TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: 2020ES567206

Name Organisation under review: Institut de Recerca Biomèdica de Lleida- Fundació Dr. Pifarré (IRBLLEIDA)

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DATE ENDORSEMENT CHARTER AND CODE: 10 of May 2010

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. [1] These will typically include the Scientific Director, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4[2], as well as appoint a committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Management line/ Department
Diego Arango	Scientific Director	Scientific Direction of IRBLleida
Reyes Grases/ Joan Vives	Management Director	Management Direction of IRBLleida
Jose Valdivielso	Principal Investigator (R4)	Vascular and renal translational research group
Águeda Martínez	Senior Postdoctoral researcher (R3)	Molecular Oncology group
David de Gonzalo	Junior Postdoctoral researcher (R2)	Scientific and Technical Service for Respiratory Medicine and Chronic Pathologies

Maite Caus	Predoctoral researcher (R1)	Vascular and renal translational research group
Elena Moscatel	Human Resources Manager	Human Resources Unit of IRBLleida
Serafí Cambray	International Projects Unit representative	Technical Management Office of IRBLleida
Naiara Vilaginés	Technical Management Office representative	Technical Management Office of IRBLleida
Meritxell Martí	Works Committee member	IRBLleida Works Committee
Aurora Pérez	Predoctoral researcher (R1)	Vascular and renal translational research group
Ivan Hidalgo	Predoctoral researcher (R1)	GREBIC
Milica Bozic	Senior Postdoctoral researcher (R3)	Vascular and renal translational research group

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4[3], as well as appoint a committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

*The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career 'level', type of contract etc. etc.*

For a description of R1-R4, see
https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors

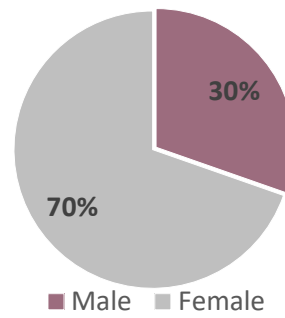Provide information on how the above groups were involved in the GAP-analysis:

*Stakeholder group	*Consultation format	Outcomes
Steering Committee	• Meetings • E-mails	A Steering Committee has been appointed to guarantee the continuous overseeing and monitoring of the Human Resources Strategy for Research (HRS4R) process.

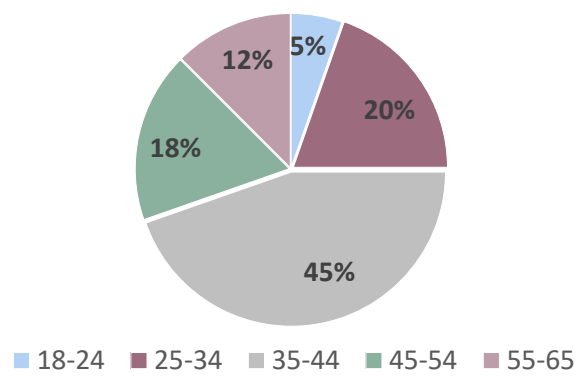|		
		The Committee is formed by the Scientific Director, the Management Director, the Human Resources Manager and representatives of researchers of the institution. The Steering Committee members has been also designated as Working Group members involved on the HRS4R process.
		The Steering Committee has participated in 5 work meetings during the development of the new HRS4R strategy action plan of IRBLleida, coordinating the Working Group activity during the process. The Committee has maintained an active communication by e-mail, sending and receiving all the important notifications and relevant requirements during the process.
Working Group	• Meetings • E-mails • Survey based on the 40 Charter & Code principles	A new HR Working Group has been appointed to carry out the development of the new HRS4R strategy Action Plan. Additionally, the group will participate in all phases derived from the implementation, monitoring and self-assessment of the HRS4R strategy.
		The HR Working Group involves key players with an active position in IRBLleida, including representatives of each research categories and the management and scientific support areas.
		The Working Group has participated actively in quarterly meetings carrying out different activities required for the new HRS4R action plan development. In addition, the Working Group has been in continuous communication by e-mail, sharing relevant notifications, requirements and results during the process.
		The Working Group is responsible for the analysis and revision of the main GAP in the institution and the elaboration of the new Action Plan required in the HRS4R process according with the specific templates. First, to understand the current situation in human resources, the Working Group analysed a survey based on the 40 principles included in the Charter & Code. For each principle, the following information was requested from the Working Group: • Indicate the initiatives that are being conducted in the institution regarding this principle (strengths).

