

# Gap Analysis

Human Resources Strategy for Researchers · HRS4R

July 2017

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## 1. Contact details

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Re - Submission date:	JULY 2017
Date of Charter and Code Endorsement:	FEBRUARY 2017
Web link to published version of organisation's HR Strategy and Action Plan:	<a href="http://www.fsjd.org/en/hr-excellence-in-research_139362">http://www.fsjd.org/en/hr-excellence-in-research_139362</a>

## 2. The process

### 2.1. People involved in the process

The implementation of the code of conduct for the researchers of Fundació Sant Joan de Déu (FSJD) is led by its Governing Board.

A Steering Committee was formed to monitor the process and a Working Group was appointed to implement the process and to manage the communication with EC authorities.

The Steering Committee has monitored the process and validated the final documents. It is composed of the members of the Governing Board of FSJD, and includes seven people:

- Mr. Emili Bargalló Angerri, Director of FSJD
- Dr. Josep Maria Haro Abad, Director of Research, Teaching and Innovation Area at Parc Sanitari Sant Joan de Déu (PSSJD)
- Dr. Jaume Pérez Payarols, Director of Research, Teaching and Innovation Area at Hospital Sant Joan de Déu (HSJD)
- Ms. Clara Goula Mallofré, Financial and Human Resources Manager at FSJD.
- Ms. Roser Arnalte Olloquequi, Research Management Manager at FSJD
- Ms. Ana Maria Merino Márquez, Communication, Knowledge Management and Library Manager at FSJD,
- Ms. Joana Claverol Torres, Clinical Research Unit Manager at FSJD

The Working Group has been responsible for the preparation of the Gap Analysis & Action Plan, and will participate and follow up on the implementation process. It is composed of 21 people:

- Cecilia Jiménez Mallebrera, R4
- Cinzia Lavarino, R4
- Francisco Palau, R4
- Antoni Serrano, R4
- Ángel Montero, R4
- Pedro Brotons de los Reyes, R3
- Beatriz Olaya, R3
- María Rubio, R3
- M. Elena Huerta Ramos, R3
- Christian Stephan-Otto, R2
- Lara Cantarero, R2
- Anna Butjosa Molines, R1
- Raquel López Carrilero, R1
- Juan Darío Ortigoza Escobar, R1
- Elena Juárez, R1
- Abel Sola, R1
- Clara Goula, Financial and Human Resources Manager at FSJD
- Roser Arnalte, Research Management Manager at FSJD

- Maite López, Project Manager at FSJD
- Leonor Norton, Pre-award Project Manager Staff at Sant Joan de Déu Research Foundation
- Susana Martínez, Human Resources Staff at FSJD

## 2.2. Calendar of the process

Table at Annex 4.0 summarises the chronology of the 2016-2017 milestones during the process of preparation for the HR Award application.

## 2.3. Sample, Gap Analysis and Action Plan

### 2.3.1. Define sample and survey

The C&C online survey was sent to all 175 researchers including those that were hired by the Institution, the researchers hired by CIBER, and their corresponding IPs. 103 researchers answered the survey (58,85%).

The online survey for OTM-R was sent to a sample of six people from the administrative departments in charge of the recruitment processes.

Further information is shown in ANNEX 1.

### 2.3.2. Gap Analysis and improvement actions definition

The C&C FSJD's survey asked about the degree of implementation of each of the 40 principles provided, and requested an explanation for why a principle was not implemented. Additionally, the option of being unaware of the implementation of the criterion was also considered. The survey also asked the participants to evaluate the importance of each of the 40 principles. The survey was written in Spanish. An online platform was used for both the C&C and OTM-R surveys:

- C&C: <http://effectia.surveymonster.com/f/b6e225a2bb>
- OTR-M: <http://effectia.surveymonster.com/f/581b18e52f>

The answers to the different questions were analysed, and the opinions expressed in the survey were taken by the Working Group as the starting point of discussion concerning the implementation of each of the 40 principles, and for the definition of the Action Plan.

