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How do you know?

Important message to institutions:

Site Visits: All HRS4R in-house audits planned for 2020 Q4 will be conducted remotely with the consent of the host institution. Should your institution be at renewal stage, once you submit your self-assessment online via the e-tool, the EC will be in contact with you to set a date for the remote visit together with a panel of independent experts. Should the institution prefer a classic on-site visit, the audit will be postponed to early spring 2021. Meanwhile, institutions involved in the process can continue using the HR Excellence in research award.

Internal Review

Case number: 2020ES568291

Name Organisation under review: Institut Universitari d'Investigació en Atenció Primària Jordi Gol (IDIAP Jordi Gol)

Organisation's contact details: Gran Via de les Corts Catalanes, 587; Àtic, Barcelona, Catalunya, 08007

1. Organisational Information

*Please provide an update of the key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	57
Of whom are international (i.e. foreign nationality) *	5
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	26
Of whom are women *	43
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	38

<input type="checkbox"/> An official EU website	FTE	How do you know?
STAFF & STUDENTS		
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	15	
Of whom are stage R1 = in most organisations corresponding with doctoral level *	4	
Total number of students (if relevant) *	10	
Total number of staff (including management, administrative, teaching and research staff) *	114	
RESEARCH FUNDING (figures for most recent fiscal year)	Ö	
Total annual organisational budget	3673000	
Annual organisational direct government funding (designated for research)	735000	
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations . including EU funding)	1277000	
Annual funding from private, non-government sources, designated for research	1661000	

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

IDIAPJGol was founded in 1996 to strengthen Primary Health Care (PHC) research. IDIAJGol's activities are focused on: i) promoting, developing and managing PHC research; ii) training investigators to generate and disseminate knowledge, and iii) transferring of health research findings to society. It has a main office in Barcelona and eight Research Support Units located in different areas of the Catalan territory which improve the accessibility of its services. During the last 3 years, IDIAPJGol's researchers have authored and co-authored 1030 scientific articles and have participated in 213 national and international research projects. Moreover, the IDIAPJGol has 35 accredited research groups.

2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Note: Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

<input type="checkbox"/>	An official EU website Ethical and professional aspects*	How do you know? ▼
Strengths and Weaknesses (Initial Phase)		
Strengths and Weaknesses (Interim Assessment)		
<p>This remains, as in the initial assessment phase, one of the most strongly developed thematic areas for the IDIAPJGol. We planned and carried out three actions aimed at the three C&C principles whose application was identified for improvement in the initial assessment phase (principles 4, 5 and 9). These three actions (actions 1, 2 & 3) have been successfully completed. The IDIAPJGol has disseminated the principles among its researchers at the annual meetings, it now has a staff handbook available online as well as a strategy to engage the public. Therefore, all the C&C principles in this thematic area are now fully implemented.</p>		
Remarks (max 500 words)		
<p>Although Action 1 has been successfully completed, the IDIAPJGol considers that researchers should be familiar with the strategic goals governing their research and promoting an appropriate professional attitude. In this regard, the IDIAPJGol has been planned as a new action that will enable new researchers to become aware of C&C principles.</p>		

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Recruitment and selection*How do you know?
▼

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

As the initial assessment showed, recruitment processes are carried out in accordance with ISO standard procedures and an equal opportunities and non-discrimination plan. However, this analysis showed that there was a need to improve the implementation of some C&C principles (principles 12, 13, 15, 16 & 21) and therefore six actions were planned in this thematic area. We have succeeded in completing five (actions 4, 6, 7, 8 & 9) of these six actions for the moment. We have analysed the reasons why our workers voluntarily leave IDIAP and these will be taken into account in the next strategic plan (2021-2025) with the aim of improving our talent retention policies. We have adapted our ISO procedures to include specific postdoctoral recruitment actions. We also now publish the results of the recruitment procedures on our website. However, one of the most important "action 5: to design a professional career plan" is extended.

Remarks (max 500 words)

The Catalan government has recently approved a strategic alliance between all Health Research Centers in Catalonia: IRISCAT alliance. This alliance requires that these issues be addressed jointly in order to establish common human resources policies. As a result, the IDIAPJGol must wait for designing the professional career plan. However, the design of this plan is a key objective of this alliance, so we consider "action 5" as extended.

