



*Fundació Privada i2CAT, Internet i
Innovació Digital a Catalunya*

Internal Gap Analysis and Action Plan for the period 2016-2020

Table of Contents

1. THE ORGANISATION: I2CAT FOUNDATION	3
a) Introduction.....	3
b) Context and approach	4
2. METHODOLOGY.....	5
a) Internal Gap Analysis.....	5
b) The survey for researchers	6
3. SURVEY RESULTS	9
a) General Information about the test group.....	9
4. CURRENT STATE AND CONCLUSIONS OF INTERNAL ANALYSIS.....	12
I. Ethical and professional aspects.....	12
II. Recruitment.....	17
III. Working conditions and social security	22
IV. Training	29
5. ACTION PLAN	32

1. The organisation: i2CAT Foundation

a) Introduction

The i2CAT Foundation is a non-profit research and innovation centre which promotes mission-oriented R+D+i activities on advanced Internet architectures, applications and services. The centre stands up for a new open innovation framework, fostering the collaboration between companies, public administration, the academic environment and end-users.

Internet has produced a superabundance of data, information and networks. The next step is to advance in the research and innovation of an Internet based on intelligent systems and smart technologies. The Internet of knowledge and creativity is the new challenge to face.

The i2CAT vision for the next 10 years is a networked smart world, a co-laboratory based in a new generation of networked intelligent technologies and systems, a co-creating platform between machines, people and the environment for a sustainable and smart future.

The i2CAT Foundation is governed by the following three bodies:

1. The Board of Trustees
2. The Executive Committee
3. Management Team

The diagram below (Figure 1) illustrates the organisational structure of i2CAT Foundation at these different levels. The total workforce consists of 60 people.

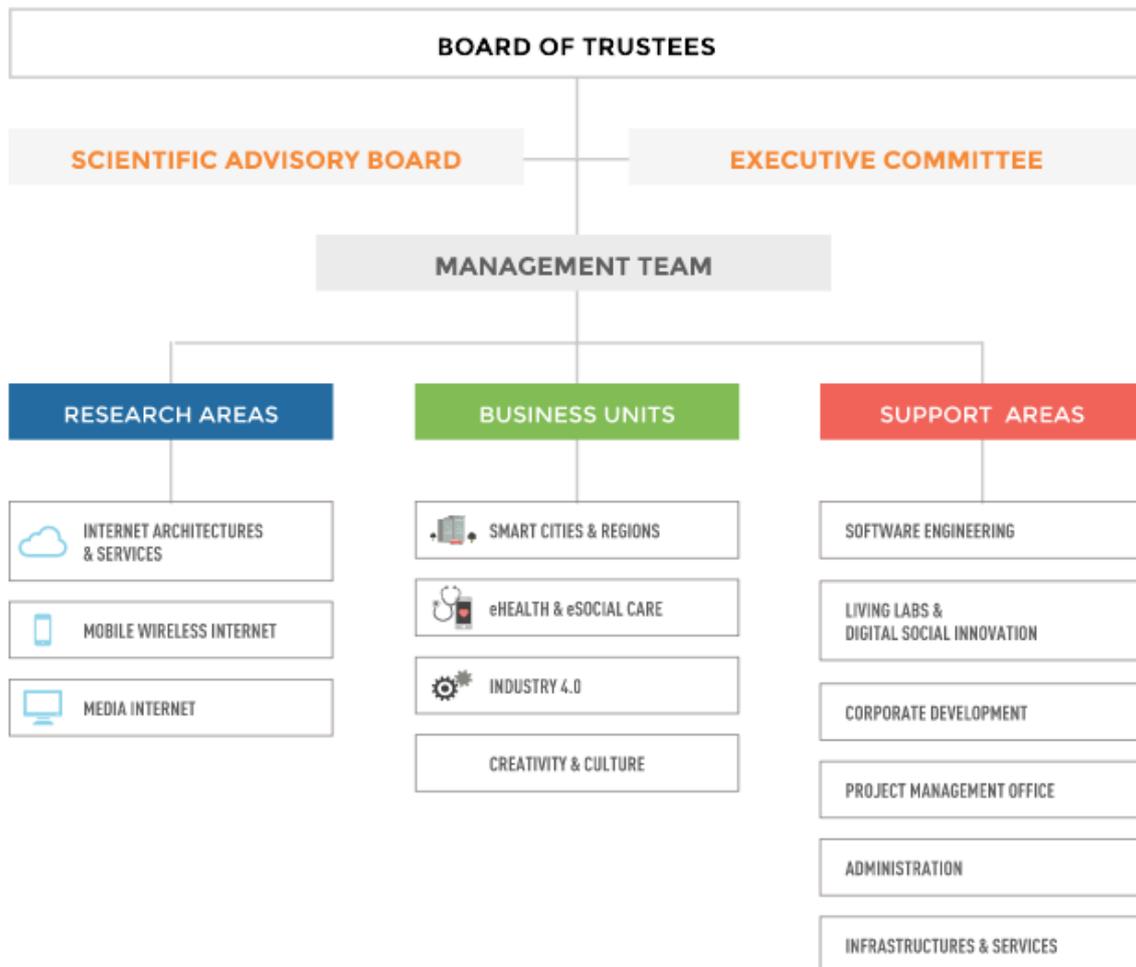


Figure 1: Organization of the i2CAT Foundation

b) Context and approach

In 2005 the European Union launched the principles of “The European Charter for Researchers” and “The Code of Conduct for the Recruitment of Researchers”:

