

## TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: Fundación IMDEA Agua

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Web-link to published version of organisation's HR Strategy and Action Plan:  
<http://www.water.imdea.org/careers/hr-strategy>

Web-link to organisational recruitment policy (OTM-R principles):<sup>45</sup>  
<https://www.water.imdea.org/sites/default/files/pdf/careers/OTM-R%20Policy.pdf>

### SUBMISSION DATE TO THE EUROPEAN COMMISSION: JULY 2019

#### 1. ORGANISATIONAL INFORMATION

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

<b>STAFF</b>	<b>FTE</b>
Total researchers = staff, PhD. researchers	56
Of whom are international (i.e. foreign nationality)	7
Of whom are externally funded (i.e. for whom the organisation is host organisation)	18
Of whom are women	25
Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	19
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	12
Of whom are stage R1 = in most organisations corresponding with doctoral level	25
Total number of students (if relevant)	-
Total number of staff (includes researchers, management, administrative and laboratory technicians)	75
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	3,620,564
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	2,144,285
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	1,368,440
Annual funding from private, non-government sources, designated for research	117,071
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
IMDEA Agua is a foundation, non-profit, research institute, created by the Regional Government of Madrid at the end of 2006, but with its first activity and contracts in 2008. IMDEA Agua has 7 research groups that develops research and innovation in 12 different <a href="#">areas</a> related to water	

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

issues. See the [organizational structure](#).

There is a strong collaboration with academia (in projects and participating in masters, PhD programmes and supervising practices or research stages) and industry, as well as a member of associations and platforms.

IMDEA Agua signed its adhesion to HR Strategy in 2009 introducing the Charter & Code to its institutional policy (approved by the Directors and Board of Trustees) and it has been the ethic code of the institute, so practically the HR Strategy has been part of IMDEA Agua from the beginning. IMDEA Agua was a member of the 1<sup>st</sup> Cohort-HRS4R and got the acknowledgement in 2010, being the first Spanish institution and the eleventh in Europe to obtain it. During the process, there have been changes in the HRS4R that we have been adapting. The Logo has been renewed in 2012 and 2014 (including external assessment) following the old procedure, and at the end 2017 following the reinforced one. A second external assessment took place in May 2019. Since 2011, IMDEA Agua is a member of the Euraxess Services network as LoCP.

## 2. NARRATIVE (MAX. 2 PAGES)

The institute moved to its current headquarters in 2015, which has allowed us to have new and bigger spaces and conditions for research, providing us with more high-level up-to-date specialized infrastructures (laboratories and pilot plants). This change was a great step forward in order to stabilize the institute, which has involved investing funds and efforts in conditioning the facilities to the needs of each research group.

During the last years, IMDEA Agua has been implementing an additional **quality system called EFQM Excellence Model**, with the aim to improve the management of the Institute and meet the expectation not only from the staff but also from funders, society, and companies. The first EFQM evaluation was developed in November 2017, and the acknowledgment 300+ was received in December 2017. Since then, IMDEA Agua has been working in the implementation of EFQM model and adapting a **Platform (called "Quality Guide")** as a monitoring system where to assign roles, control tasks, measure indicators, etc. In this electronic system is included HRS4R, so the alignment of both systems and the tracking and monitoring will be more efficient. EFQM is having a positive impact on HR Strategy. To ensure the alignment EFQM-HRS4R, three members of the HR Working Group are also members of the EFQM Working Group.

EFQM model considers enablers (leadership, people, strategy, partnerships & resources, processes, products & services) and results (in people, customers, society and business). The HRS4R develops the "enable people" and the "people result". Within this new context, HRS4R will be revised together with EFQM and the **survey will be repeated annually** during autumn. This will ensure receiving feedback regularly, evaluating the improved level of the actions and the possible deviations with more frequency. The survey has been launched in 2016, 2017 and 2018 and contains questions related not only to the HR Strategy, but also to the EFQM context. The survey system has been improved since 2017 by externalizing it to a company with experience in statistical processing and in the analysis of the data gathered. Company has the commitment to analyse data showing evolution and communicate results clearly ensuring the confidentiality of all the participants. After the survey, and as a new task, **feedback will be reinforced with different meetings** between the Direction Team and staff and, in addition, between the HR Working Group and the rest of the staff with the aim to involve all stakeholders in the update of the action plan and **to ensure that all principles are analysed**.