An official EU website
Working conditions*How do you know?
▼

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

C&C principles such as recognition of the profession, research environment, working conditions, gender balance, among others were found to be fully implemented in IDIAPJGol. But it was observed that the implementation of other equally relevant principles needed to be improved (C&C principles 25, 26, 28, 34 & 35). Six actions were planned for this purpose. Three of these actions have been successfully completed (actions 2, 4 & 12). We have already referred to actions 2 and 4 in the previous points. With regard to action 12, the IDIAPJGol appointed an ombudsperson during the period 2018-2020. However, in December 2020, he will end his appointment and a new appointment is pending. Therefore, we have considered this new appointment as a new action. However, the remaining three actions (actions 5, 10 & 11) have been extended

Remarks (max 500 words)

The reasons for the extension of Action 5 have already been explained in recruitment and selection's, as this action was aimed at these two thematic areas. With regard to Action 10 aimed to improve the funding and salaries, it has also been affected in the same way as Action 5 by the creation of IRISCAT strategic alliance and it has also been extended. The last extended action was Action 11, due mainly to difficulties caused by the COVID 19 pandemic. However, we expect that next year 2021 it will be feasible to carry out the assessment of mentor performance.

<input type="checkbox"/>	An official EU website Training and development*	How do you know? ▼
Strengths and Weaknesses (Initial Phase)		
<div style="border: 1px solid black; height: 20px;"></div>		
Strengths and Weaknesses (Interim Assessment)		
<div style="border: 1px solid black; padding: 5px;"><p>We planned two actions (actions 11 & 13) to improve the one C&C principle (principle 40) we identified as partially implemented. The remaining principles of this thematic area were and continue to be fully implemented. In the thematic area we have already commented on the reasons why Action 11 has been extended. With regard to Action 13, this has been completed and the IDIAPJGol has now a guide to establish in a uniform manner rules of mentoring role.</p></div>		
Remarks (max 500 words)		
<div style="border: 1px solid black; padding: 5px;"><p>C&C principles 38 and 39 were assessed as fully implemented in the initial asses:</p></div>		

Have any of the priorities for the short- and medium term changed? (max 500 words)

The HR Excellence in Research Award has caused us to consider and plan a clear strategy. We designed an action plan in which some actions have been extended and it will be a priority to implement them over the next few years. On the other hand, the internal review has allowed us to identify new actions. Therefore, this action plan will also be integrated into the new IDIAPJGol strategic plan 2021-2025.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)

As with all research institutions, the new coronavirus pandemic has been a major source of difficulty. In the case of IDIAPJGol, as a health research institution, these difficulties have been even greater, as many of its resources have been dedicated to the management, treatment and prevention of COVID-19. However, the IDIAPJGol has made a significant effort by completing 10 of the 13 planned actions and extending the remaining three.

Are any strategic decisions under way that may influence the action plan? (max 500 words)

The new IDIAPJGol strategic plan 2021-2015 is currently being developed. This plan will integrate the C&C principles as well as the OTM-R policies and practices.

3. Actions | EU website

How do you know?

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS

Action 1	GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
To use of a proactive dissemination strategy of Charter and Code principles among the IDIAPJGol researchers	4. Professional attitude	Second quarter of 2018	Training unit	The number of annual meetings directed at researchers that they have included issues of the C&C principles.
	Current Status	Remarks		
	COMPLETED	We have already included issues of the C&C principles in two annual meetings. The IDIAPJGol will continue to carry out this action at its annual meetings, in order to disseminate the C&C principles among its new researchers.		

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Proposed ACTIONS

How do you know?

Action 2

To publish a staff handbook online (including, among others, information of the governing bodies and information for complaints and suggestions web tool).

GAP Principle(s)

- 5. Contractual and legal obligations
- 34. Complains/appeals
- 35. Participation in decision-making bodies

Timing (at least by year/quarter/semester)

Second quarter of 2018

Responsible Unit

Human Resources Unit

Indicator(s) / Target(s)

Deliverable: Staff handbook

Current Status**Remarks**

COMPLETED

This staff handbook is available at <https://www.idiapjol.org/index.php/en/idiap-en-gb/work-with-us?id=340>

Action 3

Strategic plan (2017-2020): to develop an operational plan for strengthening the public engagement in the Primary Care Research

GAP Principle(s)

- 9. Public engagement

Timing (at least by year/quarter/semester)

Four quarter of 2018

Responsible Unit

Human Resources Unit

Indicator(s) / Target(s)

Deliverable: Operational plan for strengthening the public engagement document.

Current Status**Remarks**

COMPLETED

This document is available at <https://www.idiapjol.org/index.php/en/participation-of-citizens-in-research-projects>

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Proposed ACTIONS

How do you know?

Action 4	GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Strategic plan's action (2017-2020): study on the situation of IDIAPJGol policies in retention of talent	12. Recruitment			
	21. Postdoctoral appointments (Code)			
	25. Stability and permanence of employment	Third quarter of 2018	Human Resources Unit	Deliverable: Study report.
	26. Funding and salaries			
	28. Career development			
	Current Status	Remarks		
	COMPLETED	A survey has been carried out among workers who left IDIAP of their own choice. A study report has been prepared based on the results of this survey. The results of this study are being taken for consideration in the development of the new IDIAPJGol strategic plan (2021-2025)		

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Proposed ACTIONS

How do you know?