- The European Charter for Researchers: compilation of ethical and professional responsibilities for the researcher, career and professional development, promotion and value of the mobility and evaluation/appraisal systems.
- The Code of Conduct for the Recruitment of Researchers: recruitment and contract practices, selection committees and merit judging.

The European initiative Human Resources Strategy for Researchers (HRS4R) is in line with the efforts above. It is an interesting action for the Research Institutions and funding organisations aiming to implement the Charter and Code in their policies and practices.

A concrete implementation of the Charter and Code by any Research Institutions should render it more attractive to researchers looking for a new employer or for a host for their research project. Therefore, the acknowledgement of such institution with the logo "HR Excellence in Research" identify it as provider and supporter of a stimulating and favourable working environment.

2. Methodology

The HRS4R strategy consists of 5 steps to be followed:

- Step 1. Internal gap analysis by the institution/organisation
- Step 2: Institutional Human Resources Strategy for Researchers/Action Plan
- Step 3: Acknowledgement by the European Commission - HR Excellence in Research.
- Step 4: Implementation phase and self-assessment
- Step 5: External assessment and renewal of acknowledgement

i2CAT decided to start implementing its HRS4R in 2016. The initiative is presented to the Management Team and some key person of Administration staff on 21/09/16. The initiative is presented to all the staff of the i2CAT Foundation on 28/09/16. During this meeting, the participation of some staff representatives is requested; where the subset of volunteers selected aimed to have a broader representation of all i2CAT profiles. The resulting team constitutes a Working Group (WG), which will initially cover steps 1 and 2, then monitor and provide a self-assessment for step 4. With this initiative, the i2CAT Foundation wants to achieve more international recognition on its excellence in Research and good practices in Human Resources.

a) Internal Gap Analysis

i2CAT has formed the HRS4R WG with the objective of designing and performing an internal analysis to honour the Charter and Code principles. The HRS4R WG consists of a heterogeneous group of employees, working in different positions and research areas at the Foundation. A detailed list is presented below:

	Name	Position	Department
1	Sonia Beltrán	Management Assistant	Support Area: Administration
2	Eduard Escalona	Director Research Area	Research Area: Internet Architectures and Services
3	Andrea Cervera	Project manager researcher	Business Unit: eHealth and Social Care
4	Marc Aguilar	Manager	Support Area: Living Labs Unit
5	Isart Canyameres	Engineer	Support Area: Software Engineering Group
6	Marisa Catalan	Project manager Researcher	Research Area: Mobile Wireless Internet Area
7	Carolina Fernández	Project researcher	Research Area: Internet Architectures and Services
8	Josep Paradells	Director i2CAT Foundation	Management Team

The WG met several times to address different tasks in order to define the Action Plan:

10/10/16	Kick-off meeting. Proposal of a questionnaire and reach consensus about it, how is going to be offered to the staff and the timing.
17/10/16	Review the results of the survey and reach a consensus about the priorities to be included in the Strategy and Action Plan.
20/10/16	Define a draft for the Action Plan.

The WG is responsible for monitoring the implementation of the action points during the lifetime of the action plan, and also for preparing the self-assessment in due time.

b) The survey for researchers

The HRS4R WG prepared a proposal based on the template of the European Commission, which includes 40 statements. The WG decided to include the whole set of questions in the

questionnaire to assure all relevant topics are covered allowing to make a broad analysis of the foundation. The questionnaire is attached in Annex I as “HRS4R questionnaire”.

The final survey was answered anonymously, using the Google Drive tools to collect the answers. The questionnaire itself states the anonymity on the treatment of the information acquired.

The survey includes:

- A brief general introduction, explaining the objective of the HRS4R action to the i2CAT staff.
- 8 questions to obtain a profile of the person answering it. While this set of questions do not help anonymity, it was included to better focus the analysis of the results regarding department, experience, etc. The questionnaire is intended to be answered by all the staff from i2CAT, even if only a part of the staff is composed of researchers. The profiling of the person answering the questionnaire can help in identifying issues and in applying the proper measures.
- 40 statements based on the principles of the Charter and Code split into the 4 following sections: I. Ethical and professional aspects; II. Recruitment; III. Working conditions and social security; and, IV. Training
- Open text box to provide comments, suggestions and propose actions for improving the current state of perceived issues at i2CAT.

