



# Human Resources Strategy for Researchers (HRS4R)

Internal review in view for the interim assessment



# **TEMPLATE 3: INTERNAL REVIEW**

#### Name Organisation under review: Centre de Recerca Matemàtica

#### Organisation's contact details:

Pau Varela Rodriguez, HRS4R Coordinator pvarela@crm.cat Campus de Bellaterra, Edifici C 08193 Bellaterra (Barcelona) Tel +34 93 581 1081 - Fax +34 93 581 2202

## Web-link to published version of organisation's HR Strategy and Action Plan:

http://www.crm.cat/en/About/General/Documentation/Documents/CRM%27S%20Action%20Plan% 202018-2020.pdf

## Web-link to organisational recruitment policy (OTM-R principles):45

Even if it is not yet compulsory at this stage, we are currently developing our *Open Transparent and Merit-based Recruitment* policy. Having identified the strong points and weaknesses of our current recruitment procedure, we are working on the development of an institutional OTM-R Policy, which will address the gaps discovered and strengthen those actions that were already in place. The objective set by the CRM's HRS4R Steering Committee is to have the official OTM-R Institutional Policy formally approved by the CRM Governing Board in 2019 in accordance to the timeline set on the revised Action Plan.

**OTM-R Checklist:** <u>http://www.crm.cat/en/About/General/Documentation/Documents/otm-r-checklist.pdf</u>

# SUBMISSION DATE TO THE EUROPEAN COMMISSION: MAY 29<sup>TH</sup>, 2018

# **1. ORGANISATIONAL INFORMATION**

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	46
Of whom are international (i.e. foreign nationality)	22
Of whom are externally funded (i.e. for whom the organisation is host organisation)	11
Of whom are women	12
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.	8

<sup>&</sup>lt;sup>1</sup> <u>http://ec.europa.eu/euraxess/pdf/research\_policies/Towards\_a\_European\_Framework\_for\_Research\_Careers\_final.pdf</u>



Of whom are stage R2 = in most organisations corresponding with postdoctoral level	17
Of whom are stage R1 = in most organisations corresponding with doctoral level	21
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	59
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	<mark>2.372.527,52</mark>
	<mark>2.372.327,32</mark>
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,)	1.801.772
Annual organisational direct government funding (block funding, used for	· · · ·
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,) Annual competitive government-sourced funding (designated for research,	1.801.772
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,) Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) Annual funding from private, non-government sources, designated for	1.801.772 152.401,52 418.354

The <u>Centre de Recerca Matemàtica</u> (CRM) was created in the year 1984 with the aim of promoting research and advanced training in mathematics with the collaboration and synergies of the university and other research institutes, thereby becoming a centre of international scientific reference in mathematics research.

The centre's activities are divided into two very different categories. The first category places the centre as organiser of international competitions (intensive research programmes, advanced courses, conferences, etc.) and as a centre for long-term visiting researchers working in collaboration with the research community of Catalonia. Secondly, since 2008 CRM includes its own research groups, which allows it to open lines of research in different applied areas.

# 2. NARRATIVE (MAX. 2 PAGES)

In the Action Plan prepared in 2015 during the application for the HR Excellence in Research award, the Centre de Recerca Matemàtica, after conducting its internal Gap Analysis, identified 20 actions to be implemented during the period 2015-2017 in order to address the weaknesses and priorities resulting from that first examination. The actions that comprise the CRM's Action Plan covered all four main areas of the *Charter & Code*; ethical and professional responsibility of researchers, recruitment and selection, working conditions and social security, and research training and career development. The HRS4R Steering Committee put together with representatives from both the research staff and the centre's administration consisted of one senior researcher, one junior researcher, a technician from the research support team, the CRM's manager and the HRS4R Coordinator. This working team has met quarterly, with a few interruptions due to schedule conflicts, examining and shepherding the implementation process for each action and evaluating the progress made. The minutiae and proceedings of these meetings have been collected and filed by the HRS4R Coordinator and are available for the assessors of the European Commission if requested.