		• Identify the major GAP in the institution regarding this principle (weaknesses). • Indicate the national or regional legislation or institutional regulations that allow or prevent the implementation of this principle in the institution. The results of the survey, in addition to the results of other online survey conducted from the rest of the IRBLleida staff, were analysed to elaborate the internal GAP analysis and to identify the principal weaknesses and suggestions for improvement to develop in the Action Plan.
Research and administrative staff	• Internal communications channels (E-mail and bulletins) • Online survey based on 25 principles of the Charter & Code list	IRBLleida informed to all the research and administrative community about the HRS4R strategy and the current updating process through the corporative internal communication e-mail. The research staff was also informed about the process through one of the internal research seminars organized by the Scientific Director. IRBLleida has a total of 428 adhered people among researchers, Management and administrative staff and Technical staff form scientific support services. SURVEY: The Working Group distributed by e-mail an online survey to consult all the IRBLleida staff about 25 principles selected from the whole Charter & Code list. The selection of these key principles was by consensus of the Working Group and took into account the previous evaluation process, specifically the results obtained from the prior GAP analysis and the previous questionnaire. These selected principles were considered as the most relevant to be consulted for the whole community to ensure a plenty participation. The survey was organised in five sections that included questions based on the 25 selected principles: • Basic information: including personal and professional information from the participants such as gender, age range, contracting institution, professional category and research area or management department. • Ethical and professional aspects: including questions to 7 principles.

| | | • Recruitment and selection: including questions to 6 principles.
• Working conditions and social security: including questions to 10 principles.
• Training: including questions to 2 principles.

All the staff were asked to score from 1 (lower degree) to 6 (higher degree) each principle concerning to:

• Level of implementation agreement (from 1 to 6, where 1 is very little agreement and 6 is full agreement).
• Level of priority (from 1 to 6, where 1 is very little priority and 6 is full priority).

Additionally, for each principle, the participants were required to provide their opinions and comments, providing other possible inputs and proposals for actions.

The Scientific and Management Direction, members of the HRS4R Steering Committee, sent the online survey by e-mail to 396 professionals of the adhered members to IRBLleida (99 of them contracted by IRBLleida), explaining the process in detail.

The HR Working Group analysed the results of the questionnaire and evaluated both the level of implementation at IRBLleida and the priority of each item to elaborate the internal GAP analysis. Moreover, the HR Working Group identified the main strengths, weaknesses and improvement areas to be considered in the development of the new HRS4R Action Plan.

From the whole professionals consulted (396 members), the online survey was answered by 56. The rate of participation was 14% (35% if only IRBLleida contracted personnel are considered). By gender, the rate of participation was 70% of women and 30% of men. Most of the participants were in a range from 25 to 54 years old (83%). |

Gender (%)

30% Male
70% Female

■ Male ■ Female

Age Range (%)

5% 18-24
20% 25-34
45% 35-44
18% 45-54
12% 55-65

■ 18-24 ■ 25-34 ■ 35-44 ■ 45-54 ■ 55-65
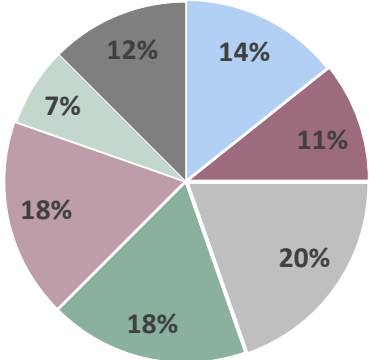
Most of the participants were own professionals contracted by IRBLleida (62%).

Contracting institution (%)

4% Other
62% IRBLleida
34% UdL

■ Other ■ IRBLleida ■ UdL
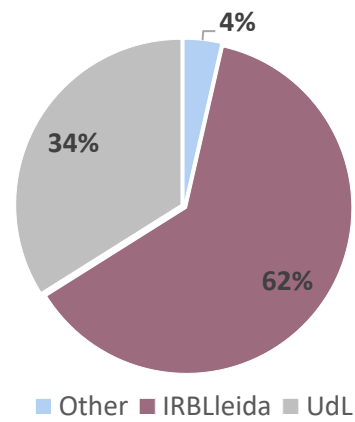
All the research areas and professional categories were represented as follow:

Professional Category (%)

- Management and administrative staff
- Junior Postdoctoral researcher (R2)
- Senior Postdoctoral researcher (R3)
- Predoctoral researcher (R1)
- Principal Investigator (R4)
- Other (medical, nursing, data manager or other professionals)
- Technical staff and research support services staff

In relation to the professional category, 86% of the participants corresponded to research community, and 14% corresponded to administrative and management staff who support and manage the scientific activities from the researchers.