Most of the tasks proposed in the last action plan have been completed, but most of them keep as continuous actions. Furthermore, new tasks have also been added. As a general conclusion of the analysis of the last survey 2018, most of the priorities for next period remain the same. The

economic crisis in Spain still remains affecting salaries, internal promotion and the stability in the employment, something reflected in the results of the survey. On the contrary, the best-valued items are related with the research environment, accountability system, equal opportunities and conciliation.

Internal information and communication is an issue and need to be reinforced to engage researchers. Regular meetings have been scheduled to achieve this (strategic meetings with directors, monthly thematic inter-groups meetings, meeting after the survey, annual meeting etc).

Internal visibility of HRS4R will be reinforced including specific news in the intranet to inform regularly about task developed and achievements, this will help the staff to be aware of the HRS4R.

Achieving greater engagement of researchers and recognition by adapting to research profiles descriptors (R1-R4), clarify the structure of research groups and highlighting the role and responsibilities of IPs.

Career development is another issue to improve. IMDEA Agua is part of a working group called ODISEA, created by some Spanish institutions belonging to the EURAXESS network. IMDEA Agua is committed to participate in this group in order to learn best practices about career development and with the aim to support researchers and improve the services offered.

OTM-R actions such as OTM-R Policy definition and the development of an e-recruitment platform (<http://rrhh.imdea-agua.org/>) have been developed. The ORTM-R Procedure to support the Policy is under elaboration.

Summarizing, key priorities for this new period are related to:

- Completing the implementation of the “Quality Guide” Platform (total integration of both EFQM and HRS4R). This implementation includes an information and training period
- Visibility and involvement of researchers in the HRS4R process
- Recognition
- Internal communication
- Support to career development

The section of the website about HR Strategy has been revised and updated (July 2019) including complete information for a good external and internal communication.

## **ETHICAL AND PROFESSIONAL ASPECTS**

Strengths: In relation to the questions of the survey that addressed this group of principles, the assessment has been positive.

IMDEA Water's code of ethics was updated and published on the website, and all new staff is informed about it and about the regulations that apply (through the welcome pack and especially for foreign researchers).

Over the last years, clarifying procedures have been developed and also the internal administrative procedures have been digitized, in order to help fulfil the accountability systems and the connection with funders. Procedures are reviewed and updated to adapt them to the new regulations and to the funders' requirements. The integration of the HRS4R within the EFQM will help from now on to have a more exhaustive control of the internal procedures, to update or to develop new ones when necessary and to monitor them.

Communication, dissemination and exploitation of results are part of the research activity and all researchers are committed to this point. The interaction with society has been growing during the last years.

Special efforts have been made during the last period in relation to good practice in research (safety and health as psychosocial evaluation of the staff), and ethical practices to comply with legislation in our areas of research (Nagoya procedure, notification of genetically modified organisms, notification of first use of biological agents, etc.).

Weaknesses: Necessary improvements are related to make the management duties easier and more agile; increase the communication activities about ethic aspects, rules and procedures; and keep making efforts to engage society by reinforcing communication and dissemination activities (to gain visibility and public engagement a Communication and Dissemination Plan is under elaboration).

## **RECRUITMENT**

Strengths: The recruitment processes fulfil with public regulations applicable to the public sector. The administrative burden is limited to a minimum. Recruitment aspect is well valued in surveys and feedback is received from new staff in relation to their experience during the recruitment process.

Regarding with OTM-R actions, the OTM-R policy is already available on the website and a document with information about OTM-Procedure is under elaboration (draft version).

An e-Recruitment platform (<http://rrhh.imdea-agua.org/>) has been developed and will be operational in August 2019. This task was not included in the previous action plan, but in the last revision it was considered relevant to create this platform to streamline the recruitment and selection process. Also, a manual of use is available for the evaluation committee members.

Weaknesses: there is a lack of information about career development. Participation in ODISEA is helping to identify best practices and to define useful information and tools to be included in the website (Career Development Platform, under development).