All staff was asked to score each statement from 1 (lower agreement) to 5 (higher agreement), or either choose the non-applicable option.

The survey results were evaluated according to the criteria presented in Table 1.

Poor	There are discrepancies between the state of the given issues in i2CAT and the provisions of the Charter and Code. Remedial actions are recommended	<3
Average	An acceptable situation. Actions recommended depending on the opportunity and the amount of resources needed to develop an action	3-4
Good	Implementation of the provisions of the Charter and Code evaluated as good	>4

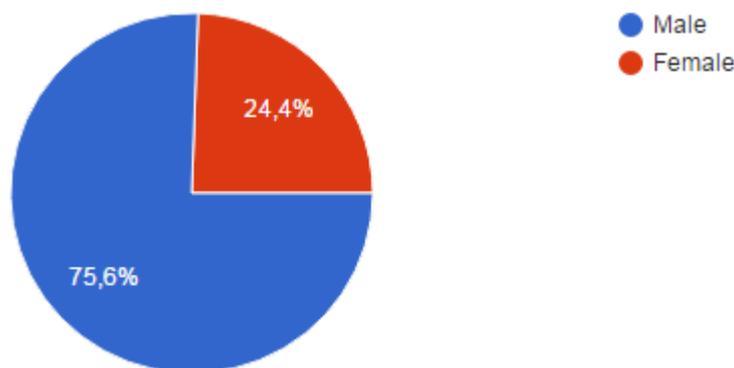
Table 1: Criteria applied when evaluating the results on each statement

The percentile corresponding to the answer (Not Applicable, 1, 2, 3, 4 and 5) has been computed to get further detailed conclusions, e.g. to identify the percentage of people not displaying criteria (N/A) or the distribution of the answers. This has been useful to detect, for instance, the unanimity or dispersion on the given answer.

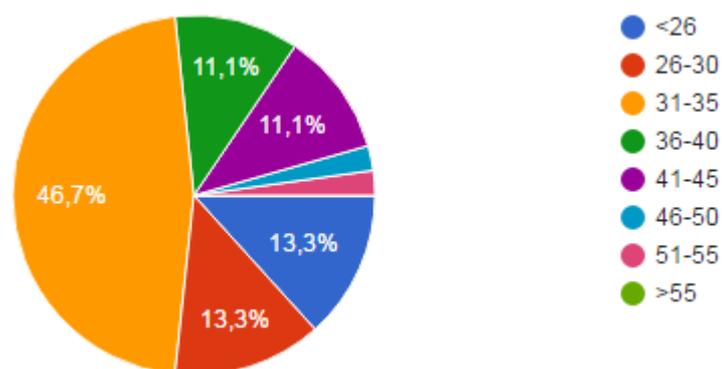
3. Survey results

a) General Information about the test group

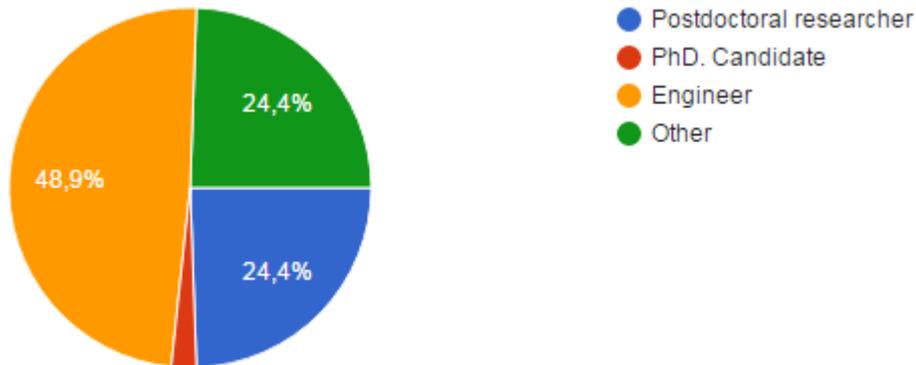
The survey was answered by 45 members of the i2CAT staff, out of 60. The participation on the HRS4R survey (75%) by the i2CAT staff was considerably high, being each area and unit of i2CAT highly represented. Analysing the participation by job roles, it is uniform among them and in terms of gender, women represent a higher percentage of participation.



