to a minimum, and
- Reviewing, where appropriate, the institutional policy on languages.

The second group of actions implemented will be those related to training and dissemination of the OTM-R principles to the staff implicated in the recruiting process, both researchers and administrative staff. In the case that further training is demanded, seminars will be addressed to PIs and other members of the selection committees. The need to promote specific training in recruiting, especially for interviews, will be evaluated. The “FSJD’s Code of Conduct for the Recruiting of Researchers” will set clear and explicit rules and procedures for the recruitment of all researcher positions. We will also consider the European Framework for Research Careers to identify the career profiles for researchers (R1, R2, R3 and R4).

The third main action will be the continuous follow-up of the recruitment processes, assuring that all the staff implied in recruiting processes, from selection to recruiting, integrate the OTM-R practices described in the “Good recruiting practices for researchers guide”, in each selection and recruiting process.

A special OTM-R seminar will be organised for all the Human Resources staff, the directors of the research institutes, and all the FSJD’s staff interested in this process.

The quality control system for the FSJD’s OTM-R policy will check (internally) the whole recruitment process, to be administered by the HR department or designated staff, and will also have a periodical, external review by an independent observer (a national expert in HRS4R). To monitor and assess the extent to which the OTM-R system is being implemented, the UDC will also adopt standards and reporting templates for internal reporting of all phases of a recruitment process.

The FSJD does not have a recruitment strategy to implement the principles of Open, Transparent and Merit-Based Recruitment, therefore no web link is available.

5 IMPLEMENTATION

5.1 Implementation and control boards

The design of this plan has enabled the development of a model of governance, of coordination mechanisms and monitoring tools that will accelerate the adoption of new policies and practices of human resources management in research that will enable the FSJD to be in line with its European references.

For the above reasons, and regardless of the duration of the evaluation process to obtain the seal, the implementation of the plan will begin in the Q1 2018.

The implementation process will be performed through four different levels of responsibility.

A.1) Steering Committee (SC), chaired by the Director of the FSJD, **will be the maximum office and will oversee the implementation process on a regular basis**: It will be composed of the members of the Steering Committee that monitored the Gap Analysis and Action Plan for this proposal. It will coordinate the implementation and the follow-up of the HRS4R-derived measures. It will also communicate the advances to the direction of both Hospitals (Hospital Sant Joan de Déu and Parc Sanitari Sant Joan de Déu).

A.2) Implementation Working Group (IWG), will be composed of the members of the Working Group and will invite other research and administrative staff to create specific working teams. It will **coordinate the deployment of the HRS4R Action Plan** and will also control quality and follow up on indicators.

A.3) Working Teams (WT), will be organised for the main topics: “Researcher Career Plan”, “Recruitment Procedures”, “Training”, “Policies”, etc. Each team will be made up of 3-5 people comprising of: i) the people in charge for each, ii) representatives of the different specific areas and services responsible for human resources, iii) R1 to R4 researchers, etc. These different backgrounds will stimulate a productive debate with multiple perspectives of the same problem, to work on each of the deliverables and their correspondent **road maps**.

A.4) Technical Secretariat (TS), reporting to the Steering Committee will give support to the WT for the preparation of deliverables and to the SC to follow up on indicators. It will also be responsible for a dynamic workflow articulated during the course of the plan: a cloud tool of information access, regular meetings, ad-hoc subcommittees with key people for specific matters depending on the evolution of the process, quality control and international benchmark.

5.2 To involve the research community in the implementation process

As seen above, the research community (**R1-R4**) **will be part of the SC, IWG and WT**. They will be involved mainly in the test of pilot deployment and the periodical surveys.

5.3 Control mechanisms; to test the implementation of the C&C criteria,

The previously detailed indicators will be included in the Institution’s scorecard, and will be verified bi-monthly to find evidence of any alignment with the HRS4R with organisational policies.

The strategic framework for the implementation of the HR Action Plan is the FSJD’s Strategic Plan https://www.dropbox.com/s/lumj503fgemaz6u/09_Plan_Estrategico_2014-2018_resumen.pdf?dl=0

Additionally, there is a strong commitment to quality seals accreditations like HRA, Centros Cerca (<http://cerca.cat/en/cerca-centres/>), Instituto de Investigación Carlos III (<http://www.eng.isciii.es/ISCIII/es/contenidos/fd-investigacion/fd-institutos-investigacion-sanitaria/introduccion.shtml>), etc.

The Institution recognises that one of the key success factors is the recruitment of talent, and the Institution did not have a system for managing human resources that would allow it to face future challenges. However, the Institution emphasises the need to devise a strategy that will allow the incorporation of new approaches for the organisation, recruitment and promotion of its staff. This is the opportunity to advance in the definition of a new model for managing human resources, a model that will lead the Institution to attain a position at the same level as other internationally-renowned clinical research centres.

5.4 To monitor the progress

Monitoring and assessment will be crucial; preparation of the internal and external assessment:

The monitoring and the follow-up of the plan will be continuous, being one of the main functions of the Technical Secretariat. In addition, the following specific mechanisms will be provided:

1. Creating a scorecard based on the indicators proposed in the plan.
2. Reporting to the Board of Trustees on a yearly basis.
3. Reporting to the Governing Committee of FSJD on a bi-monthly basis.
4. Holding monthly meetings with the Steering Committee.

5.5 To prepare the internal and external review

The internal evaluation will be performed by the IWG, by i) the revision of the advance of the Project after the compromises reflected in the Action Plan ii) the revision of the indicator progress reports, iii) the reports of activities, and iv) the fulfilment of road maps for each action. (With this data, a progress report will be elaborated 12 months after the activity was initiated, and reported to the SC. A final report will be elaborated after 24 months, as it has been defined in the new procedure. For this final report, templates available in EURAXESS will be used.