Research area (%)

- Administration / Management
- Stress in biological systems
- Clinical medicine
- Medicine and experimental therapy
- Cellular and molecular models of human pathologies
- Neurosciences
- Other lines

For each principle, the level of implementation agreement and the level of importance were analysed, ranking the 25 consulted principles according to their median values and calculating a priority index as follow:

Priority index = Median of level importance values/Median of level of implementation agreement values

This priority index was used to rank each principle included in the survey. The principles with higher priority index were included in the Action Plan. The 18 priority principles obtained from this analysis were the following:

- Principle 28. Career development
- Principle 31. Intellectual Property Rights
- Principle 33. Teaching
- Principle 4. Professional attitude
- Principle 11. Evaluation/ appraisal systems
- Principle 30. Access to career advice
- Principle 34. Complains/ appeals
- Principle 22. Recognition of the profession
- Principle 5. Contractual and legal obligations
- Principle 14. Selection (Code)
- Principle 20. Seniority (Code)
- Principle 32. Co-authorship

- Principle 39. Access to research training and continuous development
- Principle 2. Ethical principles
- Principle 9. Public engagement
- Principle 15. Transparency (Code)
- Principle 16. Judging merit (Code)
- Principle 27. Gender balance

Areas	C&C Principles	Priority Index
Working conditions and social security	28. Career development	2,00
Working conditions and social security	31. Intellectual Property Rights	1,67
Working conditions and social security	33. Teaching	1,67
Ethical and professional aspects	4. Professional attitude	1,50
Ethical and professional aspects	11. Evaluation/ appraisal systems	1,50
Working conditions and social security	30. Access to career advice	1,50
Working conditions and social security	34. Complains/ appeals	1,50
Working conditions and social security	22. Recognition of the profession	1,33
Ethical and professional aspects	5. Contractual and legal obligations	1,25
Recruitment and selection	14. Selection (Code)	1,25
Recruitment and selection	20. Seniority (Code)	1,25
Working conditions and social security	32. Co-authorship	1,25
Training	39. Access to research training and continuous development	1,25
Ethical and professional aspects	2. Ethical principles	1,20
Ethical and professional aspects	9. Public engagement	1,20
Recruitment and selection	15. Transparency (Code)	1,20
Recruitment and selection	16. Judging merit (Code)	1,20
Working conditions and social security	27. Gender balance	1,20

Please describe how was appointed the Committee overseeing the process:

Free text 200 words maximum

The Management and Scientific Direction of IRBLleida have appointed the Steering Committee involved in HRS4R process. The Committee is formed by the Scientific Director, the Management Director, the Human Resources Manager and two representatives of researchers of the institution. The main role of the Steering Committee is to coordinate the proper development and implementation of the HRS4R strategy at IRBLleida, the continuous overseeing of the process and the monitoring of the KPIs. During the implementation process it will meet at least once a year. These members are also participated as Working Group members in the whole process.

The Steering Committee is composed by the following members:

- Scientific Director
- Management Director
- Human Resources Manager
- Principal Investigator (R4) representative

Senior Postdoctoral researcher (R3) representative

Please describe how was appointed the Working Group responsible for the implementation of the HRS4R process:

Free text 200 words maximum

IRBLleida has appointed a new HR Working Group, promoted by the Management and Scientific Direction of the institution, to carry out the development of the new HRS4R strategy action plan. The HR Working Group was constituted to check the previous internal GAP analysis and develop the new action plan in response to the gaps identified, conducting a proper implementation of the process. To engage different groups of employees in this process, the HR Working Group consisted of IRBLleida staff members, including representatives from different research categories and management or scientific support areas. Members of the Steering Committee are also represented in the Working Group. Members are listed below:

- Diego Arango. Scientific Director and Steering Committee member

- Reyes Grases/ Joan Vives. Management Director and Steering Committee member

- Jose Valdivielso. Principal Investigator (R4) and Steering Committee member

- Águeda Martínez. Senior Postdoctoral researcher (R3) and Steering Committee member

- David de Gonzalo. Junior Postdoctoral researcher (R2)

- Maite Caus. Predoctoral researcher (R1)

- Elena Moscatel. Human Resources Manager and Steering Committee member

- Serafí Cambray. International Projects Unit Manager

- Naiara Vilaginés. Technical Management Office representative

- Meritxell Martí. Works Committee member