

**CIMNE<sup>R</sup>**

# HRS4R

## Human Resources Strategy for Researchers

Action Plan 2017 – 2018

(This document has been submitted to the European Commission for review)

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# 1. INTRODUCTION

## 1.1. CIMNE

The International Centre for Numerical Methods in Engineering (CIMNE) is a research organization created in 1987 at the heart of the prestigious Technical University of Catalonia (UPC) as a partnership between the Government of Catalonia and UPC. The aim of CIMNE ([www.cimne.com](http://www.cimne.com)) is the development of numerical methods and computational techniques for advancing knowledge and technology in engineering and applied sciences.

CIMNE's headquarters are located at the heart of the Technical University of Catalonia (UPC) in Barcelona. CIMNE has also premises at different buildings in several campus of the UPC. CIMNE has also offices in Spain in Madrid, Terrassa and Ibiza. In 2005 CIMNE started its international expansion and since then it has created the following international branches: CIMNE Latin-America (Non-profit Foundation in Santa Fe, Argentina); CIMNE USA (Non-profit Corporation in Washington DC, USA); CIMNE Singapore (Non-profit Corporation in Singapore) and CIMNE Beijing (China).

CIMNE employs some 200 scientists and engineers who work in the different offices of CIMNE around the world. CIMNE has also established a network of 30 Classrooms and Joint Labs in partnership with Universities in Spain and 10 Latin American countries (<http://aulas.cimne.com>).

The research and technology development (RTD) activities of CIMNE cover a wide spectrum of topics ranging from classical engineering fields such as civil, mechanic, environmental, naval, marine and offshore, food, telecommunication and bio-medical engineering, computer sciences and applied sciences such as material sciences bio-medicine, computational physics, nature, social and economic sciences and multimedia sciences, among others.

Over the last 28 years, CIMNE has taken part in over 2000 RTD projects in cooperation with some 500 companies, universities and research centres worldwide.

The RTD activities of CIMNE are complemented by education and training activities via Master Courses, short courses and seminars and CIMNE Coffee talks. CIMNE scientists supervise doctorate students in cooperation with several universities in Spain and worldwide.

CIMNE has an own Publications Department in charge of publishing books, monographs, research reports and technical reports. Besides, CIMNE also has a Congress Department (Congress Bureau, <http://congress.cimne.com/web/>) that organizes international conferences and workshops in the different areas of CIMNE. It has organized 140 conferences since 1987.

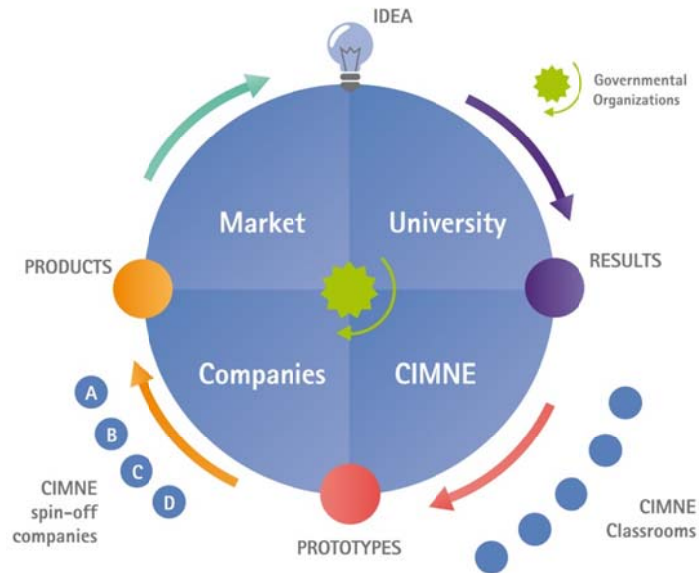
CIMNE has a vocation for transferring the scientific and technical outputs from RTD projects to the industrial sector. This is effectively carried out in cooperation with companies from different sectors that exploit and market CIMNE technology. CIMNE has actively promoted the creation of spin-off companies, some of them totally or partially owned by CIMNE, which play an important role in the industrialization and exploitation of CIMNE technology. In 2011, CIMNE created CIMNE TECNOLOGIA S.A., a company 100% owned by CIMNE, in charge of implementing the technology transfer strategy of the group.

CIMNE maintains close cooperation links with many universities and RTD centres in the field of computational engineering and sciences worldwide. CIMNE has access to the computing facilities of several supercomputer centres in Spain and Europe.

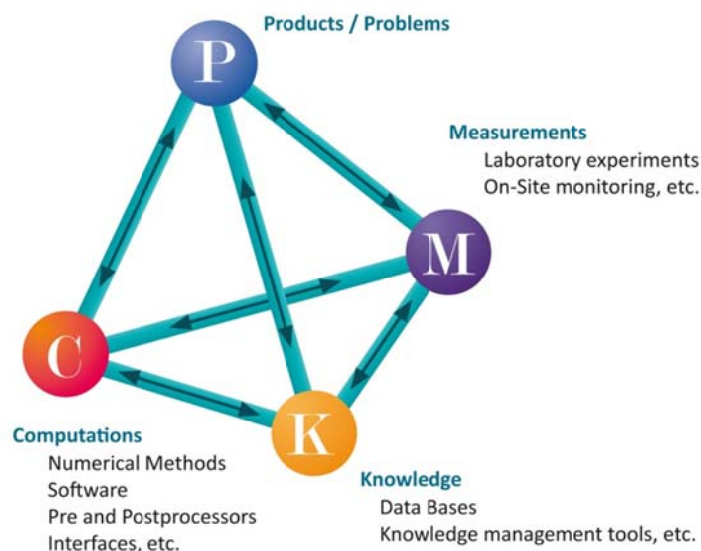
CIMNE has been identified as one of the International Centres of Excellence on Simulation- Based Engineering and Sciences in a recent National Science Foundation (NSF) report [Glotzer et al., WTEC Panel Report on International Assessment of Research and Development in Simulation Based Engineering and Science. World Technology Evaluation Center ([www.wtec.org](http://www.wtec.org)), 2009].

## 1.2. MISSION: THE CYCLE OF IDEAS

Our mission and activity can be explained through what we call the Cycle of Ideas. It shows the scheme of the transit of an idea, from the instant it originates until it is transformed in an industrial and commercial success. Similarly to what it happens in biological and environmental cycles (the water cycle for instance), the cadencies and tempos are very important in the Cycle of Ideas.



The overall research and technological development (RTD) activities of CIMNE has evolved over the years towards providing comprehensive solutions for solving problems that affect human beings. This can be achieved by integrating existing knowledge in a particular field with quantitative information emanating for prediction methods (i.e. computational-based techniques) and experimental measurements. The link between these four concepts: the problem to be solved, computational methods, experimental methods and existing knowledge is conceptually represented by the figure below:



### 1.3. ORGANIZATION

The governing bodies at CIMNE are:



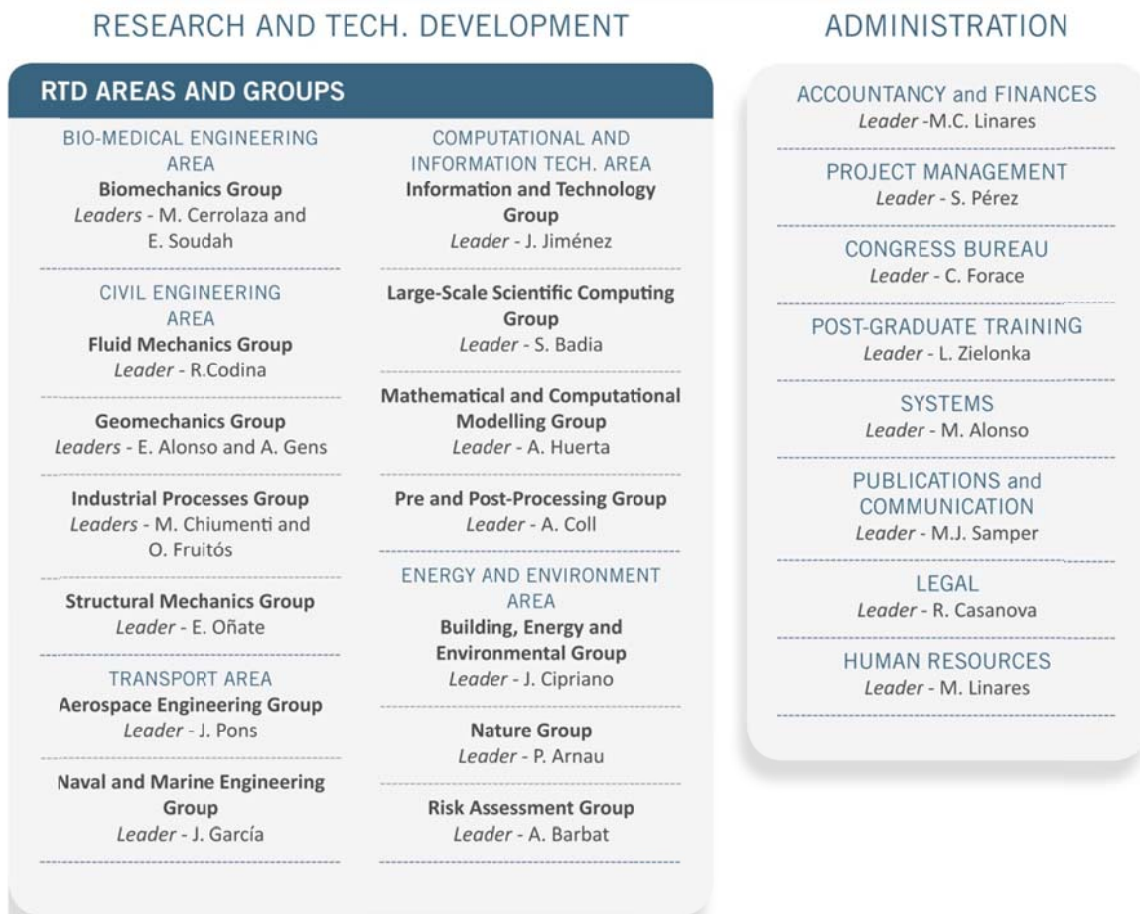
The highest governing body in CIMNE is the Governing Council, in charge of the definition of the strategy of CIMNE activities, the budget approval and the appointing of the Executive Council. The Governing Council is formed by 3 representatives of the Catalan Government, 3 of UPC and 1 of UNESCO. Its current President is Mr. Jordi Baiget, Minister for Economy and Knowledge of the Catalan Government. The Executive Vice-President is E. Oñate, who also acts as Director of CIMNE.

The Executive Council counts with 12 representatives. It is chaired by E. Oñate. Its roles are the follow-up of CIMNE activities and the review of the annual accounts.

The Advisory Scientific Council is formed by 15 prestigious international scientists, chaired by Prof. Roger Owen from Swansea University (UK).

CIMNE has an internal management structure including a Director, a Scientific Director and a General Manager. They are responsible for implementing the policies agreed by CIMNE's governing bodies and they count with a team of professionals specialized in the several strategic services of the entity.

This is CIMNE's Organization Chart:



As it can be observed it is divided into two big blocks:

- 1) Research and Technology Development Staff (formed by 200 professionals)
- 2) Administration Staff (integrated by 35 professionals)

The **Research and Technology Development Staff** in CIMNE is organized into 5 different Research Areas: Biomedical Engineering, Civil Engineering, Transport, Computational & Technology Information and Energy & Environment. Each of these areas is subdivided into different Research Groups. Each group has a Leader in charge of defining the major research topics in which the group will be actively participating. The Group Leader has the responsibility of the economic sustainability of the group.

The **Administration Staff** in CIMNE is organized in the following Departments: Accountancy and Finances, Project Management, Congress Bureau, Post Graduate Training, Systems, Publications & Communication, Legal and Human Resources.

## 1.4. HRS4R MOTIVATION

In 2015-16, CIMNE has made an important effort in the field of Human Resources. Two important challenges have been faced:

- 1) Gender Equality Plan
- 2) HRS4R Award

### Gender Equality Plan:

CIMNE bases its activity on the respect and equality. Both research management policies and eligibility, employability, institutional representation, distribution of resources and assessment must be based on a fair assessment of people and avoid biases and discriminatory tendencies.

In the EU women are 50% of students and 45% of doctoral students but instead represent only one third of researchers. This situation has not changed in the last almost 10 years.

Although women researchers have started to enter with force in some scientific fields, this increase in numbers does not evidence an absence of gender bias. Also, in some areas there has been such an unequal distribution of economic resources in research for men and women (fewer women being principal investigator, for example).

CIMNE is convinced that the implementation of appropriate guidelines will lead to a balanced position which will generate greater creativity and excellent dynamics in science and technology.

This is the reason why CIMNE has undertaken the responsibility of developing a Gender Equality Plan, which was approved by the Governing Council on the 23<sup>rd</sup> of June 2016. This plan, piloted by a Gender Commission created ad-hoc, can be consulted at the Transparency Portal of CIMNE:

<http://www.cimne.com/vpage/2/0/About/Transparency-Portal>

<http://www.cimne.com/cvdata/cntr2/dtos/img/mdia/About/transparency/Pla-Igualtat-CIMNE.pdf>

### HRS4R Award:

CIMNE is extremely interested in attracting and retaining talent and is convinced that the HRS4R is an instrument that will help the organisation to achieve it.

In 2013, CIMNE endorsed the principles of the European Charter Code through the signature of the Declaration of Commitment. By the end of 2015, CIMNE started to work on the analysis of the 40 principles and on the methodology for the identification of the gaps in the centre.

The gaps identified and the plan to overcome them provides an attractive and supportive environment to researchers. In addition, CIMNE enters a network of aligned organisations from across Europe, providing opportunities for the exchange of experiences and the sharing of good practice with other organisations. With the certification of the award CIMNE also increases its international visibility and reputation.



## 2. HRS4R: THE PROCESS

### 2.1. HRS4R WORKING GROUP

CIMNE has created a working group of 8 persons (5 women and 3 men), with different level of responsibility inside the organisation, different kind of job and from different departments. These are the members:

name	e-mail	Position	area <sup>1</sup>
Mercè Alberich	<a href="mailto:malberich@cimne.upc.edu">malberich@cimne.upc.edu</a>	Director Secretary	Administration
Joan Baiges	<a href="mailto:jbaiges@cimne.upc.edu">jbaiges@cimne.upc.edu</a>	Associate Research Professor	Research and Technology Development
Roger Casanova	<a href="mailto:rcasanova@cimne.upc.edu">rcasanova@cimne.upc.edu</a>	Director Legal Area	Administration
Ester Comellas	<a href="mailto:ecomellas@cimne.upc.edu">ecomellas@cimne.upc.edu</a>	Post Doc	Research and Technology Development
Anna Font	<a href="mailto:annaf@cimne.upc.edu">annaf@cimne.upc.edu</a>	General Manager	Administration
Irene Latorre	<a href="mailto:ilatorre@cimne.upc.edu">ilatorre@cimne.upc.edu</a>	Human Resources	Administration
Salvador Latorre	<a href="mailto:latorre@cimne.upc.edu">latorre@cimne.upc.edu</a>	PhD Student	Research and Technology Development
Anna Monrós	<a href="mailto:monros@cimne.upc.edu">monros@cimne.upc.edu</a>	Research Engineer	Research and Technology Development

Four members out of the eight employees involved in the HRS4R working groups are part of the researchers' community of CIMNE.

## 2.2. SURVEY

### 2.2.1. Starting point

The HRS4R working group studied the 40 principles of the European Charter for Researchers and the Code of Conduct to determine the most relevant aspects for the centre.