An average score has been calculated for each of the principles (the degree to which the researchers consider the principles have been implemented and their importance). Additionally, that information was applied in personal interviews with stakeholders to attain a more

comprehensive perspective of the implementation of these principles at FSJC. Results are shown in ANNEX 3.

Personal in-depth interviews, for approximately one hour, were held with officials concerning specific topics:

- Ethics: Dr. Pau Ferrer Salvans, Secretary of the Clinical Research Ethics Committee (CEIC)
- Innovation and Intellectual Property: Dr. Jaume Pérez Payarols, Director of Research, Teaching and Innovation Area at Hospital Sant Joan de Déu (HSJD)
- Recruitment Processes: Ms. Clara Goula Mallofrè Financial and Human Resources Manager at FSJD. and Ms. Roser Arnalte Olloquequi, Research Management Manager at FSJD
- Information Technology: Francesc Torrents I Gómez IT Systems Manager
- Outreach: Ms. Ana Merino, Communication, Knowledge Management and Library Manager at FSJD

FSJD made a benchmark of the action plans written by other institutions, available on the EURAXESS portal, to identify actions to solve its current gaps. In addition, to identify best practices, FSJD performed a benchmark of national universities and research centres that had previously implemented the process.

Table at Annex 4.0 summarises the chronology of the 2016-2017 milestones during the process of preparation for the HR Award application.

### 2.3.3. Action Plan

To diagnose the implementation of the 40 C&C principles in FSJD, and to identify the main actions to change this situation, two half-day workshops were held.

During the first day, the diagnosis was presented, discussed and validated; afterwards, actions were debated.

In the second workshop, the actions were defined and evaluated more concisely, prioritising the most appropriate and achievable for the FSJD.

A detailed description of the meetings, agenda and participants is shown in ANNEX 4.

## 3. GAP Analysis

This effort provided a Gap Analysis in which five principles were considered implemented at the Institution. Annex 4.6 shows the analysis of the National and Institutional legal framework performed to identify the laws, decrees or regulations that may limit the implementation of any of the 40 C&C principles. After reviewing nearly 40 regulations, our conclusion is that in a general sense, the National, Autonomic or Institutional legal frameworks are compatible with the integration of the C&C principles to the HR strategy of the Institution.

Down below, the Gap Analysis of the 40 C&C and the 23 OTM-R principles are presented.

### 3.1. Charter & Code

Table 2 presents the Gap Analysis of the HRS4R criteria at the Institution. Five out of 40 criteria have been considered “fully implemented”; seven “almost but not fully implemented”; five “partially implemented”; and the remaining 23 “insufficiently implemented”.

Notes:

1. To show the implementation of already undertaken initiatives, links to the web pages of the public documents were provided. The internal-use documents were stored at a special Dropbox repository and are available to be reviewed by the evaluators.
2. The researchers’ selection and recruiting processes were analysed in general terms. Only solutions were provided for the recruitment of researchers hired directly by FSJD.

## 4. Annex

### 4.1. Workshops

#### 4.1.1. First Workshop: 20th April: Analysis and interpretation of the surveys

Half-day workshop evaluating and discussing part of the responses of the survey. Goals:

- To review the general results obtained in the survey.
- Validate the Gap Analysis jointly, assuring that the answers were consistent with the reality of the Institution.
- Identify the most outstanding improvement areas.

#### Working Methodology

- Fully participative meeting led by the working team. It was necessary to review the distributed documentation prior to joining the meeting.

