TEMPLATE 4: ACTION PLAN

Case number: 2018ES358745

Name organisation under review: Josep Carreras Leukaemia Research Institute (IJC)

Organisation's contact details:

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1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*42
Of whom are international (i.e. foreign nationality)	*15
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*27
Of whom are women	*22
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*13
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*12
Of whom are stage R1 = in most organisations corresponding with doctoral level	*17
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	30*
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	4.226.863
Annual organisational direct government funding (designated for research)	1.466.329
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	1.547.329
Annual funding from private, non-government sources, designated for research	851.679
ORGANISATIONAL PROFILE (a very brief description of your organisation, max	x. 100 words)
In 2010 the Josep Carreras Foundation, together with the Government of Car	talonia launched the

first European research centre devoted exclusively to leukaemia and other malignant blood diseases, and one of the few that exist in the world.

The Josep Carreras Leukaemia Research Institute is a centre without precedent which, through the work and rigour of researchers from around the world, employs the most innovative technologies to carry out research into techniques of diagnosis, prognosis and treatment of these diseases to improve the treatment and quality of life of patients. The aim is to make all types of leukaemia curable.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	Strengths: the IJC focusses its research on benefiting humanity and the enrichment of knowledge while following ethical principles for biomedical research activity in accordance with international, national, sectorial and institutional regulations. The IJC has an administrative transparency section on its website
	The IJC manages its contractual and legal conditions and obligations in accordance with current regulations and the regulation of intellectual property linked to research. There is an Innovation Unit, which oversees all the procedures required to introduce an innovation to market, including patentability studies, IP rights transfer to researchers etc.
	The research staff are aware of the IJC's strategic objectives and of the main sources of funding. The IJC strategic plan is public and can be consulted by all scientists. The economic and scientific reporting of projects by the researchers is formalized through the Project Management Office, in addition all its accounts have an annual external audit. The expenses and income of the projects are controlled through software that does not allow purchases that are not included in the projects, or negative balances
	The IJC always facilitates the adoption of safe working methods for the health of it staff. It also provides measures of protection against the loss of information to all its professionals. It has an IT server that perform

daily backup copies. The IJC 's accident's prevention service is outsourced.

The IJC adequately informs its personnel on the current regulations on data protection regarding the confidentiality and safeguard of information, and the professional staff comply with this legal framework. A data protection delegate has recently been appointed.

The IJC publishes an annual report. A calendar of activities is published online. The institute carries out a series of outreach activities in conjunction with the Josep Carreras Foundation and participates in activities for schools on the campus with other organizations.

The IJC does not permit any discrimination in terms of gender, age, ethnicity, nationality, religion, sexual orientation, language, disability, political opinion, or economic or social condition.

The IJC as a public institute, it is assessed through its external scientific committee. Every five years, it is globally evaluated by the Instituto Carlos III (Government of Spain) and every 4 years by the CERCA Institute in Catalonia.

Weaknesses: The survey and working group meetings have detected certain gaps in the internal evaluation principles and protocols, and the absence of an internal group or researcher evaluation plan.

Also training and dissemination gaps were identified, for example in IT security operations procedures or economic reporting procedures.

Also, regulations for PIs are not collected in a single document, making it difficult for them to consult them.

Recruitment and selection

Strengths: Currently, all candidates submit their applications to the Human Resources Department, which sends a letter of confirmation of reception, providing a general description of the selection process. After the initial selection has been done, the PIs communicates directly with the candidates for personal interviews. Feedback is usually provided by the PIs. IJC PIs are expert personnel in different areas and competencies, with scientific and evaluative experience.

All job offers are publicly advertised through the webpage.

The IJC follows Spanish regulations regarding non-discrimination. The selection of candidates is based exclusively on personal merit and professional career (regardless of where the qualifications have been obtained) and their fit with the requirements of the position.

The IJC values the professional and non-professional qualifications and merits of its staff, in line with the Bologna declaration on the European

space for higher education. Postdoctoral researchers funded by competitive calls, (Ramon y Cajal, Marie Curie etc) have their own scales of merits for evaluation purposes.

Weaknesses: There is not a clear procedure for defining the selection and recruitment conditions of the pre-doctoral and post-doctoral researchers.

The survey analysis and the working group meetings concluded that the IJC does not have a protocol for establishing admission criteria, or for how a selection committee should be constituted.

Job offers are not published widely. When applications are received, the candidates are informed about how the process will develop and the selection results, but there is no protocol for standardizing how this information should be transmitted.

Mainly the selection is performed by the PIs. PI are prestige researchers, although it is possible that they may have a certain unawareness regarding the consideration of how to evaluate all the merits present on CVs.