Although the European Strategy is thought exclusively for researchers, there are in CIMNE around 35 professionals working in administration tasks serving the researchers (see Section 1). Given that CIMNE is very committed for a successful implementation of the HRS4R and believe that the opinion of the Administration staff could only add value, the working group decided to take them on board. Therefore, it was decided to design two separate surveys: one for the professionals working in the Research and Technology Development Area and another one for the Administration Staff. This approach made possible that everyone in CIMNE could understand the importance of obtaining the quality award.

The information that has been used for the Plan we are presenting comes from the results of the survey for researchers. The analysis of the data emanating from the survey for Administration Staff has been kept for further internal analysis and conclusions are not presented in this document.

Both surveys are included as Annex 1 (Survey for Researchers) and Annex 2 (Survey for Administration Staff).

<sup>1</sup> This classification is in accordance to the 2 main blocks of personnel at CIMNE, described in the Organization Chart shown in Section 1 of this document.

## 2.2.2. Survey contents and characteristics

In order to increase the participation rate and the frankness of the answers, the survey was prepared to be answered on-line and anonymously.

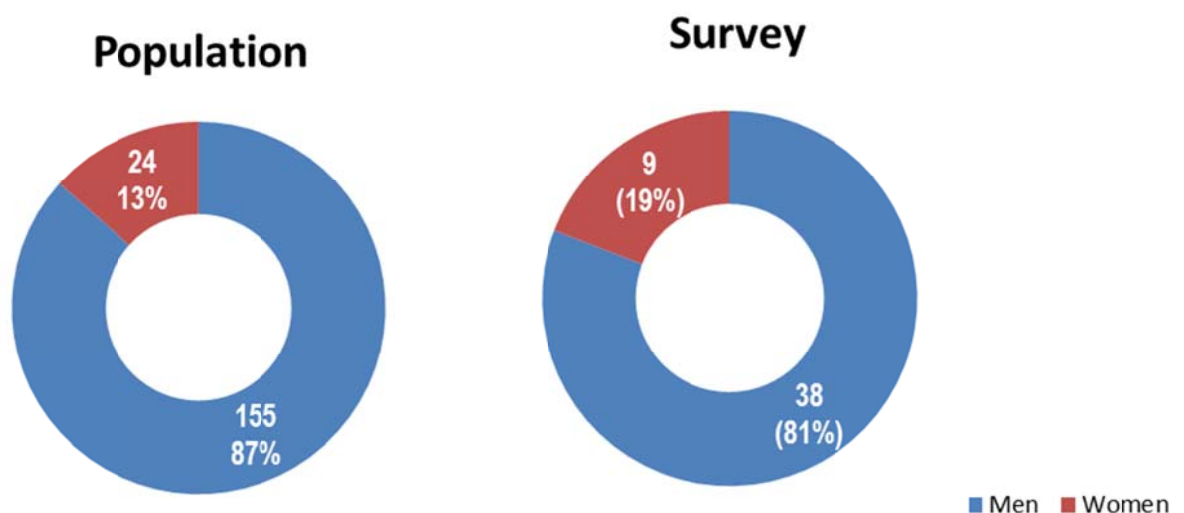
The survey contained 37 questions and they were of different kinds:

- Level of agreement to a given statement: the researcher could click from 1 to 5, 1 meaning no agreement at all and 5, meaning absolutely. This kind of questions also had the option of selecting NR/DK
- Yes/No questions, with an extra button of NR/DK
- True or False questions
- Open questions

The 37 questions were organised as follows:

- 2 introductory questions
- 14 questions related to Ethical and Professional
- 17 questions related to Recruitment issues
- 11 questions concerning Working Conditions and Social Security
- 2 questions on Training aspects
- 1 final open space to give the opportunity to express further concerns

All CIMNE researchers (179) were invited to answer the survey (155 men and 24 women); 47 complete questionnaires were received. 38 out of these 47 answers correspond to men and 9, to women.



The graphic shows that women have participated in a higher percentage than men in the survey.

The answers received gave CIMNE enough data to analyse and extract very interesting conclusions and ideas for the HRS4R Action Plan.

## 2.3. CALENDAR

The following table shows the timeline of all the actions undertaken in the process:

time	action
July 2013	CIMNE endorses the principles of the European Charter and Code
December 2015	CIMNE signs a contract with an external consultant to receive guidance through the process
January 2016	CIMNE's Direction signs a commitment to support the Implementation of the resulting Action Plan for the HR Excellence Award
January 2016	<b>Training:</b> The General Manager and the Human Resources Department are trained on Human Resources Excellence Process and some best practices are analysed
February 2016	A draft version of the survey is prepared, pending to be discussed with the working group
March 2016	Creation of a multidisciplinary, multilevel and gender balanced working group. Regular weekly meetings start.
March - April 2016	In-depth discussion of the questions to be included in the survey. The presence of many different staff categories with different focus interests made these discussions terribly fruitful
May 2016	Communication to all CIMNE Staff concerning the importance of this matter, informing about the framework of the strategy, and the next steps – surveying and requesting collaboration and commitment
May 2016	Surveying 179 researchers. 47 complete questionnaires received and ready to be analysed
May 2016	The HRS4R working group analyses the data gathered, with the assistance of an external consultant
June – September 2016	The HRS4R working group elaborates the Action Plan, with the support of an external consultant
September 2016 <sup>2</sup>	The HRS4R Action Plan is presented for approval
January 2017	The application is accepted pending minor changes. An updated final version addressing reviewers' comments is submitted.

<sup>2</sup> Please note that CIMNE made a first submission of the HRS4R Action Plan in May 2016. Unfortunately, it was declined. The present document is a re-submission. All comments and recommendations received in the Consensus Report have been taken into account.

## 3. ANALYSIS

### 3.1. SURVEY DATA ANALYSIS

In the next pages, CIMNE is presenting an in-depth analysis of all the answers collected, properly classified into the 4 blocks already mentioned:

- Ethical and Professional
- Recruitment issues
- Working Conditions and Social Security
- Training

The first column contains the question (in Spanish). The second column links this question to one of the forty principles. Please, take into account that some of the questions relate to more than one principle of the chart. The answers are expressed as a % of the total answers received in each question. For every question, the most responded is coloured.