At the time of this interim assessment, most actions have been completed according to the timeline previously established, while a few have suffered setbacks due to both internal and external factors. Internally, the CRM has undergone some major changes in its organization during the last



two years, starting with the appointment of a new director in 2016 and the resulting restructuring of the administrative staff. During that time, the HRS4R Steering Committee has also suffered some changes in its composition due to the shuffling on the CRM's research staff (i.e., PhD students finishing their doctorate studies).

Externally, the CRM, as other institutions in Catalunya, has been affected by the political turmoil caused by the deteriorating relationship between the Catalan regional administration and the Spanish government. This has distorted, to some extent, the normal operation of the centre and has forced us, on occasion, to pull resources from tasks not deemed as critical. In that regard, the main setback we have suffered is that, without an acting regional government in place, the CRM's Governing Board has not been able to meet for almost a year. Due to that fact, some actions have not received the required approval and are going to be completed within the revised Action Plan. The updated Action Plan that will cover the next three years has only been approved recently, thus delaying the submission of this interim assessment. Albeit this issues, the Director of the CRM and the CRM's Governing Board would like to reaffirm the centre's commitment with the principles involved in the Charter & Code, and the ongoing work required to meet the goals set by the initial plan. The Steering Committee has also worked intensively with the relevant stakeholders in order to get back up to speed and, among other things, we have been able to jump-start the *Open Transparent and Merit-based Recruitment* policy with the completion of the OTM-R checklist.

The actions related to the *Ethical and Professional Responsibility of Researchers* have been mostly implemented according to schedule. Documents containing detailed information about the CRM's activity and objectives are now available online, and have been discussed in team meetings along with the nature of the Catalan research system and its relationship with the Spanish and European research systems. The HRS4R Steering Committee has prepared and published a new institutional dissemination protocol and the centre's first *Guide of Good Practices in Research*, after obtaining the approval by the CRM's Governing Board. The *CRM's Career Plan* has also been drafted and published online to make it accessible to all researchers. However, some work is still required in order to complement the implementation of these actions (i.e., translating all the documents available on the CRM's HRS4R portal into English). This has been included in the updated action plan. Nonetheless, the greatest setback has been the inability to include of the *Equality & Diversity Plan* in the published version of the *Researcher's Documentation Plan*, even if the final draft has already been completed. This has been due to the fact that the Governing Board of the CRM has not been able to discuss and endorse the final version submitted by the HRS4R Steering Committee.

On the subject of *Recruitment & Selection*, gender balance continues to be one of the substantial weaknesses of the CRM, which can be observed on the staff statistics offered above. Improving opportunities offered to both junior and senior female researchers, as well as securing a diverse work environment based on principles of fairness and equality, are considered top priorities by the Governing Board and will be addressed in the next phase of the HRS4R implementation process. A more open and internationally oriented advertising policy for the openings offered at the centre is one of the new actions accounted for in the revision of the action plan, in accordance to the OTM-R principles. During the implementation of the previous Action Plan, a new *Recruitment Handbook* has been created and published online in order to stipulate how each position is advertised and to clarify the evaluation criteria.

Regarding *Working Conditions and Social Security*, the lack of awareness about the researchers' rights and duties detected during the gap analysis has been, for the most part,



addressed. The relevant documentation is now available on the *CRM Researcher's Documentation Package* and, a part from including the necessary legal documents and diagrams, it has been shared and disseminated accordingly during team meetings to raise awareness about the national regulations and other laws regarding working rights. Some actions are still needed in terms of how to formally gauge the pulse of the research community at the CRM and its level of satisfaction, or how to deal with disputes or complains.

