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How do you know?

Important message to institutions:

Site Visits: All HRS4R in-house audits planned for 2021 will be conducted remotely with the consent of the host institution. Should your institution be at renewal stage, once you submit your self-assessment online via the e-tool, the EC will be in contact with you to set a date for the remote visit together with a panel of independent experts. Should the institution prefer a classic on-site visit, the audit will be postponed. Meanwhile, institutions involved in the process can continue using the HR Excellence in research award.

Action Plan

Case number: 2018PT334201**Name Organisation under review:** IPATIMUP**Organisation's contact details:** Rua Dr. Roberto Frias, s/n, Porto

1. Organisational Information

*Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	268
Of whom are international (i.e. foreign nationality) *	15
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	174
Of whom are women *	183
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	49
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	53
Of whom are stage R1 = in most organisations corresponding with doctoral level *	91

<input type="checkbox"/> An official EU website	FTE	How do you know?
STAFF & STUDENTS		
Total number of students (if relevant) *	145	
Total number of staff (including management, administrative, teaching and research staff) *	44	
RESEARCH FUNDING (figures for most recent fiscal year)	€	
Total annual organisational budget	10524714	
Annual organisational direct government funding (designated for research)	0	
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	6104334	
Annual funding from private, non-government sources, designated for research	1472046	

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

The Instituto de Patologia e Imunologia Molecular da Universidade do Porto (Ipatimup), a non-profit private association, is part of the research unit i3S, headed by the University of Porto (UP). i3S results from the long-term collaboration between IBMC, INEB and Ipatimup and focuses on three integrative research programs: Cancer; Host Interaction and Response; Neurobiology and Neurologic Disorders. The transdisciplinary character of i3S is achieved by promoting projects addressing questions that require participation of basic and applied sciences. It gathers over 1400 workers and has a strong social implantation, evident in the training of young scientists, clinical services, and public engagement with science. With this, i3S became the major research institute in Portugal in health sciences, gaining critical mass and multidisciplinary research that facilitates the development of integrated studies and solutions in the fields of Biomedicine and Health

2. Strengths and weaknesses of the current practice

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization. How do you know?

Note: Click on the name of each of the four thematic headings of the Charter and Code to open the editor and provide your answer.



Strengths and Weaknesses (max. 800 words)

Strengths

Our institution aims to achieve excellence, which is only possible if we have Research Freedom as the basis for all research activity. According to the European Code of Conduct for Research Integrity, good science "is underpinned by freedom to define research questions and develop theories, gather empirical evidence and employ appropriate methods". Therefore, at i3S research is carried out by the community of researchers, whose work develops independently of pressure from commissioning parties and from ideological, economic or political interests.

We consider that our strengths are based on:

1. A Committee for Ethical and Responsible Conduct of Research (CECRI-i3S) , that offers an expert perspective on the observance of ethical regulations and responsible conduct of research whenever research projects or protocols are up for approval that entails the collection and/or use of human material or data;
2. A Unit for Responsible Conduct in Research, that deals with ethics and integrity issues, promotes training in these areas, serves as the first contact point for reporting misconduct and works close to the commission for ethics and responsible conduct, in order to improve the ethical climate at i3S;
3. A Postgraduate Student Ombudsperson;
4. Clear guidelines for responsible research, namely: Affiliation Guidelines in publications, i3S Authorship Guidelines and Guidance on Planning Authorship, Procedures for formal allegations of research misconduct and an online, Responsible research with animals info 2018, Responsible Research in general, Ethical Code for Academic Conduct of University of Porto, i3S Code of Practice to Address Workplace Harassment, Regulation of the Committee for Ethics and Responsible Conduct for Research (CECRI-i3S) and Procedures for Reporting cases of misconduct;
5. Regular training on responsible research.

Weaknesses

We recognize the following weaknesses addressed at the action plan:

- 1- Not fully implemented clear guidelines for supervision and managerial duties;
- 2 - Insufficient public engagement;
- 3- Need for improvement of the evaluation/appraisal system for Researchers at all levels.

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How do you know?

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Recruitment and selection*

How do you know?



Strengths and Weaknesses (max. 800 words)

The recruitment and selection process at Ipatimup is one of our Strengths. All our vacancies are posted on the institute website and at the EraCareers portal (replaced by Euraxess from June 2021). The advertisements have a lot of information not only about the vacancy but also about legislation, and where to go if more information is needed. There are clear rules for nomination of selection committees, and when possible they are naturally gender balanced.

We stress the following points as strengths:

- 1 - OTM recruitment principles
- 2 - No limits on the disclosure
- 3 - Large expertise options for the selection committees
- 4 - Good practice of position advertisements
- 5 - User friendly e-tool application platform
- 6 - Administrative burden on position candidates is kept as low as possible.