ETHICAL AND PROFESSIONAL		NO		1/2	YES		NR/DK
Question in the survey (in Spanish)	Relation with the 40 principles	Does not agree at all	Does not agree	Partially agrees	Agrees	Absolutely Agrees	NR/DK
3. CIMNE facilita a sus colaboradores/as la libertad de pensamiento y expresión y libre elección de métodos para resolver problemas, siempre que se respeten los principios y prácticas éticas, y las limitaciones de la supervisión por parte del responsable, las partidas presupuestarias o la protección de la propiedad intelectual.	(1) Research freedom	0	0	6,38	40,43	51,06	2,13
4. ¿Has podido desarrollar una investigación a partir de una propuesta propia?	(1) Reserach freedom: Develop an own proposal	10,64			74,47		14,89
5. Como investigador/a haces lo posible para que los trabajos de investigación que desarrollas aporten novedad y no sean redundantes o duplicados.	(3) Professional responsibility: Relevant and innovative research	0	0	2,13	36,17	61,7	0
6. Como investigador/a conoces los objetivos estratégicos de CIMNE en el ámbito de tu área de investigación.	(4) Professional attitude, alignment to strategic objectives	6,38	10,64	36,17	25,53	17,02	4,26
7. Como investigador/a conoces los mecanismos de financiación para llevar a cabo proyectos en el ámbito de tu área de investigación.	(5) Contractual and legal obligations: Funding mechanisms	2,13	10,64	21,28	36,17	23,4	6,38
8. Conozco la normativa de propiedad intelectual de CIMNE.	(5) Contractual and legal obligations and (31) Intellectual Property Rights: Intellectual Property	74,47			25,53		0
9. Como personal de CIMNE soy consciente de que mi trabajo está financiado por fondos públicos y que por ello, soy responsable de su uso eficiente. Además, estoy comprometido/a a seguir los principios de competencia, transparencia y eficacia en la gestión financiera.	(6) Accountability: Responsibility for managing public funds	0	0	2,13	34,04	63,83	0
10. CIMNE facilita que sus colaboradores/as adopten siempre métodos de trabajo seguros y tomen las debidas precauciones para salvaguardar la salud y la seguridad.	(7) Good practice in research: safe working practices	2,13	2,13	6,38	27,66	55,32	6,38
11. CIMNE facilita a sus colaboradores/as las medidas adecuadas para protegerse de pérdidas de información.	(7) Good practice in research: information loss prevention	0	12,77	17,02	29,79	29,79	10,64
12. CIMNE facilita a sus colaboradores la difusión y explotación de los resultados de sus investigaciones, con el objeto de que los trabajos de investigación sean fructíferos y, en su caso, comercializados o difundidos al público.	(8) Dissemination, exploitation of results	0	0	21,28	31,91	40,43	6,38
13. CIMNE vela para hacer llegar los resultados de su investigación al público general.	(9) Public engagement: Dissemination of resarch results to general public	0	2,13	23,4	36,17	29,79	8,51
14. CIMNE no discrimina a sus empleados/as por motivos de: Género, Edad, Etnia o nacionalidad, Origen social o condición socio-económica, Religión o creencias, Orientación sexual, Idioma, Discapacidad, Opinión política	(10) Non discrimination	<b>See details of question n.14 below</b>					
15. CIMNE dispone de un comité de evaluación de resultados de la investigación transparente, independiente e internacional.	(11) Evaluation/ appraisal systems: Evaluation committee	19,15			19,15		61,7
16. Mi rendimiento como personal de CIMNE es evaluado de forma periódica.	(11) Evaluation/ appraisal systems: Evaluation of performance	21,28			68,09		10,64

And the details of question n.14 follow:

14. CIMNE <b>no discrimina</b> a sus empleados/as por motivos de: Género, Edad, Etnia o nacionalidad, Origen social o condición socio-económica, Religión o creencias, Orientación sexual, Idioma, Discapacidad, Opinión política	(10) Non discrimination	NO	1/2	YES	NR/DK
	Gender	11		82	7
	Age	9		91	0
	Etnich or nationality	11		89	0
	Social origin or socio-economic condition	13		87	0
	Religion or beliefs	4		96	0
	Sexual orientation	4		96	0
	Language	9		91	0
	Disability	11		89	0
	Political opinion	6		94	0

RECRUITMENT		NO		1/2	YES		NR/DK
Question in the survey (in Spanish)	Relation with the 40 principles	Does not agree at all	Does not agree	Partially agrees	Agrees	Absolutely Agrees	NR/DK
17. ¿Conoces la existencia de estándares establecidos por CIMNE con referencia a la admisión de personal investigador al principio de la carrera investigadora?	(12) Recruitment: Standards for admission of PhDs or junior research engineers	60,87			15,22		23,91
18. CIMNE tiene establecidos procesos de selección abiertos, transparentes, eficientes y no discriminatorios.	(12) Recruitment, (13) Recruitment code and (17) Variations in the chronological order of CVs: Non Discriminatory, open selection processes	4,26	8,51	17,02	14,89	19,15	36,17
19. ¿Estarías de acuerdo en implementar un comité de selección específico para cada vacante en el ámbito del personal investigador?	(14) Selection Code: Implementation of a selection committee	14,89			55,32		29,79
20. ¿Estarías dispuesto a formar parte de este comité?	(14) Selection Code: Becoming a member of the selection committee	17,02			55,32		27,66
21. ¿Crees que los procesos de selección son suficientemente claros en lo que respecta a los criterios de valoración, número de vacantes y perspectivas de desarrollo profesional?	(15) Transparency Code: Transparent recruitment processes and clear merits to be appraised	2,13	14,89	25,53	17,02	8,51	31,91
22. Por favor, puntúa del 1 al 5 (1: poco importante y 5: muy importante) la importancia de los siguientes criterios de valoración en un proceso de selección para el personal científico. También puedes contestar NS/NC si no estás seguro/a (PUNTO 16, 18, 19, 20, 29, 33)	(16) Judging merit, (18) Recognition of mobility experience, (19) Recognition of qualifications, (20) Seniority, (29) Value of mobility and (33) Teaching: Establishing the scale for measuring merits	<i>See details of question n.22 below</i>					
23. CIMNE dispone de normas claras y explícitas para el reclutamiento de los investigadores postdoctorales, incluyendo la duración máxima y los objetivos de sus contratos.	(21) Postdoctoral appointments Code: clear procedures for postdoctoral recruitment	10,64	14,89	12,77	8,51	4,26	48,94

22. Por favor, puntúa del 1 al 5 (1: poco importante y 5: muy importante) la importancia de los siguientes criterios de valoración en un proceso de selección para el personal científico. También puedes contestar NS/NC si no estás seguro/a (PUNTO 16, 18, 19, 20, 29, 33)	(16) Judging merit, (18) Recognition of mobility experience, (19) Recognition of qualifications, (20) Seniority, (29) Value of mobility and (33) Teaching: Establishing the scale for measuring merits
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1	Academic Merits	Being the most appraised
2	Creativity	
3	Experience	
4	Participation in projects	
5	Independence	
6	Publications	
7	Citations	
8	Mobility	
9	Dissemination	
10	Thesis Direction	
11	Teaching	Being the least appraised

WORKING CONDITIONS AND SOCIAL SECURITY		NO		1/2	YES		NR/DK
Question in the survey (in Spanish)	Relation with the 40 principles	Does not agree at all	Does not agree	Partially agrees	Agrees	Absolutely Agrees	NR/DK
24. CIMNE dispone de un plan de carrera investigadora, que conozco.	(22) Recognition of the profession: Research Career Development Plan	14,89	14,89	10,64	17,02	10,64	31,91
25. Cuento con un espacio de trabajo que facilita el desarrollo de mis labores profesionales.	(23) Research environment	0	6,38	6,38	29,79	55,32	2,13
26. CIMNE ofrece la posibilidad de hacer un horario flexible, que facilita la conciliación de la vida personal y profesional.	(24) Working conditions: Flexible working hours	0	0	4,26	27,66	65,96	2,13
27. CIMNE promueve la estabilidad de los puestos de trabajo, evitando en la medida de lo posible y de acuerdo con la legislación vigente, los contratos de duración determinada.	(25) Stability and permanence of employment	6,38	4,26	23,4	27,66	14,89	23,4
28. Estoy conforme con los niveles retributivos.	(26) Funding and salaries: Salaries	6,38	31,91	31,91	21,28	4,26	4,26
29. ¿Eres consciente de que CIMNE complementa al 100% las bajas médicas, aun cuando no es un requisito legal?	(26) Funding and salaries: Sicknes benefits	59,57			25,53		14,89
30a. En CIMNE no se produce ningún tipo de discriminación en función del género en ningún nivel, primando la igualdad de oportunidades en el momento de la contratación	(27) Gender Balance: Gender Balance at a recruitment phase	0	4,35	4,35	19,57	58,7	13,04
30a. En CIMNE no se produce ningún tipo de discriminación en función del género en ningún nivel, primando la igualdad de oportunidades durante el tiempo de permanencia en el centro	(27) Gender Balance: Gender Balance along the contract duration	0	4,26	8,51	14,89	61,7	10,64
31. CIMNE tiene definida una estrategia de desarrollo, asesoramiento y apoyo personal y profesional para los trabajadores en todas las etapas de su carrera que motiva y contribuya a la reducción de la incertidumbre en su futuro profesional.	(28) Career developmenet: Professional and pesonnel development strategy	17,02	29,79	14,89	12,77	8,51	17,02
32. CIMNE ofrece orientación profesional a sus trabajadores.	(30) Access to career advice	48,94			23,4		27,66
33. CIMNE dispone de un sistema de sugerencias y reclamaciones, basado en una estructura imparcial y confidencial, con la finalidad de resolver conflictos, disputas y quejas.	(34) Complains/ appeals	34,04			6,38		59,57
34. Existen mecanismos en CIMNE que permiten la participación en los órganos de decisión.	(35) Participation in decision-making bodies	34,04			10,64		55,32