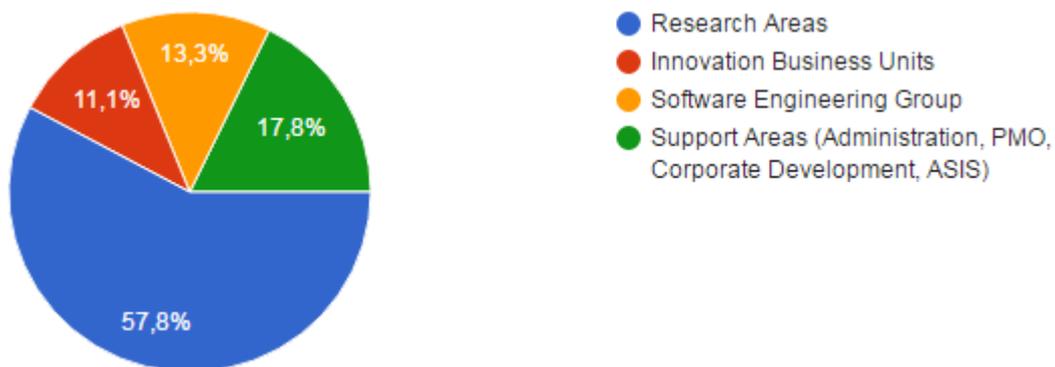
The distribution per ages is as follows, being the largest group that of people between 31 and 35 years.



Regarding the studies of the employees, almost half (48,9%) are engineers, while the rest of profiles, like PhD and Others (Support areas) have the same weight (24,4%).



The analysis of the results also takes into account the unit where the surveyed employees are carrying out their job – considering the Research Areas the most significant unit.



The results of the survey are presented in Table 2. The mean values for a given statement are shown for two groups of employees: the whole staff (left) and the research department (right). Colours are used to mark the results according to the value thresholds defined in Table 1.

A clear correlation can be observed between the columns in the table, thus coinciding in the evaluation of a good part of the questions from the survey. This is explained by one group (research staff) being quite significant within the whole staff. Even though, some differences deserve some analysis. The following section provides a detailed analysis for each of the statements.

WHOLE SAMPLE		RESEARCH AREAS	
Charter and Code	Survey Score	Charter and Code	Survey Score
1. Research freedom	3,72	1. Research freedom	3,58
3. Ethical principle	2,79	3. Ethical principle	2,68
3. Professional responsibility	3,11	3. Professional responsibility	3,22
4. Professional attitude	3,72	4. Professional attitude	3,62
5. Contractual and legal obligation	3,44	5. Contractual and legal obligation	3,32
6. Accountability	3,54	6. Accountability	3,36
7. Good practice in research	3,08	7. Good practice in research	2,96
8. Dissemination, exploitation of results	3,75	8. Dissemination, exploitation of results	3,76
9. Public engagement	3,56	9. Public engagement	3,48
10. Non discrimination	4,55	10. Non discrimination	4,56
11. Periodical/Appraisal systems	2,44	11. Periodical/Appraisal systems	2,35
12. Recruitment	3,12	12. Recruitment	3,00
13. Recruitment (Code)	3,18	13. Recruitment (Code)	3,18
14. Selection	3,00	14. Selection	2,78
15. Transparency	3,00	15. Transparency	3,05
16. Judging merit	3,49	16. Judging merit	3,50
17. Variations in the chronological order of CV'S	3,74	17. Variations in the chronological order of CV'S	3,70
18. Recognition of mobility experience	3,79	18. Recognition of mobility experience	3,73
19. Recognition of qualifications	3,58	19. Recognition of qualifications	3,42
20. Seniority	3,78	20. Seniority	3,69
21. Postdoctoral appointments	2,70	21. Postdoctoral appointments	2,79
22. Recognition of the profession	4,13	22. Recognition of the profession	3,76
23. Research environment	3,61	23. Research environment	3,58
24. Working conditions	3,85	24. Working conditions	3,67
25. Stability and permanence of employment	3,16	25. Stability and permanence of employment	3,17
26. Funding and salaries	2,29	26. Funding and salaries	2,33
27. Gender balance	3,13	27. Gender balance	3,09
28. Career development	2,15	28. Career development	2,16
29. Value of Mobility	3,46	29. Value of Mobility	3,55
30. Access to career advice	2,71	30. Access to career advice	2,64
31. Intellectual Property Rights	2,83	31. Intellectual Property Rights	2,84
32. Co-authorship	3,76	32. Co-authorship	3,86
33. Teaching	2,59	33. Teaching	2,54
34. Complaints/appeals	2,74	34. Complaints/appeals	2,52
35. Participation in decision-making bodies	2,74	35. Participation in decision-making bodies	2,87
36. Relation with supervisors	3,14	36. Relation with supervisors	3,13
37. Supervision and managerial duties	4,14	37. Supervision and managerial duties	4,13
38. Continuing Professional development	2,58	38. Continuing Professional development	2,04
39. Access to research training	2,71	39. Access to research training	2,23
40. Supervision	3,75	40. Supervision	3,61

Table 2. Column of the left presents the mean values for each of the statements of the whole sample of responses. Column on the right shows results for the research staff.

4. Current state and conclusions of internal analysis

The conclusions from the survey, along with the interpretation and internal feedback received have been used to define the Action Plan. Most tasks are addressed in the plan and will be targeted with specific actions.