Improvements have been made and observed regarding *Training and Career Development*. The PhD community at the CRM has grown considerably thanks to the *María de Maeztu Unit of Excellence* award by the Spanish Ministry of Economy and Competitiveness (MINECO), which helps provide doctoral and postdoctoral training at the highest level in an international environment. The *Barcelona Graduate School of Mathematics* (BGSMath) was created in 2014 to manage the doctoral training under the responsibility of the CRM in collaboration with other research and educational institutions based in Barcelona. The synergies between PhD students have been strengthened both through focus groups, where they have been given the voice and opportunity to share their concerns regarding their career development, and also through extra academic activities, in order to create a more tightly close group where candidates can feel supported both by the centre and their peers. It is also in this stage where we have been able to achieve a higher level of gender balance and diversity, even though we are not at a level with which we can be satisfied. Due to the fact that most PhD candidates under this unit are spread out in several universities and institutes, it has proved challenging to make them properly aware of the CRM's involvement with the European research area and its HRS4R strategy. This is being addressed in the new Action Plan as well.

In summary, while the implementation of the action plan has been held back in some of its areas by not foreseen factors, it is seen by both the governing board, the research staff and the administration of the CRM as a crucial active in order to continue improving the centre's prospects for the future, and an invaluable asset in order to attract talent both at the national and the international level. The principles of the Charter & Code are aligned with the what the CRM stands for in the research community in Spain and Europe, and the revised action plan should aid the development of the policies involved in the HRS4R plan.



# **3.** ACTIONS

Please consult the <u>list of all actions</u> you have submitted as part of your HR strategy. Please add to the overview the <u>current status of these actions as well as the status of the indicators</u>. If any actions have been altered, omitted or added, please provide a commentary for each action.

Title action	Timing	Responsible Unit	Indicator(s) / Target	Current status
	Ethio	cal and professio	onal responsibility of researchers	
Improve researcher's knowledge of the CRM strategic plan. No documentation about the particularities of the general research system of Catalunya and the funding possibilities is available.	Q3 2015	Team of directors & Research Manager	<ul> <li>-Inclusion of the CRM's strategic plan in the <i>Researcher's</i> <i>Documentation Package</i>.</li> <li>-Publication of a document presenting the national research system and the fun ding mechanisms.</li> </ul>	100% completed The documents are available on the <i>Researcher's</i> Documentation Package: -Pla Estratègic 2014- 2019 -Researcher career path in Spain
It has been detected a lack of knowledge about the national regulations and the CRM specific regulations regarding rights and the CRM specific regulations regarding rights and duties, good practices, etc.	Q3 2015	Team of directors	Elaborate abstract about the sectoral regulations and the CRM specific regulations and publish it online.	100% completedThe national legal framework underwhich the CRMoperates has been disseminated and published:-Ley 14/2011, de 1 de junio, de la Ciencia, la Tecnología y la Innovación.The CRM's Good Practice Guidelines in Research have been published:-Guia de bones pràctiques a la



				recerca del CRM
Researchers should have a better knowledge about the legal framework on data protection and the CRM policy in this respect (security copies etc.)	Q4 2015	Team of directors	Elaboration of the document on the legal regulations about data protection issues in accordance with the Spanish legislation and inclusion in the <i>Researcher's</i> <i>Documentation Package</i> .	100% Completed A new data protection policy for the CRM has been put into action and is now available online. -Ley 32/2010, de 1 de octubre, de la Autoridad Catalana de Protección de Datos
The present contractual arrangements include no divulgation or dissemination commitment.	Delayed from the planned Q3 2017 To Q4 2018	Executive Committee	<ol> <li>1)Incorporate to the evaluation criteria template the activity on dissemination and outreach.</li> <li>2)Add to the researcher's annual report a section entitled 'Disseminating my Research'.</li> <li>3)Elaboration of the CRM communication plan.</li> </ol>	60% completed The contractual agreements need to be revised by the governing board. We have been able, nonetheless, to prepare and approve the CRM's Dissemination Plan that can be found on the Researcher's Documentation Package: -Pla de difusió del CRM
An equal opportunities plan is needed in the CRM institutional documentation.	Delayed from the planned Q4 2016 To Q4 2018	HRS4R Steering Committee	Inclusion of the Equality & Diversity plan in the Researcher's Documentation Package.	<b><u>70% completed</u></b> The <i>CRM's Equality</i> & <i>Diversity Plan</i> has been created with the approval of the HRS4R Steering Committee but has not been approved yet by the Governing board.
The "CRM career plan" is not sufficiently known.	Q2 2017	CRM's Director	Publication of the updated version of the career plan document and inclusion in the <i>Researcher's Documentation</i>	<u>100% completed</u> The CRM's career plan has been published online:



			Package.	- <u>CRM Career plan</u>	
Recruitment & Selection					
A bias is observed in the gender balance of selection committees.	Q1 2016	CRM's Director & Scientific Advisory Board	Enhance the gender balance in the selection process described in the <i>CRM's Career plan</i> and publication of the updated version on the centre's website.	<b>70% completed</b> The updated career plan includes a section where emphasis has been put on securing that the selection committees are representative and gender balanced. However, this is still not known enough and the observed bias is still present. The <i>CRM's Career</i> <i>Plan</i> has been updated and published on the website: - <u>CRM Career plan</u>	
The profiles of advertised positions should be described accordingly with the selection criteria.	Q1 2016	Executive committee	Elaboration of a new document: <i>Guidelines for the selection</i> <i>process of applicants</i> including a template for the advertising.	<b>100% completed</b> The document with the recruitment guidelines and an example of the format for advertising has been created and published: -Manual de contractació The recruitment policy is being evaluated in order to meet the OTM-R principles a we will update the relevant guidelines to be used and the advertising protocol in order to also include publication	



				on the EURAXESS website.
Evaluation criteria in the selection process at each stage, are assumed only tacitly and should be made explicit. Weaknesses of disregarded applicants are not informed.	Q1 2016	Executive Committee & Scientific Advisory Board	Elaboration of a new document: Guidelines for the selection process of applicants including a template for the advertising	100% completedThe document with the recruitment guidelines and an example of the format for advertising has been created and published on the centre's website:-Manual de contractacióThe recruitment policy is being evaluated in order to meet the OTM-R principles a we will update the relevant guidelines to be used and the advertising protocol in order to also include publication on the EURAXESS website.
		Working con	ditions and social security	
Some confusion exists concerning the terms "Ph.D. student" and "doctoral researcher" or "early stage researcher".	Q3 2015	CRM's Director	Publication of the updated version of the career plan document and inclusion in the <i>Researcher's Documentation</i> <i>Package.</i>	<b>100% completed</b> The CRM's career plan has been updated and published on the website to provide clear definitions of each researcher's stage present at the centre: - <u>CRM Career plan</u>
It has been observed that research at CRM does not go beyond the	Q3 2016	Research Committee	-Define a CRM strategy to promote collaboration among groups. Enhance and support the existing "CRM doctoral training unit" defining a series	75% partially completed At the doctoral level, seminars are



hosting			of activities to be deployed	organized regularly
hosting research group. In doctoral training, early stage researchers do not communicate much among them.			of activities to be deployed. -Create a webpage for the doctoral unit.	organised regularly to provide an space where PhD candidates can meet and share their work and concerns. -Camp Seminars A document defining the CRM's strategy for scientific collaboration is currently being elaborated by the director and the principal investigators of the centre. The centre's webpage includes a section for the Doctoral Training Unit with updated information. -CRM Doctoral Training Unit (UFD-
There is no established mechanism at CRM to evaluate the degree of satisfaction regarding the working conditions.	Delayed from the planned Q4 2016 To Q2 2018	HRS4R Steering Committee	Design and adopt the practice of passing a poll among research and administrative staff on working conditions and review results in the <i>CRM's</i> <i>annual general assembly</i> .	CRM) 40% completed / Continuous The draft for the poll to evaluate the degree of satisfaction regarding the working conditions has been designed by the HRS4R steering committee but has yet to be approved by the centre's Manager and Director before being passed to the staff.
The characteristics of contracts,	Q4 2015	CRM's Director	Update the CRM career plan document with the relevant	100% completed The CRM's Career