TRAINING		NO		1/2	YES		NR/DK
Question in the survey (in Spanish)	Relation with the 40 principles	Does not agree at all	Does not agree	Partially agrees	Agrees	Absolutely Agrees	NR/DK
35. El centro fomenta el contacto organizado entre sus trabajadores, supervisores y representantes de los departamentos que permite mejorar los resultados a través del feedback recibido.	(36) Relation with supervisors, (40) Supervision	2,13	19,15	19,15	38,3	10,64	10,64
36. CIMNE favorece que sus trabajadores puedan perfeccionar su formación a través de diferentes medios como seminarios, conferencias, enseñanza oficial o formación virtual.	(38) Continuing Professional Development, (39) Access to reserach training and continuous development	0	6,38	2,13	36,17	55,32	0

Besides, we are also presenting all the answers to the questions in the survey in Annex 3 – Survey results. In Annex 3, every question is accompanied by a pie chart, showing clearly the percentage of each question.

The final question of the survey was no. 37:

*37. Nos gustaría poder contar con tu opinión. Por favor, haz alguna sugerencia para mejorar la igualdad de oportunidades de género y aspectos relacionados con la carrera investigadora*

**ENGLISH:**

*We would be happy to hear your opinion. Please make any suggestion to improve gender equality opportunities and/or any issue related to the research career.*

We are glad that 9 researchers actually filled in this last question. The answers can be found at the end of Annex 3.

We also include the translation into English of the whole list of questions of the survey as Annex 4.

Based on the answers received in the survey, it can be observed that:

On **Ethical and Professional** Aspects, the major issues that should be addressed are:

- The need to disseminate the strategic research objectives to researchers'
- The absolute necessity of explaining and disseminating CIMNE's internal Intellectual Property Policy, which exists and was approved by CIMNE's governing bodies in 2014
- The convenience of explaining the existence of the Scientific Advisory Committee, as more than 60% of respondents declared that they do not know it.

It is important to note that in a three cases, it is more a problem of communication strategy than other.

Concerning **Recruitment** issues, the survey shows that there is a need to clarify the admission standards and respondents are in favour of the creation of a special committee for recruitment and selection processes. In fact, when they are asked whether they would accept being appointed member of such a committee, more than 55% answer yes. In general, it seems that selection is a major concern for researchers and, therefore, this has to be an important point of improvement.

When asked about which are the merits that should be appraised in a selection process, the order (from most to least appraised) expressed by respondents is as follows: Academic Merits, Creativity, Experience, Participation in projects, Independence, Publications, Citations, Mobility, Dissemination, Thesis Direction and Teaching.

For what refers to **Working Conditions and Social Security**, it seems that researchers are not fully aware of the Research Career Development Plan, which actually exists and was approved by the governing bodies of the centre. On the other hand, researchers do not agree in general with the remuneration levels and are not aware of the effort in complementing sickness benefits that the centre is making. They report a lack of access to career advice. They also express their ignorance on the existence of a Complain/Appeal mechanism and on the possibility of participation in the decision-making bodies.

Finally, concerning **Training**, the level of satisfaction of respondents is quite high and thus the alignment with the contents of the code is also high.

## 3.2. GAP ANALYSIS

Complementary to the survey, a Gap Analysis of the 40 principles has been performed. The following pages analyse the compliance of CIMNE with every principle.

### 3.2.1. Ethical and professional aspects

1. Research freedom		
<p>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<p>Endorsement to the principles of European Charter and Code</p> <p>General Legislation Framework<sup>3</sup>. GLF, from now on</p>	None	N/A

2. Ethical principles		
<p>Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectorial or institutional Codes of Ethics.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<p>Endorsement to the principles of European Charter and Code</p> <p>GLF</p>	None	N/A

<sup>3</sup> This legislation includes, among others:

- Spanish Constitution (specially articles 44.2, 20.1, 20.4 and 149.15)
- Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación
- Ley 7/2007, de 12 de abril, del Estatuto Básico del Empleado Público
- Real Decreto Legislativo 5/2000, de 4 de agosto, por el que se aprueba el Texto Refundido de la Ley sobre Infracciones y Sanciones en el Orden Social.
- Ley 31/1995, de 8 de noviembre, de Prevención de Riesgos Laborales.

### 3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code GLF	None	N/A

### 4. Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

Existing Institutional rules and/or practices	Actions required	When/Who
Bi-annual performance assessment Evaluation of the Scientific Advisory Committee	Dissemination of strategic research objectives	Q1 2017 / Direction

5. Contractual and legal obligations		
<p>Researchers at all levels must be familiar with the national, sectorial or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Intellectual Property Policy <sup>4</sup>	Yearly training on regulations, including IP	Q2 2017 and Q2 2018 / Direction
GLF		

6. Accountability		
<p>Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.</p> <p>Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Bi-annual performance assessment  Annual Audit (financial and legal), supervised by <i>Intervenció de la Generalitat de Catalunya</i> (public controller)  Project management Reports  Internal CRM data (SigPro)	None	N/A

<sup>4</sup> CIMNE is provided with an Intellectual Property Policy, available to the researchers' community. It can be downloaded through the Transparency Portal from CIMNE's web site <http://www.cimne.com/vpage/2/0/About/Transparency-Portal>

### 7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Existing Institutional rules and/or practices	Actions required	When/Who
GLF Bi-annual audit on Data Protection Endorsement to the principles of European Charter and Code Occupational risk protection service	None	N/A

### 8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Existing Institutional rules and/or practices	Actions required	When/Who
Publications Department Conference organization service: Congress Bureau Technology Transfer service: CIMNE TECNOLOGIA S.A.	None	N/A

### 9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Existing Institutional rules and/or practices	Actions required	When/Who
Use of social networks (mainly web, Twitter and LinkedIn)  Collaboration thorough the CERCA network of Catalan centers and ACER  CIMNE Procurement Policy ( <i>Instruccions Internes de Contractació</i> )	Development of an Outreach Plan	Q1-Q2 2017 / Communication Dept + General Manager

### 10. Non discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code  Gender Equality Plan	Gender and Equality Plan Follow-up (making conclusions and recommendations available to the scientific community) <sup>5</sup> in bilateral way	Q2 2017, Q3 2017, Q4 2017, Q1 2018, Q2 2018 /  General Manager + HHRR Dept.

<sup>5</sup> Discrimination, including gender, has been appointed as a problem in the survey performed. Along with the implementation of the Human Research Strategy, CIMNE is also deploying a Gender and Equality Plan (see transparency portal for more details). In order to take advantage of both actions, CIMNE will inform of every conclusion and action taken within the Gender working group and an e-mail address will be created to address questions and comments on gender issues.