#### Agenda

- 9:00 Welcome message – FSJD
- 9:00 - 9:15 Presentation of the survey conclusions, in terms of participation and perception of implementation and importance of the C&C criteria. –
- 9:15 - 10:45 Validation of the survey answers and suggestions for improvement to the implementation of Charter & Code (C&C) “ETHICAL and PROFESSIONAL ASPECTS (11)” and “SELECTION and RECRUITMENT (10)” -
- 10:45 - 11.00 Coffee break
- 11:00 - 13:15 Validation of the survey answers and suggestions for improvement to the implementation of Charter & Code (C&C) “WORKING CONDITIONS and PROFESSIONAL CAREER (14)” and “SUPERVISION and TRAINING (5)”
- 13:15 - 13:30 Wrap up and next steps – FSJD

Participants: Working Group

Researchers:

- Cecilia Jiménez Mallebrera · R4 · HSJD-ESPLUGUES
- Cinzia Lavarino · R4 · HSJD-ESPLUGUES
- Francisco Palau · R4 · HSJD-ESPLUGUES
- Antoni Serrano · R4 · PSSJD-SANT BOI
- Angel Montero · R4 · HSJD-ESPLUGUES
- Pedro Brotons de los Reyes · R3 · HSJD-ESPLUGUES
- Beatriz Olaya · R3 · PSSJD-SANT BOI
- Maria Rubio · R3 · PSSJD-SANT BOI
- Christian Stephan-Otto · R2 · PSSJD-SANT BOI
- Lara Cantarero · R2 · HSJD-ESPLUGUES
- Anna Butjosa Molines · R1 · PSSJD-SANT BOI



- Juan Darío Ortigoza Escobar · R1 · HSJD-ESPLUGUES
- Elena Juárez · R1 · HSJD-ESPLUGUES
- Abel Sola · R1 · HSJD-ESPLUGUES

Administration:

- Roser Arnalte · Administration
- Maite López · Administration
- Clara Goula · Administration
- Susana Martínez · Administration

In the second part of the workshop the Working Group discussed the results obtained in the surveys. The information provided by the participants was the starting point of the discussions about the real degree of implementation of the 40 C&C criteria.

Figure 11 Working Group attending the first workshop



#### 4.1.2. Second Workshop: 3rd May: Action Plan definition and debate

Half-day workshop evaluating and discussing part of the responses of the survey.

Goals:

- To identify actions to fill the Gaps in the implementation of the C&C criteria.
- Identify the most outstanding improvement areas.

Working Methodology

- Fully participative meeting led by the working team. It is necessary to review the distributed documentation prior to joining the meeting.
- From 9 am to 1.30 pm.

Agenda

- 9:00 Welcome message - FSJD
- 9:00 - 9:15 Presentation of the Gap Analysis conclusions and actions for improvement to the implementation of Charter & Code (C&C) "ETHICAL and PROFESSIONAL ASPECTS (11)" and "SELECTION and RECRUITMENT (10)" -
- 10:45 - 11.00 Coffee break
- 11:00 - 13:15 Presentation of the Gap Analysis conclusions and actions for improvement to the implementation of Charter & Code (C&C) "WORKING CONDITIONS and PROFESSIONAL CAREER (14)" and "SUPERVISION and TRAINING (5)"
- 13:15 - 13:30 Conclusions and next steps – FSJD

Participants: Working Group

Researchers:

- Cecilia Jiménez Mallebrera · R4 · HSJD-ESPLUGUES
- Cinzia Lavarino · R4 · HSJD-ESPLUGUES
- Francisco Palau · R4 · HSJD-ESPLUGUES
- Antoni Serrano · R4 · PSSJD-SANT BOI
- Angel Montero · R4 · HSJD-ESPLUGUES
- Beatriz Olaya · R3 · PSSJD-SANT BOI
- Maria Rubio · R3 · PSSJD-SANT BOI
- M. Elena Huerta Ramos · R3 · PSSJD-SANT BOI
- Christian Stephan-Otto · R2 · PSSJD-SANT BOI
- Lara Cantarero · R2 · HSJD-ESPLUGUES
- Anna Butjosa Molines · R1 · PSSJD-SANT BOI
- Raquel López Carrilero · R1 · PSSJD-SANT BOI
- Elena Juárez · R1 · HSJD-ESPLUGUES
- Abel Sola · R1 · HSJD-ESPLUGUES

Administration:

- Roser Arnalte · Administration
- Clara Goula · Administration

- Leonor Norton · Administration
- Susana Martínez · Administration

The text summarising the diagnosis of each of the 40 C&C principles was debated and a consensus on common positions was reached, considering the qualitative and quantitative assessment shown in the surveys, the results of the personal interviews and the Working Group members' suggestions.