I. 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>	
Survey assessment: average	Survey score: 3,58
Remarks	
<p>The type of projects developed and funding received by i2CAT cannot give much freedom to research. Even though the response was quite positive considering the research staff and even better for the whole sample (3,72).</p>	
Actions required	
None	
When: N/A	Who: 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, sectoral or institutional Codes of Ethics.</p>	
Survey assessment: poor	Survey score: 2,68
Remarks:	

Currently, an ethical code does not exist in i2CAT.	
Actions required	
<i>(AE1) Open internal debate around the ethical code and study related ethical codes, which might be applicable to i2CAT or might serve as a basis for the definition of the institutional Code of Ethics. Prepare a document as a compendium of the ethical code and make all the i2CAT staff to adhere to it.</i>	
When: 1-1-2017	Who: Management Team, Corporate Development

3. Professional responsibility	
<p>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.</p>	
Survey assessment: average	Survey score: 3,22
Remarks:	
Access to specific research databases and engines facilities existed previously that has been suspended recently.	
Actions required	
<i>(AE2) To renew access to specific research databases and engines necessary to carry out their research.</i>	
When: 1-11-2016	Who: Management Team

4. Professional attitude	
<p>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.</p>	
Survey assessment: average	Remarks: 3,62
Remarks:	
i2CAT has already mechanisms to inform their staff about all the concerning topics: a monthly external and internal newsletter, a monthly staff meeting and two annual meetings.	

Actions required	
None	
When: N/A	Who: N/A

5. Contractual and legal obligations	
<p>Researchers at all levels must be familiar with the national, sectoral 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>	
Survey assessment: average	Remarks: 3,32
Remarks:	
<p>i2CAT is currently preparing a code that will help in identifying the IPR generated by workers and will define a set of rules to share the benefits of the IPR exploitation among the staff. This code should be presented to the staff and approved by board of trustees before the end of the year 2017. This will be a general rule of the organisation and affect to all employees, existing ones and new.</p>	
Actions required	
<i>(AE3) i2CAT has to promote the application of the IPR code</i>	
When: 1-1-2017	Who: Management Team

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>	
Survey assessment: average	Survey score: 3,36
Remarks:	
<p>i2CAT creates the annual report every year to inform and publish about accountability, news, projects, etc. in addition, according to the Catalan Laws regarding transparency, most relevant information</p>	

related to funding and expenditure should be published in the institution web portal.	
Actions required	
None	
When: N/A	Who: N/A

7. Good practice in research	
<p>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 backup 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.</p>	
Survey assessment: poor	Survey score: 2,96
Remarks	
A plan must be implemented to enforce Data Protection regulations on both internal and external data. Training on safe working practices and data backup mechanisms should be implemented.	
Actions required	
<p><i>(AE4) Elaborate a set of “best working practises” in relation data storage, protection and privacy, and inform the staff leveraging on existing communication channels.</i></p> <p><i>(AE5) Improve management of both internal and external data, applying existing regulation and recommendations (“Ley Orgánica de Protección de Datos”). This implies asking every member of the staff to sign a “Non-Disclosure Agreement” to ensure the compliance of the LOPD.</i></p> <p><i>(AE6) Improve data backups management; either using external solutions and/or defining internal mechanisms.</i></p>	
When: 1-2-2017	Who: Management Team, Corporate Development, Infrastructures and Services

8. Dissemination, exploitation of results	
<p>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.</p>	
Survey assessment: average	Survey score: 3,76

Remarks:	
Mechanisms as annual reports and meetings are already used to disseminate i2CAT results.	
Actions required	
None	
When: N/A	Who: N/A

9. Public engagement	
<p>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.</p>	
Survey assessment: average	Survey score: 3,48
Remarks	
<p>There is an active participation in dissemination activities, such as conferences, workshops, or publications, targeted to multidisciplinary audiences (such as industry, researchers, academics, students, non-specialists, citizenry or municipalities). The Corporate Development unit was created to extend the internal brand and disseminate results via different communication channels.</p>	
Actions required	
None	
When: N/A	Who: N/A

10. Non discrimination	
<p>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.</p>	
Survey assessment: good	Survey score: 4,56
Remarks:	
<p>i2CAT has already defined an internal equality plan, accessible to the employees. At the moment, not all internal documentation is available in English.</p>	
Actions required	
<p><i>(AE7) Promote a transition to a fully English-supported work environment to facilitate internationalisation</i></p>	

When: 1-8-2017	Who: Corporate Development
-----------------------	-----------------------------------

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.	
Survey assessment: poor	Survey score: 2,35
Status	
Evaluations and appraisal systems are implemented in i2CAT based on annual objectives, but the criteria is not made public at an appropriate time.	
Actions required	
<i>(AW1) Improve the evaluation and appraisal systems to: 1) Communicate the annual objectives and criteria in the first term of the year; 2) Organize follow-up meetings; 3) Provide tools/means for researchers to track the status of their yearly objectives</i>	
When: 1-1-2017	Who: Management Team

II. Recruitment

12. Recruitment	
Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at 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.	
Survey assessment: average	Survey score: 3
Remarks:	
There is a welcome pack, but it is not well known by the staff; according to the results of the survey. The recruitment process is not completely defined.	
Actions required	
<i>(AR1) Define and implement a new recruitment process and better disseminate the welcome package</i>	

for new staff

When:1-1-2017

Who: Management Team, Corporate Development,
Administration

13. Recruitment (Code)

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.