Although the evaluation of candidates is mainly based upon their merits and capabilities and considers the quantity and quality of all their experience and relevant successes, a protocol that objectively indicates the value of these selection criteria has not been developed. The same thing happens regarding the evaluation of other issues such as mobility, value of qualifications etc.

Working conditions

Strengths IJC staff are considered to be and treated as professionals. All the staff appear on the webpage with their professional category.

The IJC ensures a stimulating and appropriate work environment. The institute's lab manager ensures that the research facilities are optimal for the researcher's performance.

The IJC provides better employment conditions than the regular minimum legal framework, in addition, special personal employment requests can be negotiated

The contracts for researchers funded by research projects are dependent on external funding. In the current economic situation, the institute cannot implement general measures to improve job stability. Despite this situation, during 2015 the Institute accomplished the stabilization of 3 former Ramon y Cajal post-doctoral researchers.

Salaries of researchers granted by competitive calls are fixed in the call. Incentives to this salary are subject to budgetary stability and to the

subsidies that the institution receives. The IJC is writing a rule for fixing the minimum wage rate for employing researchers.

Spanish legislation promotes gender equality. The IJC does not have an equal opportunities plan.

The IJC facilitates access to training and updating of technical and professional knowledge for the staff (languages, IT, horizontal skills etc.) and promotes the mobility of the research staff.

Due to current budget restrictions the IJC's capability to offer career counselling is limited. To foster this initiative, IJC joins other institutions on the campus for the Can Ruti PhD Students Conference and Career Day.

Additionally, IJC complies with Spanish intellectual property law.

Promoting teaching as a strategy for training and technology transfer is supported by the IJC. The University of Barcelona (UB) and the Universitat Autònoma de Barcelona are members of the IJC Board of Trustees.

The Campus Can Ruti ombudsman assists IJC researchers in solving complaints and conflicts.

Weaknesses: Regarding staff representation, the main IJC decision body is the board of trustees, its members are established by the statutes. There are no other representative committees in the institute.

Regarding work recognition, the job scales are not clearly translated into European scales, and the web page including the information about the researchers is not always up to date.

A large part of the institute has recently been relocated and is presently finishing the work in its new facilities.

There is a general concern about the absence of stability of employment and salaries, professional career, co-authors his rules, complaints and ombudsman procedures and work permits for foreigners.

Although training is offered, researchers are not aware of the training possibilities.

The IJC wishes to promote the internal and external mobility of researchers and teaching activities, but no specific actions have been established

The Equal Opportunities Plan should be written.

Training and development

Strengths: A supervisor is assigned to all new research staff. The supervisor has knowledge, availability, commitment and training experience to provide support in their training, orientation in their scientific activity and to evaluate the evolution of their work. The IJC promotes a regular and structured relation of the junior scientist with the supervisors and ensures that the experienced research staff performs all the tasks of supervision and management for their team.

The entity has a PI training plan through the Tripartite Foundation only accessible to personnel in managerial positions.

The IJC facilitates access to training and updating of technical and professional knowledge of staff (languages, IT etc). In addition, training activities are also organized by IJC/IGTP managerial department.

Younger researchers receive training in giving and hosting scientific talks in the Coffee Talk Series and all researchers can attend scientific seminars given weekly on the campus.

Weaknesses: All pre-doctoral investigators have a supervisor, but these supervisors may have certain deficiencies in their managerial abilities for the supervision of R1 and R2 researchers.

The survey has shown that R1 and R2 researchers are not aware of the complaints mechanisms.

Although training is offered, researchers are not fully aware of the training possibilities.

3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL:

http://www.carrerasresearch.org/es/hr-excellence 94734

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS GAP	Timing (at least	Responsible	Indicator(s)	/
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	Principle(s)	by year's	Unit	Target(s)
		quarter/semester)		
Disseminate C&C and OTM-R principles to all the staff	All	Second quarter 2019	CEO	Perform yearly seminars on C&C and OTM-R principles.
Writing and dissemination of good research practices guide. For this purpose, the IJC plans to Include information about several issues such as co-authorship or IT security etc.	32. Co- authorship 7. Good practice in research	Second quarter 2019	IWG Director	Meeting for the enumeration of issues that should be included Fix who is responsible for writing the document Publish the manual
Writing of a welcome manual. A welcome manual written in English will include extensive information about issues such as intellectual property rules and labour conditions, mobility contractual and legal obligations, complaints mechanisms and the ombudsman.	29. Value of mobility 5. Contractual and legal obligations 31. Intellectual property rights 24. Working conditions 34. Complains/appeals	First quarter 2020	TS, WT	Meeting for the listing of issues that should be included Publish the manual
Analysis and validation of the current infrastructures and services. Performing an initial survey after the construction works have ended to identify the degree of satisfaction with the	7. Good practice in research 23. Research environment	Fourth quarter 2019	IWG	 Design a survey to address the researcher satisfaction with the services and infrastructures Carry out yearly consultations