Action 5	GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Strategic plan's action (2017-2020): to design a professional career plan	12. Recruitment	Four quarter of 2022	Human Resource Unit	Deliverable: Professional career plan document.
	15. Transparency (Code)			
	21. Postdoctoral appointments (Code)			
	25. Stability and permanence of employment			
	26. Funding and salaries			
	28. Career development			
Current Status	Remarks			
EXTENDED	The Catalan government has recently approved a strategic alliance between all Health Research Centres in Catalonia: IRISCAT alliance. This alliance requires that these issues be addressed jointly in order to establish common human resources policies. As a result, the IDIAPJGol must wait for designing the professional career plan. However, the design of this plan is a key objective of this alliance, so we consider "action 5" as extended.			

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How do you know?

Proposed ACTIONS

Action 6

To adapt ISO procedure (PR07 %Staff recruitment+) to specific actions for postdoctoral recruitment

GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
12. Recruitment	Second quarter of 2018	Quality unit & Human Resources Unit	Deliverable: document of procedure PR07 %Staff recruitment+
21. Postdoctoral appointments (Code)			
Current Status		Remarks	
COMPLETED		No remark required	

Action 7

To translate into English ISO procedure: PR07 %Staff recruitment+

GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
13. Recruitment (Code)	Second quarter of 2018	Quality unit	Deliverable: document of procedure PR07 %Staff recruitment+ (English version)
15. Transparency (Code)			
Current Status		Remarks	
COMPLETED		No remark required	

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Proposed ACTIONS

How do you know?

Action 8

To publish the results of recruitment procedure in the IDIAPJGol website

GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
14. Selection (Code)	Third quarter of 2018	Human Resources Unit	Percentage of recruitment procedures in which their results have been published on the IDIAPJGol website
16. Judging merit (Code)			

Current Status**Remarks**

COMPLETED

The percentage of recruitment procedure results published on the IDIAPJGol website was 100%.

Action 9

To include qualitative and quantitative criteria in the job offers descriptions

GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
16. Judging merit (Code)	Second quarter of 2018	Human Resources Unit	Deliverable: Template of call for job offers include in %R07 %Staff recruitment
19. Recognition of qualifications (Code)			

Current Status**Remarks**

COMPLETED

No remark required

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How do you know?

Proposed ACTIONS

Action 10

Strategic plan (2017-2020): to design an implementation plan of funding and salaries policies

GAP Principle(s)

26. Funding and salaries

Timing (at least by year/3 quarter/semester)

Four quarter of 2022

Responsible Unit

Chief Director

Indicator(s) / Target(s)

Deliverable: Implementation plan of funding and salaries policies

Current Status

EXTENDED

Remarks

This action, like Action 5, has been conditioned by the IRISCAT strategic alliance. For this reason, it is considered extended.

Action 11

To assess mentor performance

GAP Principle(s)

28. Career development

37. Supervision and managerial duties

40. Supervision

Timing (at least by year/3 quarter/semester)

Four quarter of 2021

Responsible Unit

Training Unit

Indicator(s) / Target(s)

Deliverable: assessment report

Current Status

EXTENDED

Remarks

The IDIAP has developed and agreed on the evaluation criteria but the evaluation strategy and assessment could not be carried out due mainly to difficulties caused by the COVID 19 pandemic.

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How do you know?

Proposed ACTIONS

Action 12

To appoint an ombudsperson to provide redress and mediation in cases of potential conflict

GAP Principle(s)

34. Complains/ appeals

Timing (at least by year/ quarter/semester)

First quarter of 2018

Responsible Unit

Scientific department

Indicator(s) / Target(s)

Deliverable: Ombudsperson's letter of appointment

Current Status

Remarks

COMPLETED

IDIAP appointed an ombudsperson during the period 2018-2020. However, in December 2020, this ombudsperson will end his appointment and a new appointment is pending.

Action 13

To draft a guide to establish in a uniform manner rules of mentoring role

GAP Principle(s)

36. Relation with supervisors
40. Supervision

Timing (at least by year/ quarter/semester)

Fourth quarter of 2019

Responsible Unit

Training unit

Indicator(s) / Target(s)

Deliverable: institutional guide for mentors and mentees

Current Status

Remarks

COMPLETED

A guide has been drafted and it is available at https://www.idiapjgol.org/images/Formacio/PhD_Guide_021219.pdf

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Proposed ACTIONS

How do you know?

Action 14

To use of a proactive dissemination strategy of Charter and Code principles among the IDIAPJGol researchers

GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
4. Professional attitude	Continuous	Training Unit	The number of annual meetings directed at researchers that they have included issues of the C&C principles.