especially their length, although stated in the CRM career plan, should be more widely known.			information and publish it.	Plan has been updated and published on the website to provide a clear picture of the contracts and its characteristics: - <u>CRM Career plan</u>
It has been observed that researchers are not aware of the full contracting costs and the associated benefits.	Delayed from the planned Q4 2015 To Q4 2019	Team of directors	Publication of the document with information related to benefits and contractor costs in the <i>Researcher's</i> <i>Documentation Package</i> .	<b><u>0% Completed</u></b> This action has been de-prioritized due a shift on the current focus of the action plan. It will be tackled further down the road by the board of directors of the CRM.
A career development strategy has to be defined and deployed. Guidelines for mentors to provide orientation in the professional development of researchers are not explicited.	Q1 2017	CRM's Director & Scientific Advisory Board	Elaboration of a document on CRM career development strategy and publication in the <i>Researcher's Documentation</i> <i>Package</i> .	100% completed A document to summarise the researcher career path in Spain has also been published: -Spanish Strategy of Science, Technology and Innovation
Value of mobility is not sufficiently enhanced. The CRM policies about mobility should be detailed.	Q1 2017	CRM's Director	Publication of the updated version of the annexes to contracts detailing mobility aspects and inclusion in the <i>Researcher's Documentation</i> <i>Package</i> .	100% completed Three annexes to the contracts have been updated and published to detail mobility aspects; Annex 1: http://www.crm.cat /en/About/General/ Documentation/Doc uments/Annex%20t o%20Contract%20- %20Undefined EN.p



Т

				df Annex 2: http://www.crm.cat /en/About/General/ Documentation/Doc uments/Annex%20t o%20Contract%20- %20Postdoc_EN.pdf Annex 3: http://www.crm.cat /en/About/General/ Documentation/Doc uments/Annex%20t o%20Contract%20- %205years_EN.pdf
The teaching possibilities of CRM research staff are not documented and left to the researcher's own initiaitve.	Delayed from the planned Q1 2017 To Q1 2019	Team of directors	Publication of a document on teaching at the CRM and inclusion in the Researcher's Documentation Package	70% Completed The CRM is not a teaching centre, so establishing a protocol regarding teaching possibilities has proved problematic. The CRM has been able to set up an agreement with a private College offering PhD candidates the opportunity to teach at their courses. The agreement has been published on the HRS4R webpage: http://www.crm.cat /en/About/General/ Documentation/Doc uments/conveni%20 signat-1.pdf



No explicit procedure is defined to deal with complains, only tacitly through the director.	Delayed from the planned Q2 2017 To Q1 2019	Team of directors	Include description of the procedure to deal with complains and appeals through the team of directors.	0% completed This action has been de-prioritised due to the lack of resources to tackle the weakness. Given the small size of our current research staff, complaints are still handled on an everyday basis directly by the CRM's manager and the director. This action has been included in the updated Action Plan.
		Training 8	& Career Development	
The different aspects of the supervising task are left to the mentor's own criteria, no guidelines exist.	Q2 2016	Director of the doctoral training unit	Publication of research supervising guidelines and publication in the Doctoral training unit webpage.	<b>100% Completed</b> This action has been slightly altered. Instead of having an independent document for this, it has been decided by the Director of the doctoral training unit, in accordance with the CRM director, to have it included into the <i>CRM's Career Plan</i> .
Continued training and transversal knowledge among disciplines is not organized at the CRM.	Q2 2016	Director of the doctoral training unit	Inclusion of transversal continued training activities in the doctoral training unit annual programme.	100% completedThe DoctoralTraining Unit'swebsite compilesthe activitiesorganised at theCRM;-CRM DoctoralTraining Unit (UFD-CRM)



Actions carried out during this period that were not on the original Action Plan				
A lack of knowledge about what being a research institution within the CERCA network (Centres de Recerca de Catalunya) implies has been detected among researchers at the CRM	Q1 2016	CRM's Director	Publication of the official information regarding the CERCA network in the Researcher's Documentation Package website.	100% completed The document elaborated by the Generalitat de Catalunya to disseminate the objectives and characteristics of the CERCA instituitons has been made available to researchers within the Researcher's Documentation Package: http://www.crm.cat /en/About/General/ Documentation/Doc uments/CERCA Research-Centres- of-Catalonia.pdf
It has been observed that the use of the Catalan language (unlike English, a language where gender is strongly marked) in the working documents of the centre can be at times not neutral regarding gender.	Q3 2016	CRM'S manager	Adopting and disseminating the guidelines promoted by the Generalitat de Catalunya for a non-sexist use of the language.	<b>100% completed</b> The text with the guidelines for a none-sexist use of the language has been made available to the research staff and included in the <i>Researcher's</i> <i>Documentation</i> <i>Package</i> : <u>http://www.crm.cat</u> /en/About/General/ <u>Documentation/Doc</u> <u>uments/Guia%20d%</u> <u>27usos%20no%20se</u> <u>xistes%20de%20la%</u> <u>20llengua.pdf</u>