Survey assessment: poor

Survey score: 2,78

Remarks:

The recruitment process is not uniform and it is carried out in an ad-hoc manner, according to the requirements of the open position. The advertisement of the position is not always done in English.

Actions required

(AR2) Translate into English all new staff positions published

(AR3) Elaborate a recruitment guide that should be followed in any recruitment procedure. This guide should include the description of the tracking of the position, candidates evaluated and results of the different interviews and tests. The guide shall indicate how to prepare the offer, how to arrange and carry out interviews and the structure of the jury that evaluates the candidates. The guide should also define the mechanisms to announce the position, the criteria and the results of the selection process providing arguments on the candidates about the results on the process.

When: 1-1-2017

Who: Management Team, Corporate Development,
All units with recruitment responsibility

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.

Survey assessment: poor

Survey score: 2,78

Remarks	
Maintaining a gender-balanced workforce is difficult due to the gender imbalance that exists in the IT field. Nevertheless, the organisation is aware of the need to improve in this area.	
Actions required	
<i>(AR4) Ensure that CERCA's "Gender Bias in Research Institutes" video (available in YouTube) is watched by the members of the selection and Recruitment committee before the interviews and evaluation meetings.</i>	
When: 1-1-2017	Who: All

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.	
Survey assessment: poor	Survey score: 3,05
Remarks	
Score is slightly above 3, which suggests the need to address this issue in the recruitment guidelines (by specifying the transparency procedures towards prospects).	
Actions required	
<i>(AR3) Elaborate a recruitment guide that should be followed in any recruitment procedure. This guide should include the description of the tracking of the position, candidates evaluated and results of the different interviews and tests. The guide shall indicate how to prepare the offer, how to arrange and carry out interviews and the structure of the jury that evaluates the candidates. The guide should also define the mechanisms to announce the position, the criteria and the results of the selection process providing arguments on the candidates about the results on the process.</i>	
When: 1-3-2017	Who: Management Team, Corporate Development

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.	
Survey assessment: average	Survey score: 3,5
Remarks	
A balanced assessment of candidates, taking into account the full range of skills and accomplishments, is already implemented.	
Actions required	
None	
When: N/A	Who: N/A

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.	
Survey assessment: average	Survey score: 3,7
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	
None	
When: N/A	Who: N/A

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.	
Survey assessment: average	Survey score: 3,73
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	

None	
When: N/A	Who: N/A

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.	
Survey assessment: average	Survey score: 3,42
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	
None	
When: N/A	Who: N/A

20. Seniority (Code)	
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.	
Survey assessment: average	Survey score: 3,64
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	
None	
When: N/A	Who: N/A

21. Postdoctoral appointments (Code)

<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>	
Survey assessment: poor	Survey score: 2,79
Remarks	
At the moment, the ratio of doctors in i2CAT is considered low. The aim of the organisation is to retain postdoctoral researchers, promoting them as permanent and stable staff in the organisation.	
Actions required	
<i>Even the assessment is considered poor (a little below 3) no further measures are considered as the aim of the point is already carried out by the organisation</i>	
When: N/A	Who: N/A

III. Working conditions and social security

22. Recognition of the profession	
<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>	
Survey assessment: average	Survey score: 3,76
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	
None	
When: N/A	Who: N/A

23. Research environment
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.

Survey assessment: average

Survey score: 3,58

Remarks

Score is adequate and merits no immediate attention.

Actions required

None

When: N/A

Who: N/A

24. Working conditions

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, *inter alia*, 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.

Survey assessment: average

Survey score: 3,67

Remarks

Score is adequate. Some flexible working conditions were introduced for the bulk of the workforce in the course of the last two years. At present it is possible to work from home a limited number of days per month, the daily schedule has certain flexibility, the vacation period is not fixed as a whole and further flexibility advantages are available for parents of children of less than 6 years.

Actions required

When: N/A

Who: 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*.

Survey assessment: average	Survey score: 3,17
Remarks	
The funding sources available at i2CAT made it difficult to guarantee a permanent position to all researchers. The organisation has the commitment to avoid uncertainty on contracts to improve the working conditions.	
Actions required	
None	
When: N/A	Who: N/A

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.