### 11. Evaluation/ appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Existing Institutional rules and/or practices	Actions required	When/Who
Career Development Plan	Improve the performance assessment procedure	Q1 2017 / General Manager + Scientific Director
Bi-annual performance assessment for researchers	Communicate the new performance assessment procedure	Q2 2017 / General Manager + Scientific Director
CIMNE Scientific Evaluation by the Scientific Advisory Committee		



### 3.2.2. Recruitment

12. Recruitment		
<p>Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Section of "Job Offers" in CIMNE web site  Announcements in Euraxess  Endorsement to the principles of European Charter and Code	Development of a document defining the admission standards for researchers (Admission Standards Doc)	Q1 2017/ Scientific Director + General Manager + HHRR Dept.
	Communication of the Admission Standards Doc to the researchers' community	Q2 2017/ Scientific Director

13. Recruitment (Code)		
<p>Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process  Section of "Job Offers" in CIMNE web site  Announcements in Euraxess  Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

#### 14. Selection (Code)

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

#### 15. Transparency (Code)

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

#### 16. Judging merit (Code)

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

### 17. Variations in the chronological order of CVs (Code)

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

### 18. Recognition of mobility experience (Code)

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

### 19. Recognition of qualifications (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

<b>20. Seniority (Code)</b>		
<p>The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</p>		
<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
CIMNE Recruitment process  Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

<b>21. Postdoctoral appointments (Code)</b>		
<p>Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.</p>		
<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
CIMNE Recruitment process  Endorsement to the principles of European Charter and Code	Communication of the recruitment process	Q1 2017/ General Manager + HHRR Dept.

### 3.2.3. Working conditions and social security

<b>22. Recognition of the profession</b> <p>All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Career Development Plan  Endorsement to the principles of European Charter and Code	Communication of the Career Development Plan to the researchers' community	Q1 2017/ Scientific Director + General Manager + HHRR Dept.
<b>23. Research environment</b> <p>Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Adequate Facilities and network connections  Endorsement to the principles of European Charter and Code	None	N/A
<b>24. Working conditions</b> <p>Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, <i>inter alia</i>, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Occupational risk protection plan	None	N/A

## 25. Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the *EU Directive on Fixed-Term Work*.

Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code	Improve the procedure for the bi-annual performance assessment of researchers	Q1 2017 / Scientific Director + General Manager

## 26. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Existing Institutional rules and/or practices	Actions required	When/Who
GLF	Define a salary scale according to the Career Development plan categories (Category Salary Scale Plan)	Q3 2017 / Scientific Director + General Manager + HHRR Dept.
	Communication of the Category Salary Scale Plan to the researchers' community	Q4 2017 / Scientific Director + General Manager

### 27. Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Recruitment process Endorsement to the principles of European Charter and Code	Analysis of possible bias in salary/ level of responsibility within CIMNE researchers with respect to gender	Q2 2017 / General Manager + HHRR Dept.

### 28. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code Career Development Plan	Communication of the Career Development Plan to the researchers' community	Q1 2017 / Scientific Director + General Manager + HHRR Dept.

<b>29. Value of mobility</b>		
<p>Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code  Career Development Plan	None	N/A

<b>30. Access to career advice</b>		
<p>Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code	Develop a Mentoring Program	Q4 2017/ Director + Scientific Director
	Communicate the Mentoring Program to the researchers' community	Q1 2018/ Director

<b>31. Intellectual Property Rights</b>		
<p>Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&amp;D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Intellectual Property Rights Policy (IPR Policy)	Communicate the CIMNE Intellectual Property Rights Policy (IPR Policy) to the researchers' community	Q1 2018/ Director



### 32. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc., or to publish their own research results independently from their supervisor(s).

Existing Institutional rules and/or practices	Actions required	When/Who
GLF Usual practice at CIMNE	None	N/A

### 33. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Existing Institutional rules and/or practices	Actions required	When/Who
GLF Usual practice at CIMNE	None	N/A

### 34. Complains/ appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Existing Institutional rules and/or practices	Actions required	When/Who
GLF	Development of an anonymous web-based system to manage complains and appeals	Q2 2017 / Systems + General Manager
	Training activity on conflict resolution for PIs	Q2 2018/ General Manager (with the help of external experts)

### 35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code	Implement periodic (every six months) meetings among directors of group	Q1 2017 / Director + Scientific Director + Group Directors

### 3.2.4. Training

<b>36. Relation with supervisors</b>		
<p>Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.</p>		
<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Endorsement to the principles of European Charter and Code</p> <p>Well-educated PIs in the international science system</p>	<p>Development of a document of Guidelines for supervision duties of PIs (Guidelines for Supervision)</p>	<p>Q1 2018 / Scientific Director + General Manager</p>
	<p>Training for the implementation of the Guidelines for Supervision</p>	<p>Q2 2018 / Scientific Director + PIs + General Manager</p>

<b>37. Supervision and managerial duties</b>		
<p>Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</p>		
<b>Existing Institutional rules and/or practices</b>	<b>Actions required</b>	<b>When/Who</b>
<p>Endorsement to the principles of European Charter and Code</p> <p>Well-educated PIs in the international science system</p>	<p>Development of a document of Guidelines for supervision duties of PIs (Guidelines for Supervision)</p>	<p>Q1 2018 / Scientific Director + General Manager</p>
	<p>Training for the implementation of the Guidelines for Supervision</p>	<p>Q1 2018 / Scientific Director + PIs + General Manager</p>

### 38. Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Training Opportunities CIMNE's Seminar and Courses Program CIMNE Coffee Talks CIMNE Conference organization	None	N/A

### 39. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

Existing Institutional rules and/or practices	Actions required	When/Who
CIMNE Training Opportunities CIMNE's Seminar and Courses Program	Development of a document of Guidelines for supervision duties of PIs (Guidelines for Supervision)	Q1 2018 / Scientific Director + General Manager
CIMNE Coffee Talks CIMNE Conference organization	Training for the implementation of the Guidelines for Supervision	Q2 2018 / Scientific Director + PIs + General Manager

#### 40. Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Existing Institutional rules and/or practices	Actions required	When/Who
Endorsement to the principles of European Charter and Code  Well-educated PIs in the international science system	Development of a document of Guidelines for supervision duties of PIs (Guidelines for Supervision)	Q1 2018 / Scientific Director + General Manager
	Training for the implementation of the Guidelines for Supervision	Q2 2018 / Scientific Director + PIs + General Manager

### 3.3. CONCLUSIONS AFTER THE ANALYSIS

The HRS4R working group has analysed in depth the survey results and has made an exhaustive study of the degree of compliance of CIMNE with the 40 principles of the charter. These are the most outstanding fields in which CIMNE could improve:

- Communication: although CIMNE is provided with key internal policies (IPR, Career Development Plan, etc.), the survey has shown that most researchers are not familiar with them. Important communication actions need to be undertaken.
- Recruitment admissions standards need to be clarified and the Recruitment policy needs to be explained and communicated
- Discrimination (including gender) seems to be a concern among some researchers. Important coordination actions with the implementation of the Gender and Equality Plan will be needed. Also, commitment of all the researchers' community will need to be pursued.
- CIMNE needs to make more efforts in outreach to the general public
- The periodic performance assessment should be improved, including some of the aspects of the charter which nowadays are not properly addressed
- IPs and Group directors need recommendations to improve the periodic supervision of their students. CIMNE should also work mentoring aspects.
- CIMNE should make an effort to enlarge transversal training and motivate researchers to participate in it.
- Salary scales should be revised and updated, making sure there are no gender biases in the actual gross salaries.
- CIMNE needs to tackle with complains; an anonymous web-based system should be implemented.

## 4. ACTION PLAN

According to both studies performed (survey and gap analysis), CIMNE has defined 14 actions to be implemented throughout the period: January 2017 – June 2018.