Figure 12 Working Group attending the second workshop



#### 4.1.3. Third Workshop: 25th May: Action Plan definition and debate

##### Goals:

- To provide detailed information about HRS4R evaluation.
- Discuss with experts the C&C and OTM-R conclusions. Working Methodology:
- Presentations by Lluís Rovira, National HRS4R expert.
- Discussions regarding the design and implementation of actions for the design of the action plan.

##### Participants:

- Mr. Emili Bargalló Angerri, Director of FSJD
- Ms. Clara Goula Mallofrè, Financial and Human Resources Manager at FSJD
- Ms. Roser Arnalte Olloquequi, Financial and Human Resources Manager at FSJD
- Ms. Ana Maria Merino Márquez, Staff at Sant Joan de Déu Research Foundation
- Dr. Francesc Palau Martínez, Director of Research Institute Sant Joan de Déu
- Lluís Rovira, HRS4R evaluator

##### Workshop Description:

Lluís Rovira presented a lecture entitled "Keys for success", regarding good practices and recommendations for the preparation of the HRS4R proposal promoter or HRS4R logo in the Catalan research centres.

Participants exchanged views and raised questions with the expert.

## 4.2. Meetings

### 4.2.1. Communication session at Sant Boi: 27th March 2017

#### Agenda:

- 10.00- 11.00 Short presentation about HRS4R initiative and objectives
- 11.00- 11.30 Questions and answers

Venue: Sant Boi conference room.

Figure 15 Awareness meeting at Sant Boi



#### 4.2.2. Communication session at Esplugues, 28th March 2017

##### Agenda:

- 10.00- 11.00 Short presentation about HRS4R initiative and objectives
- 11.00- 11.30 Questions and answers

Venue: Esplugues conference room

Figure 16 Awareness meeting at Esplugues



#### 4.2.3. Members of the Steering Committee meeting for the Action Plan leader assignment and Chronogram definition. May 25th 2017

Goals:

- A review of the Gap Analysis and its correlation with Action Plan was made.
- An in-depth discussion about focus and scope for each of the actions was made.

Working Methodology:

- Open discussion.

Participants:

- Ms. Clara Goula Mallofrè, Financial and Human Resources Manager at FSJD
- Ms. Roser Arnalte Olloquequi, Research Management Manager at FSJD

#### 4.2.4. Steering Committee meeting for the Action Plan leader assignment and Chronogram definition. June 1st 2017

Goals:

- To design the Action Plan and define the chronogram of the implementation of the actions

Working methodology:

- Open discussion.

Participants:

- Mr. Emili Bargalló Angerri, Director of FSJD
- Ms. Clara Goula Mallofrè, Financial and Human Resources Manager at FSJD
- Ms. Roser Arnalte Olloquequi, Research Management Manager at FSJD
- Ms. Ana Maria Merino Márquez, Communication, Knowledge Management and Library Manager at FSJD
- Dr. Jaume Pérez Payarols, Director of Research, Teaching and Innovation Area at Hospital Sant Joan de Déu (HSJD)

Figure 17 Steering Committee meeting





### 4.3. Interviews

#### Goals:

- To complete information concerning the degree of implementation of the most controversial principles debated in the workshops.