Survey assessment: poor	Survey score: 2,33
Remarks	
Score is very poor, and reflects a widespread dissatisfaction with the salaries structure and contractual policies of the organisation. These should be addressed in ways consistent with the existing financial constraints and in line with current market conditions. As stated in written feedback from the survey, a key source of dissatisfaction is specially related to the perceived lack of transparency in the structure of retributions within the organisation, and the perceived lack of clear correlation between levels of responsibility and levels of payment.	
Actions required	
<i>(AW2) Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category.</i>	
<i>(AW3) Design through consensus some new ways to increase retributions to employees. An alternative is already planned with the usage of IPR code mentioned in statement number 5. Other approaches related to improving the efficiency of the organisation should be studied.</i>	
When: 1-12-2016	Who: Management Team, collaboration of all staff

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.

Survey assessment: average

Survey score: 3,09

Remarks

Gender balance is in line with the present in the ICT sector. Although no issues have been identified, to ensure equal treatment in selection and evaluation, actions to raise awareness are considered appropriated.

Actions required

(AR4) Ensure that CERCA's "Gender Bias in Research Institutes" video (available in YouTube) is watched by the members of the selection and Recruitment committee before the interviews and evaluation meetings.

When: 1-1-2017

Who: All

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.

Survey assessment: poor

Survey score: 2,16

Remarks

There is no public career development strategy on the organisation.

Actions required

(AW2) Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category.

When: 1-12-2017

Who: Management Team

29. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectoral, 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.

Survey assessment: average

Survey score: 3,55

Remarks

Score is adequate and merits no immediate attention.

Actions required

None

When: N/A

Who: N/A

30. Access to career advice

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.

Survey assessment: poor

Survey score: 2,54

Remarks

There is no public career development strategy. Personal objectives are evaluated yearly but are not implemented with the correct timing – for this reason these lost part of their effectiveness as an indicator that provides job advice.

Actions required

(AW1) Improve the evaluation and appraisal systems to: 1) Communicate the annual objectives and criteria in the first term of the year; 2) Organize follow-up meetings; 3) Provide tools/means for researchers to track the status of their yearly objectives

(AW4) Objectives and merit-based economic supplements must be clearly stated (in written form) and negotiated with the employee.

(AW2) Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category.

When: 1-10-2017

Who: Management Team

31. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&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.

Survey assessment: poor

Survey score: 2,81

Remarks

i2CAT is currently preparing a code that will help identifying the IPR generated by employees and will define a set of rules to share the benefits of the IPR exploitation among the staff. This code should be presented to the staff and approved by board of trustees before the end of the year 2017. This will be a general rule of the organisation and affect all employees, both existing and future ones.

Actions required

(AE3) I2CAT has to promote the application of the IPR code

When: 1-1-2017

Who: Management Team

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).

Survey assessment: average

Survey score: 3,86

Remarks

Score is adequate and merits no immediate attention.

Actions required

None

When: N/A

Who: 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.

Survey assessment: poor

Survey score: 2,54

Remarks

Not applicable to i2CAT since the staff (in general) has no teaching obligation.

Actions required

None

When: N/A

Who: N/A

34. Complaints/ 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.

Survey assessment: poor

Survey score: 2,52

Remarks

There is an anonymous web form named "Suggestion box" for complaints, appeals and suggestions. There is also an email address available for the equality plan, to act as mediator when conflicts arise. Every month there is a general meeting with all the staff where suggestions/claims received can be commented to the employees, as well as making public the approach planned from management. The survey has revealed that these channels are not well known and that there is the impression that the "Suggestion Box" is not fully attended.

Actions required

(AW5) Improve the current communication mechanism to better reach all staff and provide more feedback on the suggestions and complaints raised from staff. The feedback to the comments – conveniently anonymized— should be provided during the monthly general meeting and included in the internal monthly newsletter.

When: 1-2-2017

Who: Management Team, Corporate Development

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.

Survey assessment: poor

Survey score: 2,87

Remarks

The Management Team is the representation of the organisation towards the board of trustees. The Management Team is a team of 4 people involved with the different areas of i2CAT, ranging from economic management, technology transfer and research activity.

Actions required

(AW6) Improve the information flow in the management team to better communicate the needs between the board of trustees and the staff. Facilitate the participation of staff on the board of trustees and the executive committee when required.

When: 1-1-2017

Who: Management Team

IV. Training

36. Relation with supervisors

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.

Survey assessment: average

Survey score: 3,13

Remarks

Score is adequate and merits no immediate attention.

Actions required

None

When: N/A

Who: N/A

37. Supervision and managerial duties

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.	
Survey assessment: good	Survey score: 4,13
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	
None	
When: N/A	Who: N/A

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.	
Survey assessment: poor	Survey score: 2,04
Remarks	
Lack of training offer and no clear information on how to access training opportunities.	
Actions required	
<i>(AT1) Definition of an internal training plan along with the staff so as to identify real needs. Take into account cross-topic fields such as negotiation and leadership skills, as well as foreign languages.</i>	
<i>(AT2) Formalize the procedures related to training (how to request specific training, internal communication of a new training event, etc).</i>	
When: 1-4-2017	Who: Management Team and Administration

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.	
Survey assessment: poor	Survey score: 2,23
Remarks	
Lack of training offer and no clear information on how to access training opportunities.	