## **WORKING CONDITIONS AND SOCIAL SECURITY**

Strengths: IMDEA Agua is a gender balanced institution.

Efforts continue to improve collaborations with both the academy and the industry, sectors with which the Institute collaborates on mobility issues, in the execution of research and innovation projects and in the development of joint patents. Participation in different workshops, networks and mobility is also encouraged.

Although IMDEA Agua is a centre dedicated solely to research, its members can collaborate with universities tutoring students during their internships, supervising students in the elaboration of masters or Erasmus final projects and lecturing in masters or doctoral programmes, so the researchers can complement their research activity by acquiring teaching experience.

Since the Institute moved to a new building in 2015, the research environment has been enhanced by expanding spaces and improving infrastructures such as installing pilot plants to scale up technology, among other aspects.

Since the beginning of the implementation of the HRS4R (2009), R1 are considered as researchers. No scholarships are provided so all staff (including R1 and R2) have an employment contract, and are covered by the social security system.

All researchers (including R1) participate in all the activities and research projects of their groups, being co-authors of publications, co-inventors of patents and involved in communication and dissemination activities. Laboratory technicians also participates and are part of this.

The complaints and appeal system has been modified and improved. Furthermore, a procedure for prevention and intervention against labour harassment has been developed.

Weaknesses: The salary conditions are the worst evaluated aspect of the survey and it is related to the prolongation of the economic problems that caused changes in the national regulation and that, since the beginning of the crisis, mainly affected the stability in employment and the possibilities of increasing the salaries. There is not a solution at this moment, but with the aim to keep staff up-to-date, this themes will be discussed and clarify during the new periodic planned “strategic meetings”. These meetings and the implementation of EFQM system will involve researchers in the decision-making process.

### **TRAINING**

Strengths: The effort in training activities has been positively valued. Every year, a training plan is designed based on the results of the surveys and on the feedback that the staff reports. This plan is updated periodically throughout the year.

Participation in ODISEA group will allow improving the training activities offered by identifying the minimum transferrable skills to acquire for each R. With this analysis, a Training Framework Plan is under elaboration.

Supervision and managerial duties are also well valued in the last survey. Intragroup meetings will be encouraged to facilitate monitoring and control, give feedback, assess the objectives, etc. Furthermore, a meeting is held every year in which R1 researchers present their work to doctoral researchers. This session also helps to enhance communication and public presentation skills.

Weaknesses: to reinforce results of the survey about training necessities, a focus group meeting will be held. This result will be discussed in the “strategic meeting”. More commitment for tutors and more training are items required, especially on crosscutting issues.

### **3. ACTIONS**

The following table shows the status of the previous action plan 2018-2020 and the update one for the new period mid 2019-mid 2022.

Next survey is scheduled in October 2019 and after its analysis, some meetings with staff will take place to complete feedback, to re-adapt tasks, review indicators (if necessary) and to achieve more involvement of the staff.

