

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): ⁴⁵ document under development

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1. ORGANISATIONAL INFORMATION

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

STAFF	FTE
Total researchers = staff, PhD. researchers	41
Of whom are international (i.e. foreign nationality)	9
Of whom are externally funded (i.e. for whom the organisation is host organisation)	23
Of whom are women	24
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	16
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	9
Of whom are stage R1 = in most organisations corresponding with doctoral level	16
Total number of students (if relevant)	-
Total number of staff (includes researchers, management, administrative and laboratory technicians)	61
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>IMDEA Agua is a public foundation, non-profit, research institute, born at the end of 2006, but with its first activity and contracts in 2008. IMDEA Agua is focused on water research and has a strong collaboration with academia and industry and is 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.</p> <p>IMDEA Agua was member of the 1st Cohort-HRS4R and got the acknowledgement in 2010, being the first Spanish institution and the eleventh in Europe. During the process, there have been changes in the HRS4R that we have been adapting. Logo has been renewed in 2012 and 2014 (including external assessment) following the old procedure.</p> <p>Since 2011, IMDEA Agua is member of the Euraxess Services network as LoCP.</p>	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

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) and growing in staff, especially researchers. This has meant a great change and adaptation period that has not yet finished.

During the last three 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 industry. The first EFQM evaluation was developed last November, and the acknowledgment 300+ was received on January 2018. HRS4R internal review was developed on October 2017 however the final definition of this new action plan has been delayed because there was an institutional interest to integrate both strategies, with the aim to ensure that they are part of the same quality process, and that both will be implemented and monitored together. Three members of the working group for HR Excellence are also members of the EFQM working group, which allows connecting and monitoring better both models. EFQM model consider enablers (leadership, people, strategy, partnerships & resources, processes, products & services) and results (in people, customers, society and business) and for now on the enable people will be developed via HRS4R. Within this new context, HRS4R will be monitored and measured together with EFQM and the questionnaire will be repeated annually. This will ensure receiving feedback regularly, evaluating the improved level of the actions and the possible deviations with more frequency. EFQM is having a positive impact on HR Strategy.

A survey has been launched in 2016 and another one in 2017. This new survey is more complete as it includes questions related not only to the HR Strategy, but also to the EFQM context. The survey system has been improved 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 confidentiality of the participants.

Most of the tasks proposed on the last action plan have been completed, but most of them keep as continuous actions.

As a general conclusion of the analysis of the last surveys, most of the priorities for next period remain the same, and they are coherent with the actual economic and regulatory situation, which implies regulations and a state of uncertainty. These priorities are related to the “permanence of employment” and “funding & salaries”. These aspects are really important and information related to this point will be increased. Another task that needs to be reinforced are related to internal communication (with directors, inter-groups, with PI researchers) so new procedures, activities and meetings will be organised.

IMDEA Agua is part of a working group called ODISEA, created by some Spanish institutions members of 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. Although questions related to career development have had a positive assessment, this principle it is considered important institutional level, so new task are considered.

Ethical and professional aspects

The results of the questionnaire for this group of principles have been valued positive from the staff (more than 50% of the staff evaluated positively).

Over the last years, there have been clarifying procedures and computerized the internal administrative procedures to help fulfil the accountability systems and the connection with funders, but improvements are still needed to make the management duties easier and more agile. The procedures are reviewed and updated to adapt them to the new regulations and to the funders’

requirements. This aspect will be also strengthened reinforcing communication between the different departments.

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 development of new ones when necessary and to monitor them.

Dissemination and exploitation of results is part of the research activity and researchers (including non-doctorates) are committed to this point. The interaction with society has been growing during the last years however, since this is a continuous objective, IMDEA Agua will keep doing efforts and offering support.

Recruitment

The recruitment processes fulfil with public regulations applicable to the public sector. This aspect is valued in surveys and feedback is received from new staff in relation to their experience during the recruitment process.

Among the new tasks are the preparation of the OTM-R policy and an internal document with information about the procedure followed during the recruitment processes.

Working conditions and social security

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

Since 2015, the Institute moved to a new building, this has improved the working conditions by expanding spaces and improving research infrastructures by installing pilot plants to scale-up technology, among other aspects. Works on reconditioning the new building are still pending.

Since the beginning of the implementation of the HRS4R (2009), non-doctorate staff is considered as researchers. They participate in all the activities and research projects of their groups; they are co-authors of publications and co-inventors of patents and are involved in dissemination activities. On the other hand, although IMDEA Agua is a centre dedicated solely to research, its members collaborate with universities tutoring students during their internships, supervising masters or Erasmus final projects and lecturing in masters or doctoral programmes, so the researchers can complement their research activity by acquiring teaching experience.