As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation is working towards / has developed an Open, Transparent and <u>Merit-Based Recruitment Policy</u>. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

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.

#### Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

Once the OTM-R checklist is completed (see document attached to this self-evaluation), we are going to work on addressing the weaknesses identified. The centre's HRS4R steering committee has already discussed some of the actions that need to be tackled in the short to medium term and that can be represented on the revised action plan.

The main issue we are facing at the moment is differentiating those positions where we have the opportunity and weight to apply the OTM-R principles and those that, being funded and/or managed by other institutions, are beyond the centre's control. We are also analysing those aspects where the Spanish employment legislation may overlap with the actions that are being discussed in terms of recruitment.

The requirements that are already in place at the centre will also be evaluated as a secondary priority (the emphasis being on working on the weaknesses first) in order to develop a formal and solid OTM-R policy that we plan on having put into place by the end of 2019.

# 4. IMPLEMENTATION (MAX. 1 PAGE)

During the implementation phase of the Action Plan, the CRM's HRS4R steering committee, responsible of the periodical monitoring of the action plan implementation, has been carrying out evaluations on most of the actions. These evaluations have been more informal (face to face meetings), but they have proved useful in order to gauge the pulse of the research staff regarding their knowledge of the progress on the centre's HR strategy. It has also been the valuable tool as an starting point for this self-assessment. The process has not been smooth, as pointed out in the narrative, with the main hassle being the replacement of the person in charge of coordinating the HRS4R implementation. An examination of each action included on the original action plan has been carried out during the meetings of the steering committee to measure and evaluate the progress made on their implementation, also assessing the reasoning behind any possible delay or alterations on the intended schedule.

The main tools used to involve our research community have been mostly mailings, to keep them informed of any new items published on the portal, and also the meetings carried out among the research staff where the HRS4R coordinator has been able to participate in order to report to them as well as the director and the manager. The board of directors and the scientific advisory board are informed by the centre's director during their meetings and every action has to be approved by the relevant body. Bearing in mind the results of this Interim Assessment, the action



plan has been updated with the actions that are still pending completion and the new ones that have sprung both from this evaluation and from the HRS4R steering committee meetings. The revised Action Plan has been reviewed and approved by the CRM's Manager and Director.

Going forward, the steering committee will carry on with the continuous monitoring of the implementation of the actions, with the aim of strengthening the centre's strategy with the HRS4R principles, ensuring that the implementation of the action plan produces measures embedded with the centre's policies, and also being prepared to integrate the advice provided by experts from the European Commission. The committee will undergo several changes during this year 2018. The representative of our junior researchers is expected to finish her PhD in the next few months and our manager will retire at the end of June. Both positions will be replaced in the shortest possible time before the scheduled second meeting of the year. The fallout of the political situation that we are currently experiencing is still looming over the normal operation of the centre, but the expectation is for the situation to improve in the next few months in order to relive the stress suffered by the centre. We also expect to incorporate surveys as another tool to keep the researchers in the loop of the Human Resources Strategy's actions.

The Director and the Manager have been engaged in all the aspects involved with the HRS4R and they strongly value how the principles included in the Charter & Code align with the objectives set by the Catalan General Direction of Research. In that regard, they have made it clear that being ready for the external evaluation is an important part of the CRM's strategic plan for the next years. The ultimate intend is to put into practice the HRS4R framework to help the centre achieve its goals as a research institution, making it more attractive to local and international researchers.

*Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.*