Current Status**Remarks**

NEW

The IDIAPJGol will continue to carry out this action at its annual meetings, in order to disseminate the C&C principles among its new researchers.

Action 15

To appoint an ombudsperson to provide redress and mediation in cases of potential conflict

GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
34. Complains/appeals	First quarter of 2021	Scientific department	Deliverable: Ombudsperson's letter of appointment

Current Status**Remarks**

NEW

IDIAP appointed an ombudsperson during the period 2018-2020. However, in December 2020, this ombudsperson will end his appointment and a new appointment is pending

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How do you know?

Proposed ACTIONS

Action 16	GAP Principle(s)	Timing (at least by year/quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
To develop an e-learning continuous training programme	38. Continuing Professional Development			Deliverable: portfolio of continuous e-learning training courses
	39. Access to research training and continuous development	Third quarter of 2021	Training Unit	
	Current Status	Remarks		
	NEW	C&C principles 38 and 39 were assessed as fully implemented in the initial assessment phase. However, the current pandemic situation has led IDIAPJGol to transform the offer of continuing training to make it more accessible to researchers.		

Unselected principles:

- 1. Research freedom 2. Ethical principles 3. Professional responsibility 6. Accountability
- 7. Good practice in research 8. Dissemination, exploitation of results 10. Non discrimination
- 11. Evaluation/ appraisal systems 17. Variations in the chronological order of CVs (Code)
- 18. Recognition of mobility experience (Code) 20. Seniority (Code) 22. Recognition of the profession
- 23. Research environment 24. Working conditions 27. Gender balance 29. Value of mobility
- 30. Access to career advice 31. Intellectual Property Rights 32. Co-authorship 33. Teaching

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL *:

<https://www.idiapjgol.org/index.php/en/idiap-en-gb/about-idiap?id=1078>

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how

your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Initial Phase)

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

A significant number of actions proposed after the initial assessments were focused on the OTM-R policy and practices, in particular actions 4 to 9. The completion of these actions has enabled us to improve IDIAPJGol policies and practices. Now all applicants are informed of the results of the selection process. We also use EURAXESS to disseminate all our job offers to ensure that our research vacancies reach a wide audience. The incorporation of the figure of the ombudsperson has also represented a significant improvement.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL:

Not applicable

4. Implementation

General overview of the implementation process: (max. 1000 words)

The C&C principles and the OTM-R policies and practices were an integral part of the IDIAPJGol strategic plan (2017-2020) as they will be in the new strategic plan (2021-2025). An implementation committee consisting of the management team and key employees of IDIAPJGol was established to coordinate the implementation process (information about this committee available at <https://www.idiapjgol.org/index.php/en/idiap-en-gb/about-idiap?id=1078>). In addition, a working group was formed. This group involved all members of the committee and a representative community of researchers.

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

Note: Click on each question of the checklist to open the editor.

<input type="checkbox"/>	An official EU website How have you prepared the internal review?*	How do you know? ▼
Detailed description and duly justification (max. 500 words)		
<p>The internal review was carried out according to a pre-established plan in which different relevant stakeholders and workers participated.</p>		
How have you involved the research community, your main stakeholders, in the implementation process? *		
Detailed description and duly justification (max. 500 words)		
<p>The implementation process involved workers in each of the units responsible for implementing the actions (human resources, quality and training units) as well as researchers from the scientific department and the chief director.</p>		
Do you have an implementation committee and/or steering group regularly overseeing progress? *		
Detailed description and duly justification (max. 500 words)		
<p>IDIAPJGol has an implementation committee which monitored implementation process.</p>		
Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy? *		
Detailed description and duly justification (max. 500 words)		
<p>As mentioned above, the IDIAPJGol's strategic plan is aligned with the HRS4R organisational policies.</p>		

How has your organisation ensured that the proposed actions would be also implemented? How do you know? * ▼

Detailed description and duly justification (max. 500 words)

The implementation committee ensured that the proposed actions are implemented within the set timeframe and achieving the expected results. Likewise, this committee proposed complimentary updates of the action plan if relevant deviations were found or new gaps were detected.

How are you monitoring progress (timeline)?* ▼

Detailed description and duly justification (max. 500 words)

The working group evaluated every six months the progress of the strategic actions planned.

How will you measure progress (indicators) in view of the next assessment?*



Detailed description and duly justification (max. 500 words)

Monitoring and evaluation based on defined indicators will be an integral part of the roles

How do you expect to prepare for the external review?*



Detailed description and duly justification (max. 500 words)

We will work with the implementation committee in the framework of the six-monthly follow-up meetings. We will involve workers of each of the units responsible for implementing the planned actions (human resources, quality and training units) as well as researchers of the scientific department.

Additional remarks/comments about the proposed implementation process: (max. 1000 words)