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, various meetings have been planned to discuss and explain this situation with the different groups.

No scholarships are provided so all researchers (including R1) have an employment contract, and are registered in the social security system.

In addition in order to improve other principles of this group, different meetings have been planned to inform, among other things, about the existence of the internal intellectual property rights regulation and to improve knowledge on this subject.

Training

The effort in training activities has been positively valued, but more training is still required, especially on crosscutting issues. 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 will allow improving the training activities offered by identifying the minimum transferrable skills to acquire for each R.

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 non-doctoral researchers present their work to doctoral researchers. This session also helps to improve communication and public presentation skills.

3. ACTIONS

The following table shows the status of the previous action plan 2014-2017.

Annex 1 shows the new action plan for the period 2018-2020 updated on the basis of the last surveys and the integration with EFQM. The principle seniority had no planned action and the response has been positively valued in the survey (88.3%), so it is not considered necessary to maintain this principle in the new action plan, although it will remain in the following surveys. Other principles requested in the survey and that are not in the action plan have had a positive rating (all above 70%).

Principles to improve	Actions Planned 2014-2017	Responsible Unit & Timing	Indicators (quali- and quantitative)	Current status
Ethical and professional aspects				
Professional attitude	Greater involvement of centre and researchers: meetings; <i>feedback</i> Continuous management system enhancement and automation (intranet, procedures, LIMS...)	<i>Who:</i> Management, Finance Dept., Line Supervisors and other researchers <i>When:</i> Continuous	% Attendance annual meeting No of protocols new or updated Annual meeting (YES/NO) Has been improved the management system? (YES / NO) How?	CONTINUOUS CONTINUOUS
Accountability	Encourage communication through the intranet Encourage internal meetings Improving diffusion outside the Institute Enhancing the electronic transactions system Transparency portal (new action started in 2015)	<i>Who:</i> Management, <i>When:</i> A few weeks prior to approval of the activity report and annual accountancy and some weeks before the annual action plan's approval by the Foundation Board of Trustees	No of internal bulletins No of web news No of social media sites No of activities during science week No of activities during researcher's night No of web visits Have been implemented improvements to the Finance Dept. system? (YES / NO) How? Annual meeting (YES/NO) Update the transparency portal twice per year	CONTINUOUS CONTINUOUS CONTINUOUS CONTINUOUS CONTINUOUS
Good practice in research	Improve prevention of occupational risks (POR) training Continuous enhancement of IT services Creating a cloud storage system Creation of a redundant backup storage unit Improve the document search system through the	<i>Who:</i> Management, POR Manager, Laboratories Supervisor and outsourced companies responsible for execution <i>When:</i> short-term and medium-term	No of people trained in POR No of IT improvements List of lab wastes available? (YES/NO) Lab's protocols available? (YES/NO) Emergency plan available? (YES/NO)	COMPLETED CONTINUOUS COMPLETED COMPLETED The intranet has been modified (classification) to

	<p>intranet</p> <p>Access control of external personnel to laboratories</p> <p>Laboratories: protocols</p> <p>Encouraging awareness of good saving practices</p> <p>Inform about new regulation “Nagoya protocol” on access to genetic resources and the fair and equitable sharing of benefits arising from their utilization to the convention on biological diversity (new action developed in 2017)</p>			<p>make easier it use</p> <p>COMPLETED</p> <p>CONTINUOUS</p> <p>CONTINUOUS</p> <p>An information day was organised to present Nagoya Protocol and to inform about this law</p> <p>A procedure about Nagoya is under development</p>
Evaluation/ Appraisal systems	Increase feedback during evaluation process	<p><i>Who:</i> Directors and Management</p> <p><i>When:</i> Continuous</p>	<p>No of training courses for researchers, technicians and management staff</p> <p>No of external stages</p>	CONTINUOUS
Recruitment				
Transparency	Keep continue information about career development	<p><i>Who:</i> Directors and Management</p> <p><i>When:</i> Continuous</p>	No of informative meetings	CONTINUOUS
Working conditions and social security				
Seniority	No actions planned	<p><i>Who:</i> Directors and Management</p>		
Working conditions	No actions planned	<p><i>Who:</i> Directors</p> <p><i>When:</i> Continuous</p>		