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new facilities and				
thereafter,				
performing yearly				
surveys to improve				
the performance of				
facilities and services.				
	11	Founth according 2020	Director and TS	
Creation of a research	11. Evaluation/	Fourth quarter 2020	Director and 13	 Brainstorming meeting for
personnel evaluation	appraisal			defining evaluation
system.	systems			criteria and
Creation of an				procedures • Writing an
evaluation process,				evaluation protocol
criteria and protocols				• Set up an
to perform internal				evaluation committee
·				• Perform the
evaluation of staff.				evaluation
In addition the IJC will				
provide a certification				
of the evaluation of				
the non-permanent				
staff based on the				
good practices and				
research activities				
after the completion				
of a work contract.				
Creation of an OTMR	12.	Third quarter 2020	Director, IWG and TS	Brainstorming
selection system.	Recruitment 13.			meeting for defining how to
	Recruitment			address OTM-R
Design and	(code)			criteria and
implementation of the	14. Selection (code)			procedures at the institution
IJC selection and	15.			• Writing a
recruitment	Transparency			recruitment and
procedure based on	(code) 16. Judging			selection protocol • Publish the
the criteria	merit (code)			protocol
established in the	17. Variations in the			• Supervise its
OTMR (open,	chronological			application ● Include all the
transparent and	order of cvs			research open
merit-based	(code) 18.			positions on
recruitment of	Recognition of			Euraxess.
researchers). Include	mobility			
issues such as the	experience (code)			
creation of selection	19.			
committees,	Recognition of			
transparency rules,	qualifications (code)			
	20. Seniority			

and the evaluation of merits such as mobility, changes in the chronological order of CVs, qualifications, etc. In addition, all the research positions will be published on EURAXESS	(code) 21. Postdoctoral appointments (code)			
Update the staff details on the web/intranet. To achieve this action, first, a clear equivalence between the current research levels of the institute, and the European R1 to R4 scale. The Research level attributed to the researchers will be published on the institute website.	22. Recognition of the profession	Fourth quarter of 2019	Communication Unit and WT	 Stablish the equivalence between the positions with the European scale. Include the researchers scale in the Institutions website
Improve and disseminate rules for working at the IJC To achieve this action, first, the IJC will stablish a rule setting the minimum wage rates for working categories of staff to be employed by the institution. In addition, all the labour conditions will be written and approved, and communicated to all the staff. Any	24. Working conditions 26. Funding and salaries	Fourth quarter 2019	Company Workers Committe, and TS Director	Write a memorandum of the rules for working at the IJC and include it in the welcome manual Explain the information to researchers.

-			Т	
exception to these				
conditions will be				
justified and				
authorized by the				
management				
Develop and	27. Gender	First quarter 2020	WT and TS	• Nominate a
implement equal	balance	,		committee for
opportunities plan.				equality issues
opportunities plan.				 Analyse the current equality situation
Identifying the current				• Select those issues
equality GAPS at the				that should be covered at the IJC
institute, and writing				• Write the
an equality plan				procedures for the
				plan
Elaborate and	38. Continuing	Second quarter 2019	TS and Council	• Set up a committee
disseminate an	professional		workers	to study training
integral training plan	development 39. Access to			needs, with the participation of
for researchers	research			researchers from
10.1000.0	training and			each scale
Elaboration of a	continuous development			 Analyse the current situation, and the
transversal training	28. Career			current training
plan and a	development			needs
communication plan				 Write a training action plan
for training activities.				• Implement the
In addition, surveys on				action plan
the activity performed				
will be developed.				
Promote mobility	29. Value of mobility	Fourth quarter 2023	Communication office and IWT	 Promote the use of English as the main
targeted actions.			ojjiec ana iii	communication
As no IJC budget for				language
mobility is foreseen,				 Open a special section on the
some mobility				website/intranet
targeted measures				for the publication of mobility grants
could be performed,				oj moonity grants
such as the promotion				
of the use of English				
as the main				
communication				
language within the				
institute, or the				
dissemination of all				
Catalan, Spanish or				