Actions required	
<i>(AT1) Definition of an internal training plan along with the staff so as to identify real needs. Take into account cross-topic fields such as negotiation and leadership skills, as well as foreign languages.</i>	
<i>(AT2) Formalize the procedures related to training (how to request specific training, internal communication of a new training event, etc).</i>	
When: 1-4-2017	Who: Management Team and Administration

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.	
Survey assessment: average	Survey score: 3,61
Remarks	
Score is adequate and merits no immediate attention.	
Actions required	
None	
When: N/A	Who: N/A

5. Action plan

The implementation of this Action Plan aims to adequate internal workflows with that of the Charter and Code (CC). The plan will be carried out over 4 years. A formal internal review will be made in 2 years, and the final external review is to be performed at the end of the period. Each action will be assigned to specific group(s) in order to execute.

In the following table the following abbreviations are used:

- Management Team: MT
- Corporate Development: CD
- Infrastructures and Services: I&S
- Administration: AD
- Whole staff: All

Ethical and professional aspects			
Action	Description	Addressed CC points	Assignee/s
AE1	Open internal debate around the ethical code and study related ethical codes, which might be applicable to i2CAT or might serve as a basis for the definition of the institutional Code of Ethics. Prepare a document as a compendium of the ethical code and make all the i2CAT staff to adhere to it.	2	MT, CD
AE2	To renew access to specific research databases and engines necessary to carry out their research.	3	MT
AE3	I2CAT has to promote the application of the IPR code	5, 31	MT
AE4	Elaborate a set of “best working practises” in relation data storage, protection and privacy, and inform the staff leveraging on existing communication channels	7	MT, CD
AE5	Improve management of both internal and external data, applying existing regulation and recommendations (“ <i>Ley Orgánica de Protección de Datos</i> ”). This implies asking every member of the staff to sign a “ <i>Non-Disclosure Agreement</i> ” to ensure the compliance of the LOPD.	7	MT, AD

AE6	Improve data backups management; either using external solutions and/or defining internal mechanisms.	7	I&S
AE7	Promote a transition to a fully English-supported work environment to facilitate internationalisation	10	CD
Recruitment			
Action	Description	Addressed CC points	Assignee/s
AR1	Define and implement a new recruitment process and better disseminate the welcome package for new staff	12	MT, CD, AD
AR2	Translate into English all new staff positions published.	13	CD
AR3	Elaborate a recruitment guide that should be followed in any recruitment procedure. This guide should include the description of the tracking of the position, candidates evaluated and results of the different interviews and tests. The guide shall indicate how to prepare the offer, how to arrange and carry out interviews and the structure of the jury that evaluates the candidates. The guide should also define the mechanisms to announce the position, the criteria and the results of the selection process providing arguments on the candidates about the results on the process.	13, 15	MT, CD
AR4	Ensure that CERCA's " <i>Gender Bias in Research Institutes</i> " video (available in YouTube) is watched by the members of the selection and Recruitment committee before the interviews and evaluation meetings.	14, 27	All
Working conditions and social security			
Action	Description	Addressed CC points	Assignee/s
AW1	Improve the evaluation and appraisal systems to: 1) Communicate the annual objectives and criteria in the first term of the year; 2) Organize follow-up meetings; 3) Provide tools/means for researchers to track the status of their yearly objectives.	11, 30	MT

AW2	Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category.	26, 28, 30	MT
AW3	Design through consensus some new ways to increase retributions to employees. An alternative is already planned with the usage of IPR code mentioned in statement number 5. Others approaches related to improving the efficiency of the organisation should be studied.	26	All
AW4	Objectives and merit-based economic supplements must be clearly stated (in written form) and negotiated with the employee.	30	MT
AW5	Improve the current communication mechanism to better reach all staff and provide more feedback on the suggestions and complaints raised from staff. The feedback to the comments –conveniently anonymized– should be provided during the monthly general meeting and included in the internal monthly newsletter.	34	MT, CD
AW6	Improve the information flow in the management team to better communicate the needs between the board of trustees and the staff. Facilitate the participation of staff on the board of trustees and the executive committee when required.	35	MT
Training			
Action	Description	Addressed CC points	Assignee/s
AT1	Definition of an internal training plan along with the staff so as to identify real needs. Take into account cross-topic fields such as negotiation and leadership skills, as well as foreign languages.	38, 39	MT, AD
AT2	Formalize the procedures related to training (how to request specific training, internal communication of a new training event, etc).	38, 39	MT, AD