## UPDATED ACTION PLAN Mid 2019-Mid 2022

Principles to improve	Status: Actions Planned 2018-2020	Updated Action Plan Actions Planned Mid 2019-2022	Responsible & Timing	Indicators (quali- and quantitative)
<b>Ethical and professional aspects</b>				
<b>Professional attitude</b>	<ul style="list-style-type: none"> <li>- Greater involvement of centre and researchers: meetings; <i>feedback...</i> <span style="color: blue;">Ongoing</span></li> <li>- Continuous management system enhancement and automation (intranet, procedures, LIMS...) <span style="color: blue;">Ongoing</span></li> <li>- Principle evaluated annually through the new survey</li> <li>- Update welcome pack <span style="color: blue;">Ongoing</span></li> </ul>	<ul style="list-style-type: none"> <li>- Greater involvement of centre and researchers: meetings; <i>feedback...</i><sup>1</sup></li> <li>- Continuous management system enhancement and automation (intranet, procedures, LIMS...) <sup>1</sup></li> <li>- Principle evaluated annually through the new survey</li> <li>- Update welcome pack<sup>1</sup></li> </ul>	<p><i>Who:</i> Management, Finance Unit, Line Supervisors and other researchers</p> <p><i>When:</i> Continuous<sup>1</sup></p>	<ul style="list-style-type: none"> <li>- % Attendance annual meetings</li> <li>- Annual meeting (YES/NO)</li> <li>- No of protocols/procedures new or updated</li> <li>- Has been improved the management system? (YES/NO) How? There are survey questions that evaluate the principle</li> <li>- Welcome pack updated</li> </ul>
<b>Accountability</b>	<ul style="list-style-type: none"> <li>- Encourage communication through the intranet <span style="color: blue;">Ongoing</span></li> <li>- Encourage internal meetings <span style="color: blue;">Ongoing</span></li> <li>- Improving diffusion outside the Institute <span style="color: blue;">Ongoing</span></li> <li>- Enhancing the accountability system <span style="color: blue;">Ongoing</span></li> <li>- Update transparency portal <span style="color: blue;">Ongoing</span></li> <li>- Information meeting about accountability procedure <span style="color: blue;">Ongoing</span></li> <li>- Principle evaluated annually through the new survey <span style="color: blue;">Ongoing</span></li> <li>- Update welcome pack <span style="color: blue;">Ongoing</span></li> </ul>	<ul style="list-style-type: none"> <li>- Encourage communication through the intranet <sup>1</sup></li> <li>- Encourage internal meetings<sup>1</sup></li> <li>- Improving diffusion outside the Institute <sup>1</sup></li> <li>- Enhancing the accountability system<sup>1</sup></li> <li>- Update transparency portal<sup>2</sup></li> <li>- Information meeting about accountability procedure<sup>3</sup></li> <li>- Principle evaluated annually through the new</li> </ul>	<p><i>Who:</i> Management, Finance Unit, R&amp;D unit</p> <p><i>When:</i> continuous<sup>1</sup>, twice/year<sup>2</sup>, 1<sup>st</sup> quarter 2020<sup>3</sup>, 4<sup>th</sup> quarter 2019, 4<sup>th</sup> quarter 2020 and 4<sup>th</sup> quarter 2021 <sup>4</sup></p>	<ul style="list-style-type: none"> <li>- No of news on the intranet</li> <li>- Annual meeting (YES/NO)</li> <li>- Communication and Dissemination plan</li> <li>- No of web news</li> <li>- No of web visits</li> <li>- No of social media accounts</li> <li>- No of activities during science week</li> <li>- No of activities during researcher's night</li> <li>- Have been implemented improvements to the accountability system? (YES/NO) How?</li> <li>- At least 2 updates per year of the transparency portal</li> <li>- Information meeting about the accountability procedure</li> <li>- No of internal bulletins</li> <li>- There are survey questions that evaluate the principle</li> </ul>