Stability and permanence of employment	Report renewals and/or termination of contract with sufficient time Informational meetings about the current political situation	<i>Who:</i> Directors <i>When:</i> Continuous	No of extended contracts No of permanent contracts No of meetings	CONTINUOUS COMPLETED
Intellectual property rights	No action planned	<i>Who:</i> Directors and Research unit	Available information about IPR?	
Funding and salaries	Continue reporting on the economic situation	<i>Who:</i> Directors and Management <i>When:</i> Continuous	Nº of informative meetings	COMPLETED
Complains /appeals	Drawing up a document outlining procedure to follow	<i>Who:</i> Management		COMPLETED
Participation in decision-making bodies	Periodic meetings between line supervisors and directors	<i>Who:</i> Directors , Line supervisor <i>When:</i> Continuous process	Is there information on the organisational structure?	CONTINUOUS
Training				
Supervision and managerial duties	Intragroup 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.	<i>Who:</i> Directors and Line Supervisors		COMPLETED
Supervision	Greater commitment of tutors/mentors. Intragroup meetings will be encouraged Meetings with the Directors to transmit their working proposals and commitments Annual meeting to be held with predoctoral	<i>When:</i> Mid-term. Due to the current economic situation, no terms can be estimated	Evaluation via survey	COMPLETED

	researchers (and a group of PhD). This will assess the supervisor's progress and involvement			
Access to research training and continuous development	<p>Continuous encouragement and reporting on training activities for all staff (including technicians), although no specific funding system can be guaranteed in the short-term</p> <p>Include this type of information on the intranet</p> <p>Continuous training</p> <p>Participation in the ODISEA project with the aim of ensure horizontal training for researchers (new action started during 2017)</p>	<p><u>Who:</u> Directors, Management and Line Supervisors</p> <p><u>When</u> Continuous</p>	<p>No of training courses for researchers, technicians and management staff</p> <p>No of external stages</p>	<p>COMPLETED</p> <p>CONTINUOUS</p> <p>COMPLETED</p> <p>CONTINUOUS</p>

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 checklist⁴⁵, 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.

The OTM-R checklist has been developed and is included as annex 2.

Some new actions have been defined based on the checklist, these are the elaboration of a document explaining the OTM-R policy and an internal guide setting out the procedure followed. Also, it is planned the creation of a Career Development Platform with the aim to include useful information.

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.

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 it has 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. The members of the working group have been maintained, but for next period two members will be replaced.

For the evaluation of both the HRS4R and EFQM quality system, a survey has been carried out in 2016 and 2017. Since 2016, survey is developed annually with the aim to receive feedback, see evolution and detect priorities easily. This also helps to design the annual training plan. All staff received the survey (75% of staff participation in 2016 and 86.4% in 2017), so all the main stakeholders participated. The questionnaire is segmented into four groups: non-doctorate researchers, doctorate researchers, management staff and laboratory technicians. It is not possible to separate in more categories 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?

There are two people from the Working Group appointed to review the progress continuously, checking the actions taken and updating the indicators. 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. This helps to detect new needs and propose corrective actions when necessary. Finally, the Action Plan is revised and approved by the Directors team.

- 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 (PhD researchers, non-doctorate 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 2017, 86.4% of the staff answered, of which 62.7% are women). In addition before conducting the self-assessment, information days are organised to explain the HRS4R, especially directed to newcomers with the aim to motivate them to participate.

Focus groups meetings will be organised with the aim to detect necessities and receive feedback.

- 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.

- How are you monitoring progress?

The compliance of the proposed actions is controlled, the evidences are reviewed and the indicators are measured regularly.

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

We will ensure that the latest data for the indicators are updated so that the latest data can be presented during the external evaluation. Evidence will also be available. Meetings will be scheduled between the evaluators and representatives of the different groups.