European mobility				
, ,				
grants.				
Communicating the	36. Relation	Third quarter 2019	Director	• Perform an open
complaints	with .		,Communication	session about
mechanisms and	supervisors 34. Complains/		unit, TS and ombudsman	complaints mechanisms and
ombudsman.	appeals		ombaasman	the ombudsman
ombuusman.				• Include
Publicize the figure of				information about the ombudsman in
the ombudsman				the welcome
among the				manual
employees by				
including the				
_				
information in the				
welcome manual, and				
open sessions				
IP training.	12.	Fourth quarter 2020	Director and TS	• Design an OTM-R
	Recruitment	,		course
Provide specific	13. Recruitment			• Train senior
training OTM-R and in	(code)			researchers • Identify team
team management	14. Selection			management
training for	(code)			courses
supervisors. In	15. Transparency			Identify managers Carry out sources
addition, a	(code)			 Carry out courses.
·	16. Judging			
commitment for good	merit (code) 17. Variations			
interpersonal	in the			
relations document,	chronological			
to be signed by the	order of cvs (code)			
supervisor and the	18.			
junior researchers will	Recognition of			
be drafted to state	mobility experience			
the rights and duties	(code)			
for each part during	19.			
the relationship.	Recognition of qualifications			
·	(code)			
	20. Seniority			
	(code)			
	21. Postdoctoral			
	appointments			
	(code)40.			
	Supervision 37. Supervision			
	and			
	managerial			
	duties			
	36. Relation			

	with			
	supervisors	1		<u> </u>
Foster teaching	33. Teaching	Fourth quarter 2023	Director	 Inform the trustees about this
activities for				initiative to the
researchers.				• Set up the proper
For this action, an				contacts and arrange meetings
agreement will be				with the
signed with the UB				Universities and Departments
and the UAB, both				Departments
represented on the				
Board of Trustees of				
the institution. This				
will encourage				
teaching activities				
carried out by IJC				
researchers and				
increase their				
involvement in				
teaching activities				
associated with other				
teaching centres.				
Foster the	30. Access to	Second quarter 2019	Director TS and Ph	• Get involved in the
participation of IJC at	career advice		Canruti Group	career day organization
the annual career				committee
day.				
Foster the				
participation the Can				
Ruti Career Day with				
the participation of				
professionals of				
different sectors, to				
provide information				
about the different				
job opportunities.				
provide information about the different				

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

(free text, 1000 words maximum)

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
- 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 requested, 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 "IJC'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).

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

The quality control system for the IJC'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 IJC's will also adopt standards and reporting templates for internal reporting of all phases of a recruitment process.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

The IJC's does not have a recruitment strategy to implement the principles of Open, Transparent and

Merit-Based Recruitment, therefore no web link is available.

4. IMPLEMENTATION

General overview of the expected implementation process:

(free text, 1000 words maximum)

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 IJC 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 2019.

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

- A.1) Steering Committee (SC), chaired by the Director of the IJC, 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 Board of Directors.
- 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. An IGW director will be appointed.
- 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 (from the working group) 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) The technical secretariat, will be integrated by the HR department (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.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	free text 500 words maximum The Steering Committee will coordinate the implementation and the follow-up of the HRS4R-derived measures and will also communicate the advances to the Board of Trustees. To regularly oversee the progress the IWG Director will be invited to participate in the IJC's Board of Trustees) to inform about the implementations details.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	free text 500 words maximum The research community (R1-R4) will be part of the SC, IWG and WT. They will be involved mainly in the implementation stages.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	free text 500 words maximum The strategic framework for the implementation of the HR Action Plan will be added to the IJC's Strategic Plan. Additionally, there is a strong commitment to quality seals accreditations such as HRA, CERCA Centres (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.
How will you ensure that the proposed actions are implemented?	free text 500 words maximum The previously detailed indicators will be included in the IJC's scorecard and will be verified every two months to collect evidence of alignment with the HRS4R with organisational policies. Quarterly meetings will be held between the IWG

	Director and the Executive Committee.
How will you monitor progress	free text 500 words maximum
(timeline)?	Monitoring and assessment will be crucial; The IJC will prepare for 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 Executive Committee of IJC on a quarterly basis.
	4. Holding monthly meetings with the IGW.
How will you measure progress (indicators) in view of the next	free text 500 words maximum
(indicators) in view of the next assessment?	The internal evaluation will be performed by the
assessment	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.

Additional remarks/comments about the proposed implementation process:

Two of the C&C principles, 25. Stability and permanence of employment, 35. Participation in decision-making bodies, were not easily implemented presently, due to budgetary restrictions (25), and to the present rules written into the institution statutes (35).

If the current circumstances change, these two principles will be also implemented.