		survey <sup>4</sup> - Update welcome pack <sup>1</sup>		- Welcome pack updated (YES/NO)
<b>Good practice in research</b>	<ul style="list-style-type: none"> <li>- Continuous health and safety activities <b>Ongoing</b></li> <li>- Continuous enhancement of IT services <b>Ongoing</b></li> <li>- Create and update protocols when necessary <b>Ongoing</b></li> <li>- Encouraging awareness of good saving practices <b>Ongoing</b></li> <li>- Create a procedure informing about how to proceed to enforce Nagoya Protocol <b>Done</b></li> <li>- Procedure for prevention and intervention against labour harassment <b>(New) Done</b></li> <li>- Procedure for the surveillance of the workers 'health <b>(New) Done</b></li> <li>- Procedure for the investigation of accidents / incidents <b>(New) Done</b></li> <li>- Adaptation to the new regulations on data protection <b>(New) Done</b></li> <li>- Publication of the guide for the use of laboratories <b>(New) Done</b></li> <li>- Development of new informative brochures of ORP <b>(New) Done</b></li> <li>- Psychosocial evaluation of staff <b>(New) Ongoing</b></li> </ul>	<ul style="list-style-type: none"> <li>- Continuous health and safety activities<sup>1</sup></li> <li>- Continuous enhancement of IT services<sup>1</sup></li> <li>- Create and update protocols when necessary<sup>1</sup></li> <li>- Encouraging awareness of good saving practices<sup>1</sup></li> <li>- Psychosocial evaluation of staff<sup>1</sup></li> <li>- Implementation of the Program of protection of business secrets<sup>2</sup></li> </ul>	<p><i>Who:</i> Management, health and safety Manager, Laboratories Supervisor and outsourced companies responsible for execution (IT, WRP)</p> <p><i>When:</i> Continuous<sup>1</sup>, 4<sup>th</sup> quarter 2019<sup>2</sup></p>	<ul style="list-style-type: none"> <li>- No of people trained in WRP</li> <li>- No of IT incidents (computer helpdesk)</li> <li>- Number of improvements to IT services</li> <li>- List of lab wastes available? (YES/NO)</li> <li>- Lab's protocols available/updated? (YES/NO)</li> <li>- Emergency plan available? (YES/NO)</li> <li>- Psychosocial evaluation of staff (YES/NO)</li> <li>- Guidelines for the use and management of confidential information (YES/NO)</li> </ul>
<b>Evaluation/ appraisal systems</b>	<ul style="list-style-type: none"> <li>- Increase feedback during evaluation process <b>Ongoing</b></li> <li>- Principle evaluated annually through the new survey <b>Ongoing</b></li> </ul>	<ul style="list-style-type: none"> <li>- Increase feedback during evaluation process<sup>1</sup>.</li> <li>Principle evaluated annually through the new survey<sup>2</sup></li> </ul>	<p><i>Who:</i> Directors, Management, R&amp;D Unit</p> <p><i>When:</i> Continuous<sup>1</sup>, 4<sup>th</sup> quarter 2019, 4<sup>th</sup> quarter 2020 and 4<sup>th</sup> quarter</p>	<ul style="list-style-type: none"> <li>- No of training courses (scientific-technical and horizontal training).</li> <li>- No of external stages</li> <li>- There are survey questions that evaluate the principle</li> </ul>

			2021 <sup>4</sup>	
<b>Dissemination, exploitation of results</b>	- Elaboration of a communication and dissemination plan <b>Delayed</b>	- Elaboration of a communication and dissemination plan <sup>1</sup>  - Update of the technological offer catalogue <sup>1</sup>	<i>Who:</i> Communication technician  <i>When:</i> 2 <sup>nd</sup> quarter 2020 <sup>1</sup>	- Communication and Dissemination plan - Updated technological offer catalogue
<b>Recruitment</b>				
<b>Transparency</b>	- Become a Career Development Platform (CDP) in order to improve information about career development (contents already defined) <b>Ongoing</b>  - Principle evaluated annually through the new annual survey <b>Ongoing</b>  <u>OTM-R actions:</u>  - OTM-R policy and publication on website <b>Done</b>  - OTM-R Procedure: document with information about the procedure followed during the recruitment processes <b>Delayed</b> (draft version)  - OTM-R Platform: Development of a new "recruitment platform" on the website <b>(New) Done</b>  - OTM-R Platform guide: Additional guide is available for committee members who use the recruitment-related IT platform <b>(New) Done</b>	- Create a web section "Career Development Platform" (CDP) in order to improve information about career development <sup>1</sup>  - Principle evaluated annually through the new annual survey <sup>2</sup>  <u>OTM-R actions:</u>  - OTM-Procedure: Internal document with information about the procedure followed during the recruitment processes <sup>1</sup>	<i>Who:</i> Directors and Management  <i>When:</i> 1 <sup>st</sup> quarter 2020 <sup>1</sup> ; 4 <sup>th</sup> quarter 2019, 4 <sup>th</sup> quarter 2020 and 4 <sup>th</sup> quarter 2021 <sup>2</sup>	- Existence of Career Development Platform - Principle evaluated in the survey - OTM-R Procedure
<b>Working conditions and social security</b>				
<b>Working conditions</b>	- Information meeting regarding working conditions <b>Ongoing</b>	- Annual informative meeting <sup>1</sup> and strategic meetings <sup>2</sup> regarding working conditions	<i>Who:</i> Directors  <i>When:</i> Continuous process, at least during each annual meeting <sup>1</sup> celebrated 4 quarter of each year. Strategic meeting 3 /year <sup>2</sup>	- Informative meeting about working conditions