#### Working Methodology:

- Personal interviews of 60 minutes. Date, people and major discussion themes:
- April 3rd Innovation: Dr. Jaume Pérez Payarols, Director of Research, Teaching and Innovation Area at Hospital Sant Joan de Déu (HSJD). IP rights.
- April 3rd Recruitment Processes: Ms. Clara Goula Mallofrè, Financial and Human Resources Manager at FSJD; Ms. Roser Arnalte Olloquequi, Research Management Manager at FSJD. Recruitment and training policies, and OTM-R implantation.
- April 3rd IT: Francesc Torrents I Gómez IT Systems Manager. Integration of the computers used by researchers into the global FSJD server, security of sensitive data, and data storage.
- April 20th Ethics: Dr. Pau Ferrer Salvans, Secretary of the Clinical Research Ethics Committee (CEIC). Present reality of the Ethical committee, protocols, templates, etc.
- May 2nd Outreach: Ms. Ana Maria Merino Márquez, Communication, Knowledge Management and Library Manager at FSJD. Communication and Outreach coordination, activities, dissemination of the activities by social media and web page.

#### 4.4. Legal framework of the C&C principles

Table 1 presents the legal framework that addresses the implementation of the HRS4R. No regional laws affect the proper adscription of the HRS4R criteria.

Table 1 Legal framework.

European legislation	
Royal Decree Law 8/2015, General Social Security Law. Consolidated text.	26
Royal Legislative Decree of April 1, 1996, approving the revised Intellectual Property Act, updated November 5, 2014.	3
Spanish Committee of Research Ethics. Ninth Additional Provision.	7
Article 20.1 CE: They recognise and protect rights: a) to freely express and disseminate thoughts, ideas and opinions through words, writing or any other means of reproduction. b) A production and literary, artistic, scientific and technical.	1
Article 20.4 EC: These freedoms are limited by respect for the rights recognised in this Title Article 149. 15th EC: The State has exclusive power over the promotion and general coordination of scientific and technical research.	1
Article 35.1 EC.	10
Article 9.2 EC.	10
Directive 1999/70/CE regarding Framework agreement of CES, the UNICE and the CEEP about Fixed-Term Work.	25
National legislation	
Directorate General for Labour November 3, 2009, unique national collective agreement for the entire General State Administration.	26
Law 10/2002, of 29 April adapting the Law of Patents to EU Directive related to legal protection of biotechnology inventions.	31
Law 11/1986, of 20 March, Research Patent and utility models.	3,5,6,31,32
Law 14/2007 of Biomedical Research.	1, 5, 6, 7, 8, 9, 18, 19, 20, 23, 28, 29

Law 14/2011, of 1 June, of Science, Technology and Innovation.	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 20, 21, 22, 23, 24, 25, 26, 27, 28, 29, 31, 33, 38, 39
Law 31/1995 (Preventing Work Risks).	7, 23
Law 38/2003 (General Subsidies).	6, 8, 11, 16
Organic Act 3/2007 (Effective Equality for Men and Women).	2, 7, 10, 12, 14, 15, 16, 17, 21, 24, 27, 28, 30
Co Law 15/1999, of 13 December, Personal data protection.	2, 7
Organic Law 2/2012, of 27 April, Budget stability and financial sustainability, updated July 20, 2013.	25
Royal Decree 1837/2008, of 8 November, which incorporated into Spanish Law the Directive 2005/36/EC of the European Parliament and the Council, of September 7, 2005 and Directive 2006/100/EC, Council of November 20, 2006, on the recognition of professional qualifications.	19,20
Royal Decree 2/2015 (Workers' Statute, ET).	5, 10, 11, 12, 13, 14, 15, 18, 22, 24, 25, 26, 27, 34, 39
Royal Decree 55/2002 of Exploitation of inventions by public research institutions.	32
Royal Decree 63/2006 Researchers at training stages.	4, 5, 12, 19, 20, 21, 26
Royal Decree 887/2006 of 21 July, approving the regulations of the Law 38/2003 of 17 November, General Grant Management. Article 60 1. Evaluation criterion.	11, 16
Royal Decree 99/2011 (Regulation of PhD Studies).	40
Royal Decree Law 1/1996, Intellectual Property Law (Book I. art.7 and art.10).	31, 32
Royal Decree Law 5/2006 of 9 June.	25
Spanish Constitution 1978.	1, 7, 10, 16, 27
UNESCO Deontological Codes of Conduct.	2

**SJD**

**Sant Joan de Déu**  
Fundació de Recerca

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