ACTION 0	Researchers commitment to the Implementation of the HR Strategy
ACTION 1	Dissemination of strategic research objectives
ACTION 2	Yearly training on regulations, including IP
ACTION 3	Development of an outreach plan
ACTION 4	Gender and Equality plan follow-up
ACTION 5	Performance assessment
ACTION 6	Recruitment and admission standards
ACTION 7	Career development plan
ACTION 8	Mentoring Program
ACTION 9	Intellectual Property Rights
ACTION 10	Complains and Appeals
ACTION 11	Participation
ACTION 12	Supervision
ACTION 13	Conflict resolution

These 14 actions (containing a total of 23 activities) configure CIMNE's Action Plan and will become CIMNE's Human Resources Strategy to achieve excellence in that field:

<b>ACTION NUMBER</b>	0	
<b>TITLE</b>	Researchers Commitment to the Implementation of the HR Strategy	
<b>AREA</b>	General	
<b>PRINCIPLES AFFECTED</b>	All	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Direction, Researchers' Community, HRS4R working group	Assembly meeting, presenting: <ul style="list-style-type: none"> <li>- survey results</li> <li>- conclusions of the gap analysis</li> <li>- action plan designed</li> </ul> Collect the researchers' comments and questions	28/02/2017

HRS4R working group	Report on the feedback received from the researchers' community and amendment (if needed) of the Action plan.	31/03/2017
	Publication (if necessary) of the new Action Plan at CIMNE's web site.	31/03/2017

<b>ACTION NUMBER</b>	1	
<b>TITLE</b>	Dissemination of strategic research objectives	
<b>AREA</b>	Ethical and Professional Aspects	
<b>PRINCIPLES AFFECTED</b>	4. PROFESSIONAL ATTITUDE	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Direction	Communication of the strategic objectives, specifying the impacts on the area of research, to research teams.	31/01/2017

<b>ACTION NUMBER</b>	2	
<b>TITLE</b>	Yearly training on regulations, including IP	
<b>AREA</b>	Ethical and Professional Aspects	
<b>PRINCIPLES AFFECTED</b>	4. CONTRACTUAL AND LEGAL OBLIGATIONS	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Direction	Yearly training on regulations, including Intellectual Property Policies	30/06/2017 30/06/2018



<b>ACTION NUMBER</b>	3	
<b>TITLE</b>	Development of an Outreach Plan	
<b>AREA</b>	Ethical and Professional Aspects	
<b>PRINCIPLES AFFECTED</b>	9. PUBLIC ENGAGEMENT	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Communication Dept. + General Manager	Development of an Outreach Plan	30/06/2017

<b>ACTION NUMBER</b>	4	
<b>TITLE</b>	Gender and Equality plan follow-up	
<b>AREA</b>	Ethical and Professional Aspects	
<b>PRINCIPLES AFFECTED</b>	10. NON DISCRIMINATION	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
General Manager + HHRR Dept.	Gender and Equality Plan Follow-up (making conclusions and recommendations available to the scientific community) <sup>6</sup> in bilateral way	30/06/2017 30/09/2017 31/12/2017 31/03/2018 30/06/2018

<sup>6</sup> Discrimination, including gender, has been appointed as a problem in the survey performed. Along with the implementation of the Human Research Strategy, CIMNE is also deploying a Gender and Equality Plan (see transparency portal for more details). In order to take advantage of both actions, CIMNE will inform of every conclusion and action taken within the Gender and Equality working group and an e-mail address will be created to address questions and comments on gender issues.

<b>ACTION NUMBER</b>	5	
<b>TITLE</b>	Performance assessment	
<b>AREA</b>	Ethical and Professional Aspects Working conditions and social security	
<b>PRINCIPLES AFFECTED</b>	11. EVALUATION/ APPRAISAL SYSTEMS 25. STABILITY AND PERMANENCE OF EMPLOYMENT	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
General Manager + Scientific Director	Improve the performance assessment procedure	31/03/2017
General Manager + Scientific Director	Communicate the new performance assessment procedure	30/06/2017

<b>ACTION NUMBER</b>	6	
<b>TITLE</b>	Recruitment and admission standards	
<b>AREA</b>	Ethical and Professional Aspects Recruitment Working conditions and social security	
<b>PRINCIPLES AFFECTED</b>	11. EVALUATION/ APPRAISAL SYSTEMS 12. RECRUITMENT 13. RECRUITMENT CODE 14. SELECTION CODE 15. TRANSPARENCY CODE 16. JUDGING MERIT CODE 17. VARIATIONS IN THE CHRONOLOGICAL ORDER OF CVs CODE 18. RECOGNITION OF MOBILITY EXPERIENCE CODE 19. RECOGNITION OF QUALIFICATIONS CODE 20. SENIORITY CODE 21. POSTDOCTORAL APPOINTMENTS CODE 25. STABILITY AND PERMANENCE OF EMPLOYMENT	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
General Manager + HHRR Dept.	Communication of the recruitment process	31/01/2017
Scientific Director + General Manager + HHRR Dept.	Development of a document defining the admission standards for researchers (Admission Standards Doc)	31/03/2017

Scientific Director	Communication of the Admission Standards Doc to the researchers' community	30/06/2017
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ACTION NUMBER	7	
TITLE	Career Development Plan	
AREA	Working conditions and social security	
PRINCIPLES AFFECTED	22. RECOGNITION OF THE PROFESSION 26. FUNDING AND SALARIES 27. GENDER BALANCE 28. CAREER DEVELOPMENT	
RESPONSIBLE	ACTIVITIES	DEADLINE
Scientific Director + General Manager + HHRR Dept.	Communication of the Career Development Plan to the researchers' community	31/03/2017
General Manager + HHRR Dept.	Analysis of possible bias in salary/ level of responsibility within CIMNE researchers with respect to gender	30/06/2017
Scientific Director + General Manager + HHRR Dept.	Define a salary scale according to the Career Development plan categories (Category Salary Scale Plan)	30/09/2017
Scientific Director + General Manager	Communication of the Category Salary Scale Plan to the researchers' community	31/12/2017

<b>ACTION NUMBER</b>	8	
<b>TITLE</b>	Mentoring Program	
<b>AREA</b>	Working conditions and social security	
<b>PRINCIPLES AFFECTED</b>	30. ACCESS TO CAREER ADVICE	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Director + Scientific Director	Develop a Mentoring Program	31/12/2017
Director	Communicate the Mentoring Program to the researchers' community	31/03/2018

<b>ACTION NUMBER</b>	9	
<b>TITLE</b>	Intellectual Property Rights	
<b>AREA</b>	Working conditions and social security	
<b>PRINCIPLES AFFECTED</b>	31. INTELLECTUAL PROPERTY RIGHTS	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Director	Communicate the CIMNE Intellectual Property Rights Policy (IPR Policy) to the researchers' community	31/03/2018

<b>ACTION NUMBER</b>	10	
<b>TITLE</b>	Complains and appeals	
<b>AREA</b>	Working conditions and social security	
<b>PRINCIPLES AFFECTED</b>	34. COMPLAINS/ APPEALS	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Systems + General Manager	Development of an anonymous web-based system to manage complains and appeals	30/06/2017

<b>ACTION NUMBER</b>	<b>11</b>	
<b>TITLE</b>	<b>Participation</b>	
<b>AREA</b>	Working conditions and social security	
<b>PRINCIPLES AFFECTED</b>	35. PARTICIPATION IN DECISION-MAKING BODIES	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Director + Scientific Director + Group Directors	Implement periodic (every six months) meetings among directors of group	31/03/2017

<b>ACTION NUMBER</b>	<b>12</b>	
<b>TITLE</b>	<b>Supervision</b>	
<b>AREA</b>	Training	
<b>PRINCIPLES AFFECTED</b>	39. ACCESS TO RESEARCH TRAINING AND CONTINUOUS DEVELOPMENT	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
Scientific Director + General Manager	Development of a document of Guidelines for supervision duties of PIs (Guidelines for Supervision)	31/03/2018
Scientific Director + PIs + General Manager	Training for the implementation of the Guidelines for Supervision	30/06/2018

<b>ACTION NUMBER</b>	<b>13</b>	
<b>TITLE</b>	<b>Conflict resolution</b>	
<b>AREA</b>	Training	
<b>PRINCIPLES AFFECTED</b>	34. COMPLAINS/ APPEALS	
<b>RESPONSIBLE</b>	<b>ACTIVITIES</b>	<b>DEADLINE</b>
General Manager (with the help of external experts)	Training activity on conflict resolution for PIs	30/06/2018

## 4.1. PROCESS FOLLOW-UP

In order to assure that all the actions actually are done and implemented on time, the HRS4R working group will meet on a regular basis (at the end of every quarter: December, March, June and September).