<b>Stability and permanence of employment</b>	- Report about renewals and/or termination of contract with sufficient time <b>Ongoing</b>  - Information meetings about the current political situation <b>Ongoing</b>	- Report about renewals and/or termination of contract with sufficient time <sup>1</sup>  - Information meetings about the current political situation <sup>2</sup>	<i>Who:</i> Directors  <i>When:</i> Continuous <sup>1</sup> , at least during each annual meeting <sup>2</sup>	- Informative meeting on stability in employment - No of extended contracts - Information meeting about political situation
<b>Intellectual property rights</b>	- Meeting informing about internal regulation <b>Delayed</b>	- Meeting informing about internal regulation <sup>1</sup>  - Implementation of the Program of protection of business secrets supervised by an external company expert in intellectual property <sup>1</sup>	<i>Who:</i> Directors and Research unit  <i>When:</i> 4 <sup>th</sup> quarter 2019 <sup>1</sup>	- Informative meeting about IPR - Guidelines for the use and management of confidential information (YES/NO)
<b>Funding and salaries</b>	- Continue reporting on the economic situation <b>Ongoing</b>	- Continue reporting on the economic situation <sup>1</sup>	<i>Who:</i> Directors and Management  <i>When:</i> Continuous <sup>1</sup>	- Informative meeting on funding and salaries
<b>Complains/ Appeals</b>	- Update the procedure for complains/appeals <b>Done</b>  - Procedure for prevention and intervention against labour harassment <b>(New) Done</b>	- Follow up the procedure for complains/appeals <sup>1</sup>	<i>Who:</i> Directors and management  <i>When:</i> Continuous <sup>1</sup>	- No of complains
<b>Participation in decision-making bodies</b>	- Reinforce meetings with directors	- Reinforce meetings with directors (strategic meetings) <sup>1</sup>	<i>Who:</i> Directors, main researchers  <i>When:</i> Continuous process <sup>1</sup>	- No of strategic meetings between the Research Groups and the Directorate
<b>Career development</b>	- ODISEA activities <b>Ongoing</b>  - Update the guide for foreigners <b>Ongoing</b>	- ODISEA activities <sup>1</sup>  - Update the guide for foreigners <sup>1</sup>	<i>Who:</i> R&D Unit  <i>When:</i> Continuous <sup>1</sup>	- Develop the Career Development Platform - No of training courses (scientific-technical and horizontal training).
<b>Recognition</b>	Not considered	-Adaptation of research categories to Research Descriptors Profiles <sup>1</sup>	<i>Who:</i> Directors, main researchers  <i>When:</i> 1 <sup>st</sup> quarter 2020 <sup>1</sup>	- Internal document with descriptors