ACTION PLAN 2018-2020

Principles to improve	Actions Planned 2018-2020	Responsible & Timing	Indicators (quali- and quantitative)
Ethical and professional aspects			
Professional attitude	Greater involvement of centre and researchers: meetings; <i>feedback</i> ... Continuous management system enhancement and automation (intranet, procedures, LIMS...) Principle evaluated annually through the new survey Update welcome pack ¹	<i>Who:</i> Management, Finance Unit, Line Supervisors and other researchers <i>When:</i> continuous, 2 nd quarter 2018 ¹	% Attendance annual meeting No of protocols/procedures new or updated Annual meeting (YES/NO) Has been improved the management system? (YES/NO) How? Welcome pack updated
Accountability	Encourage communication through the intranet ¹ Encourage internal meetings ¹ Improving diffusion outside the Institute ¹ Enhancing the accountability system ¹ Update transparency portal ² Information meeting about accountability procedure ³ Principle evaluated annually through the new survey Update welcome pack ⁴	<i>Who:</i> Management, Finance Unit, R&D unit <i>When:</i> continuous ¹ , twice/year ² , 1 st quarter 2018 ³ , 2 nd quarter 2018 ⁴	At least 2 updates per year of the transparency portal Have been implemented improvements to the accountability system? (YES/NO) How? Annual meeting (YES/NO) No of internal bulletins No of web news No of social nets No of activities during science week No of activities during researcher's night No of web visits Welcome pack updated
Good practice in research	Continuous health and safety activities Continuous enhancement of IT services Create and update protocols when necessary Encouraging awareness of good saving practices Create a procedure informing about how to proceed to enforce Nagoya Protocoll ¹	<i>Who:</i> Management, health and safety Manager, Laboratories Supervisor and outsourced companies responsible for execution (IT, WRP) <i>When:</i> Continuous, 1 st quarter 2018 ¹	No of people trained in WRP List of lab wastes available? (YES/NO) Lab's protocols available/updated? (YES/NO) Emergency plan available? (YES/NO) Nagoya procedure
Evaluation/ appraisal systems	Increase feedback during evaluation process Principle evaluated annually through the new survey	<i>Who:</i> Directors, Management, R&D Unit <i>When:</i> Continuous	No of training courses for researchers, technicians and management staff No of external stages
Dissemination,	Elaboration of a dissemination and	<i>Who:</i> communication technician	Dissemination and communication plan

exploitation of results	communication plan	<i>When:</i> 2 nd quarter 2018	
Recruitment			
Transparency	Become a Career Development Platform (CDP) in order to improve information about career development OTM-R policy and publication on website Internal document with information about the procedure followed during the recruitment processes Principle evaluated annually through the new survey	<i>Who:</i> Directors and Management <i>When:</i> 3 rd quarter 2018	Existence of Career Development Platform OTM-R policy available (in English too) Recruitment process document
Working conditions and social security			
Working conditions	Information meeting regarding working conditions ¹	<i>Who:</i> Directors <i>When:</i> Continuous process, 1 st quarter 2018 ¹	Informative meeting about working conditions
Stability and permanence of employment	Report about renewals and/or termination of contract with sufficient time ¹ Information meetings about the current political situation ² Specify with ODISEA project what is related to career development ³	<i>Who:</i> Directors <i>When:</i> Continuous ¹ , at least during each annual meeting ² , 1 st quarter 2019 ³	Informative meeting on stability in employment No of extended contracts Information meeting about political situation ODISEA report
Intellectual property rights	Meeting informing about internal regulation	<i>Who:</i> Directors and Research unit <i>When:</i> 1 st quarter 2018	Informative meeting about IPR
Funding and salaries	Continue reporting on the economic situation	<i>Who:</i> Directors and Management <i>When:</i> Continuous	Informative meeting on funding and salaries
Complains/ Appeals	Update the procedure	<i>Who:</i> Directors and management <i>When:</i> 1 st quarter 2018	No complains
Participation in decision-making bodies	Reinforce meetings with directors	<i>Who:</i> Directors, main researchers <i>When:</i> Continuous process	No of meetings
Career development	ODISEA activities Update the guide for foreigners	<i>Who:</i> R&D Unit <i>When:</i> 1 th quarter 2019,	Develop the Career Development Platform Document that contains the basic needs for each R No of training courses
Training			
Supervision and	Intra-group meetings to facilitate monitoring and	<i>Who:</i> Directors and Line Supervisors	No of meetings

managerial duties	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. Focus groups to see good practices for communication intra-group Greater commitment of tutors/mentors. Reinforce periodic meetings with Directors to transmit their working proposals and commitments Annual meeting to be held with no doctor researchers (and a group of doctors). This will assess the supervisor's progress and involvement	<u>When:</u> continuous, once/year ²	Good practices from focus groups
Supervision			
Access to research training and continuous development	Annual training plan based on feedback and on survey ODISEA activities to improve transferable skills Keep informing on the intranet about training opportunities Annual meeting to be held with no doctor researchers (and a group of doctors). This will assess the supervisor's progress and involvement ² Focus groups meeting	<u>Who:</u> Directors, Management and Line Supervisors. <u>When</u> Continuous	No of training courses for researchers, technicians and management staff No of external stages List of skill detected during the focus groups activity
Continuing professional development	ODISEA activities Annual training plan ¹ updated regularly Focus groups meeting	<u>Who:</u> Directors, Line Supervisors <u>When</u> Continuous, annually ¹	Document that contains the basic needs for each R List of skill detected during the focus groups activity