Apart from these follow-up meetings, the evolution of the implementation of planned actions will be informed in the board meetings (it will be **included as a separate item in the agenda of the board meetings**).

CIMNE is willing to a fruitful implementation of this Human Research Strategy and thus, also a number of **communication meetings** will be organised (open to all CIMNE staff but specially **targeted to the scientific community**). These meetings will be scheduled following the meetings of the HRS4R working group, in order to be able to provide attendants with up-to-date information. Also the **feedback** of researchers will be very much appreciated and gathered. Finally, in order to increase participation, an **e-mail account** will be created and managed by the HRS4R working group. This e-mail will be open so that comments and suggestions can reach the working group directly.

Last, but not least, we have determined that it could be a good idea to **repeat the survey** by the end of 2017. Participation and answers received will be analysed in depth by the working group.

## 4.2. TIMELINE

ACTIONS	ACTIVITIES	RESPONSIBLES	Q1 2017	Q2 2017	Q3 2017	Q4 2017	Q1 2018	Q2 2018
ACTION 0	Assembly meeting with researchers' community and collection of comments	Direction +-Researchers' Community+ HRS4R working group						
ACTION 0	Report feedback of researchers' community and implement changes in the Action Plan, if needed	HRS4R working group						
ACTION 1	Dissemination of strategic research objectives	Direction						
ACTION 2	Yearly training on regulations, including IP	Direction						
ACTION 3	Development of an Outreach Plan	Communication Dept + General Manager						
ACTION 4	Gender and Equality Plan Follow-up	General Manager + HHRR Dept.						
ACTION 5	Improve the performance assessment procedure	General Manager + Scientific Director						
ACTION 5	Communicate the new performance assessment procedure	General Manager + Scientific Director						
ACTION 6	Communication of the recruitment process	General Manager + HHRR Dept.						
ACTION 6	Development of a document defining the admission standards for researchers (Admission Standards Doc)	Scientific Director + General Manager + HHRR Dept						
ACTION 6	Communication of the Admission Standards Doc to the researchers' community	Scientific Director						
ACTION 7	Communication of the Career Development Plan to the researchers' community	Scientific Director + General Manager + HHRR Dept.						
ACTION 7	Analysis of possible bias in salary/ level of responsibility within CIMNE researchers with respect to gender	General Manager + HHRR Dept.						
ACTION 7	Define a salary scale according to the Career Development plan categories (Category Salary Scale Plan)	Scientific Director + General Manager + HHRR Dept.						
ACTION 7	Communication of the Category Salary Scale Plan to the researchers' community	Scientific Director + General Manager						
ACTION 8	Develop a Mentoring Program	Director + Scientific Director						
ACTION 8	Communicate the Mentoring Program to the researchers' community	Director						
ACTION 9	Communicate the CIMNE Intellectual Property Rights Policy (IPR Policy) to the researchers' community	Director						
ACTION 10	Development of an anonymous web-based system to manage complains and appeals	Systems + General Manager						
ACTION 11	Implement periodic (every six months) meetings among directors of group	Director + Scientific Director + Group Directors						
ACTION 12	Development of a document of Guidelines for supervision duties of Pls (Guidelines for Supervision)	Scientific Director + General Manager						
ACTION 12	Training for the implementation of the Guidelines for Supervision	Scientific Director + Pls + General Manager						
ACTION 13	Training activity on conflict resolution for Pls	General Manager (with the help of external experts)						

## **ANNEX 1 – SURVEY FOR RESEARCHERS**



## **ANNEX 2 – SURVEY FOR ADMINISTRATION STAFF**

## **ANNEX 3 – SURVEY RESULTS**

## **ANNEX 4 – QUESTIONNAIRE IN ENGLISH**

### **GENERAL QUESTIONS 1**

1. Age
2. Sex

### **ETHICAL AND PROFESSIONAL ASPECTS**

3. CIMNE gives its researchers the freedom of thought and expression and free choice of methods to solve problems, provided that principles and ethical practices, limitations of the supervision by the responsible, budgetary allocations and protection of intellectual property are respected.
4. Have you been given the possibility of developing research from a proposal of your own?
5. As a researcher, do you do whatever possible to develop innovative research and provide non-redundant works?
6. As a researcher, do you know CIMNE's strategic objectives within your research area?
7. As a researcher, do you know the funding mechanisms for financing research works in your field?
8. Do you know CIMNE's Intellectual Property policy?
9. As a member of CIMNE staff, I am aware that my research works and developments are financed by means of public funds and, therefore, I am responsible for an adequate use of them. I am also committed to follow the principles of competence, transparency and efficiency in the financial management.
10. CIMNE enables its staff to adopt safe working methods and to take the necessary precautions to safeguard health and security.
11. CIMNE provides its staff of the necessary means to prevent them of the loss of information.
12. CIMNE helps its staff with the dissemination and exploitation of their research results to make research outputs become fruitful and, where applicable and possible, marketed and/or publically disseminated.
13. CIMNE works in order to convey the results of the research to the general public.
14. CIMNE does not discriminate its employees on the basis of: gender, age, ethnic or nationality, social origin or socio-economic condition, religion or belief, sexual orientation, language, disability or political opinion.
15. CIMNE counts with a committee for the evaluation of research results, which is transparent, independent and international.
16. My performance in CIMNE is evaluated periodically.

### **RECRUITMENT**

17. Do you know the existence of CIMNE's standards related to the admission of research personnel at the beginning of the research career?
18. CIMNE counts with open, transparent, efficient and non-discriminatory selection procedures.
19. Would you agree to implement a specific selection committee for each vacancy in the field of research staff?
20. Would you be willing to be part of this committee?
21. Do you think that the selection procedures are clear enough with respect to the evaluation criteria, the number of vacancies and the career development perspectives?
22. Please rate of 1 to 5 (1: unimportant and 5: very important) the importance of the following evaluation criteria in a scientific personnel selection process. You can also answer NR/DK if you're not sure: Academic Merits, Creativity, Experience, Participation in projects, Independence, Publications, Citations, Mobility, Dissemination, Thesis Direction and Teaching.
23. CIMNE has clear and explicit rules for recruiting postdoctoral researchers, including the maximum duration and objectives of their contracts.

## WORKING CONDITIONS AND SOCIAL SECURITY

24. CIMNE counts with a Career Development Plan, which I know.
25. I have a workspace that facilitates the development of my professional work.
26. CIMNE offers the possibility of making a flexible schedule, which facilitates the conciliation of personal and professional life.
27. CIMNE promotes stability of jobs, avoiding fixed-term contracts to the possible extent (and in accordance with the current legislation).
28. I agree with the salaries scale.
29. Are you aware that CIMNE complements up to 100% sickness benefits, although it is not a legal requirement?
30. In CIMNE there is no gender discrimination at any level and offering equal opportunities always prevails: a) at the time of recruitment; b) during the stay in the centre
31. CIMNE has defined a development strategy, advice and personal and professional support for employees at all stages of their career in order to motivate and contribute to reducing uncertainty in their professional future.
32. CIMNE provides professional guidance to employees.
33. CIMNE has a system to deal with complaints and appeals, based on an impartial and confidential structure aiming at solving conflicts, disputes and complaints.
34. There are mechanisms in CIMNE that allow the participation in decision-making bodies.

## TRAINING

35. CIMNE promotes organised contact among employees, supervisors and heads of department, which allows improving results through the feedback received.
36. CIMNE encourages its employees to improve their training through various means such as seminars, conferences, formal education or virtual training.

## GENERAL QUESTIONS 2

We would be happy to hear your opinion. Please make any suggestion to improve gender equality opportunities and/or any issue related to the research career.