<b>Training</b>				
<b>Supervision and managerial duties</b>	<ul style="list-style-type: none"> <li>- Intra-group meetings to facilitate monitoring and control, give feedback, assess the objectives plan for the next period, avoid deviations, plan objectives that serve for individual evaluation, greater follow-up of theses, etc. <b>Ongoing</b></li> </ul>	<ul style="list-style-type: none"> <li>- Intra-group meetings to facilitate monitoring and control, give feedback, assess the objectives planned for the next period, avoid deviations, plan objectives that serve for individual evaluation, greater follow-up of theses, etc. <sup>1</sup></li> </ul>	<p><i>Who:</i> Directors and Line Supervisors</p> <p><i>When:</i> Continuous<sup>1</sup>, once/year<sup>2</sup></p>	<ul style="list-style-type: none"> <li>- No of meetings</li> <li>- Good practices from focus groups</li> <li>- Meetings and presentations from early stage researchers to doctors</li> </ul>
<b>Supervision</b>	<ul style="list-style-type: none"> <li>- Focus groups to see good practices for communication intra-group <b>Ongoing</b></li> <li>- Greater commitment of tutors/mentors. <b>Ongoing</b></li> <li>- Reinforce periodic meetings with Directors to transmit their working proposals and commitments <b>Ongoing</b></li> <li>- Annual meeting to be held with R1 researchers (and a group of doctors). This will assess the supervisor's progress and involvement <b>Ongoing</b></li> </ul>	<ul style="list-style-type: none"> <li>- Focus groups to see good practices for communication intra-group<sup>2</sup></li> <li>- Greater commitment of tutors/mentors<sup>1</sup></li> <li>- Reinforce periodic meetings with Directors to transmit their working proposals and commitments<sup>1</sup></li> <li>- Annual meeting to be held with R1 researchers (and a group of doctors). This will assess the supervisor's progress and involvement<sup>2</sup></li> </ul>		
<b>Access to research training and continuous development</b>	<ul style="list-style-type: none"> <li>- Annual training plan based on feedback and on survey <b>Ongoing</b></li> <li>- ODISEA activities to improve transferable skills <b>Ongoing</b></li> <li>- Keep informing on the intranet about training opportunities <b>Ongoing</b></li> <li>- Annual meeting to be held with R1 researchers (and a group of doctors). This will assess the supervisor's progress and involvement <b>Ongoing</b></li> <li>- Focus groups meeting <b>Ongoing</b></li> </ul>	<ul style="list-style-type: none"> <li>- Annual training plan based on feedback and on survey<sup>1</sup></li> <li>- ODISEA activities to improve transferable skills<sup>1</sup></li> <li>- Increase information on the intranet about training opportunities<sup>1</sup></li> <li>- Annual meeting to be held with R1 researchers (and a group of doctors). This will assess the supervisor's progress and involvement<sup>2</sup></li> <li>- Focus groups meeting to detect training necessities and complementing the survey<sup>2</sup></li> </ul>	<p><i>Who:</i> Directors, Management and Line Supervisors.</p> <p><i>When:</i> Continuous<sup>1</sup>, once/year<sup>2</sup></p>	<ul style="list-style-type: none"> <li>- An annual training plan based on feedback and on survey exists</li> <li>- No of training courses for researchers, technicians and management staff</li> <li>- No of external stages</li> <li>- List of skill detected during the focus groups activity</li> </ul>
<b>Continuing professional</b>	<ul style="list-style-type: none"> <li>- ODISEA activities</li> </ul>	<ul style="list-style-type: none"> <li>- ODISEA activities to improve information and</li> </ul>	<p><i>Who:</i> Directors, Line</p>	<ul style="list-style-type: none"> <li>- Training Framework Plan</li> <li>- List of skill detected during the focus groups</li> </ul>

<b>development</b>	<ul style="list-style-type: none"> <li>- Annual training plan updated regularly <b>Ongoing</b></li> <li>- Focus groups meeting <b>Ongoing</b></li> </ul>	<p>support about Career Development<sup>1</sup></p> <ul style="list-style-type: none"> <li>- Annual training plan<sup>2</sup> updated regularly<sup>1</sup></li> <li>- Focus groups meeting to detect training necessities and complementing the survey<sup>2</sup></li> <li>- Elaboration of a Training Framework Plan<sup>3</sup></li> </ul>	<p>Supervisors</p> <p><i>When</i> Continuous<sup>1</sup>, once/year<sup>2</sup>, 2<sup>st</sup> quarter 2020<sup>3</sup></p>	<p>activity</p>
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*In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist<sup>45</sup>, attach it to this self-evaluation form, and provide a commentary on how you will (continue to) address these principles in the years to come.*

IMDEA Agua entered the HRS4R process prior to the publication of the ORM-R toolkit.

Some new actions have been defined based on the checklist; these are the elaboration of a document explaining the OTM-R policy (done and uploaded to the [website](#)) and an internal guide setting out the procedure followed (OTM-R Procedure under development, there is a draft version). Also, it is planned the creation of a Career Development Platform with the aim to include useful information (under development, there is a draft version with contents and useful links and resources defined).

We keep the administrative burden to a minimum and interviews can be done in English and via audio conference. Selection processes are performed according to the national law for public centres. Questions related to the OTM-R procedure are requested in the survey.

IMDEA Agua has implemented (July 2019) an e-recruitment platform (<http://rrhh.imdea-agua.org/>) not considered in the previous action plan, which facilitates the recruitment process. Additional guide is available for committee members to use the recruitment-related IT platform.

#### **4. IMPLEMENTATION (MAX. 1 PAGE)**

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

- How have you prepared the internal review? How have you involved the research community, your main stakeholders, in the implementation process?

Since the HRS4R has been included in the EFQM quality system, a new survey has been conducted with 63 questions related to different areas (59 evaluated in 5 levels according to the Likert scale ranging from "disagreement to agreement", 3 open questions and 1 of selection and prioritization). Among those questions, there are the ones related to the principles with which we have been working and other questions cover other 11 principles that were not included in the previous action plan. The survey has also open questions that allow detecting other principles to improve.

Prior to the launch of the survey, the working group organised two informational meetings (one in Spanish and another in English) to inform about HR Strategy, its evolution within IMDEA Agua, the new "strengthened" procedure initiated in January 2017, its integration into the general process of quality EFQM, the new realization of surveys, etc. The staff was invited to the meetings.

For the evaluation of both the HRS4R and EFQM quality system, a survey has been carried out in 2016, 2017 and 2018. The next one is scheduled in October 2019.

Since 2016, survey is developed annually with the aim of receiving feedback, see evolution and detect priorities easily. This also helps to design the annual training plan **and to revise/update the current action plan**. All staff received the survey (75% of staff participation in 2016, 86.4% in 2017 and 73,8% in 2018), so all the main stakeholders participated. The survey is segmented into four groups: non-doctorate researchers (the name of this category group will be substituted by First Stage Researchers), doctorate researchers (the name of this category group will be

substituted by Researchers), management staff and laboratory technicians. It is not possible to separate in more categories of “Researchers” because there are small groups and the confidentiality of the answers would not be maintained.

- Do you have an implementation committee and/or steering group regularly overseeing progress?

At this moment, the **HR working group** for the implementation of the action plan is participated by: Rafael Irastorza (General Manager), Juana Sanz (RTD Manager), Belén Barroeta (Scientific communicator), Raffaella Meffe (Researcher), Carolina Guillén (Laboratory technician) and José Ángel Gómez (Projects Manager). Participation in this working group is open to new staff interested to be member of it.

There are two people from the HR Working Group (Juana Sanz - and José Ángel Gómez) appointed to review the progress continuously, checking the actions taken and updating the indicators. This **implementation team** reports to the rest of the working group.

Since surveys are being carried annually, the tasks are reviewed more frequently than previous years, something that has already been established as part of the monitoring process of the EFQM. To ensure integration between HRS4R and EFQM, Juana Sanz, José Ángel Gómez and Rafael Irastorza are part of both working groups (HR Working Group and **EFQM Working Group**).

Finally, the Action Plan is revised and approved by the **Directors**.

- 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?

The HRS4R is fully recognized (approved by the Directors and by the Board of Trustees) and integrated into the institutional policy since the process began in 2009. Indeed, each work category, including the General Manager, is represented in the HR working group by the participating members. Since 2009, the Charter&Code has been the IMDEA Agua's code of ethics. During 2017, the ethic code has been updated, but C&C keeps being part of it.

- How do you involve the research community, your main stakeholders, in the implementation process?

All staff (researchers, first stage researchers, management and administration personnel and laboratory technicians) is invited to participate in the surveys. The level of participation is usually high (in the last survey conducted in October 2018, 73.8% of the staff answered, of which 66.7% are women). In addition, before conducting the self-assessment, information days are organised to explain the HRS4R, especially directed to newcomers with the aim of motivating them to participate.

The annual survey is enhanced, since 2017, by 4 meetings (to celebrate when the survey analysis is ready) between Directors and each group. The aim of these meetings is to receive feedback, to solve doubts and to involve the staff in the process.

As a new task and as a complement to these meetings, and with the aim of completing the gap analysis, to reinforce the annual training plan and ensuring that all the principles are reviewed, a

meeting between the HR Working Group and the entire staff has been planned (to celebrate when the survey analysis is ready).

- How is your organisation ensuring that the proposed actions are also being implemented?

The two designated persons continuously monitor the actions. From now on, this follow-up will be improved when evaluating the HRS4R as part of the EFQM. Practically all actions are already running. The new electronic system (Quality Guide Platform) for tracking and monitoring objectives, task and indicators reinforces the monitoring process (integrating EFQM and HR strategies) by assigning responsibility, including warning system, etc.