Weaknesses

We recognize the following weaknesses addressed at the action plan:

- 1 - Lack of specific training of the researchers on recruitment and selection committees;
- 2 - Lack of monitoring systems of the OTM-R principals on recruitment and selection;
- 3 - Dependence on specific recruitment rules set by the funders (public or private);
- 4 - Need to improve conditions to attract foreigners Researchers;
- 5- Need to maintain a formal Alumni network, which will facilitate the dissemination of employment opportunities;
- 6 - Better “onboarding” process for international newcomers;
- 7- Job advertisements are generally too long and may be insufficiently eye-catching; shorter versions should be available, specially to attract candidates through social media.

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Strengths and Weaknesses (max. 800 words)

Strengths

Ipatimup strategy has been largely rooted on the social responsibility of promoting training, mobility and sustainable scientific employment in a flexible and forward-looking environment, which favours the progression and renewal of its human resources. A major goal for the institute is to increase the capacity to attract, retain and disseminate talent, namely doctoral students and postdoctoral researchers.

i3S offers well equipped Research environment to support both, high standard research and also employees social needs:

1- The building is well located next to a tube station and offers parking space for employees, and is equipped with several complementary services such as Library, canteen, bar, nursing room and common area;

2 - Employers have access to supporting departments through the established transversal Units as financial and project management, support dissemination, public engagement, exploitation of results and intellectual property rights (<https://www.i3s.up.pt/transversal-units>).

3 - The Human Resources department provides individual support to all researchers (in-house and incoming) not only regarding its institutional work link, but also on issues related to their activities at the institution, such as recruitment, conflict management, project management, wellbeing at work or legal advice.

4- Researchers have access to Individual career and professional development support.

5- There are well established procedures and available resources for health and safety, namely internal Occupational Medicine, Health & Safety Unit and i3S Biosafety Committee (iBC). All new members attend a mandatory training on Health and Safety and refresh that training every other year.

6 - All employees are represented in decision-making bodies: there is a PostDoc association Committee and a PhD association Committee, composed of volunteer motivated PostDocs and PhD students, responsible for organizing activities and engaging their community in the overall institute activities. They meet once a month with the board of directors on informal lunches where they can share their views and concerns. Also, there is a well established Advisory Commission with a formal meeting occurring once a month and with representatives from the Scientific platforms, transversal Units, PhD and PostDocs associations.

Weaknesses

1- Financial constraints on permanent appointments and on career progression plans.

2- Existence of flexible working conditions but not formally supported by internal regulations.

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- 3- Alumni network: the institution does not have a defined strategy to follow and connect previous employees. We understand that one of the best ways to transfer knowledge is to transfer qualified human resources. An Alumni association by itself is one of the best professional networking platforms available today and they can play an active role in voluntary programmes like mentoring our community in their areas of expertise. Alumni are the best ambassadors of the institution to the outside world. Their success and achievements represent concrete outcomes of their efforts. Consistent and deep engagement with Alumni will ensure that the institution's image they project is both positive and current.
- 4- Mental health wellness for postdoctoral and graduate trainees is acknowledged as an important issue that needs to be addressed with several studies indicating an increase in the incidence of anxiety and depression among college students. i3S hired a work psychologist in May 2021. The support is on the initial phase of implementation and we oversee already a need to reinforce the work psychologists team.
- 5- Relatively small International community. i3S will further enrich its international community (presently accounting for 10% of the research community, originating from 34 countries).



Strengths and Weaknesses (max. 800 words)

Strengths

1- i3S is committed to maintain the highest standards of scientific, ethical and professional training and to prepare the researchers with the necessary skills for their independent career in academia or beyond. Our vision is to be a postgraduate school and training center of excellence for young researchers, forming a highly qualified workforce for academia, health sector and industry. Therefore, i3S recognizes that scientific excellence, a supportive working environment and the acquisition of transferable and complementary skills are key to enhance mobility and employability and to prepare its students and postdoctoral researchers to make informed career decisions and to achieve their professional goals.

2- i3S established the Advanced Training Unit that organizes over 20 training courses annually. The excellence in scientific training and international recognition of i3S in Health and Life Sciences. The unit works together with i3S scientific personnel to program advanced, high-quality and skilled training directed to academic and industry researchers, PhD students, technicians and other members of the scientific community. The Unit provides an annual calendar to plan their training in advance. (<https://www.i3s.up.pt/transversal-unit?x=103>)

3- The Career Development Unit (CDU) was launched in October 2019 with a full time officer as an innovative approach in the Portuguese research context. CDU's vision is to work with i3S community and institution members to create a culture that recognizes career development as a part of the overall experience at i3S. The mission is to ensure successful training experience for students and researchers by providing a supportive working environment and resources to prepare them to make informed career decisions, gain lifelong career management skills, and achieve their professional goals. One-to-one sessions with the CDU officer are offered to individually discuss CVs, job searching, academic applications, moving out of academia, issues related to working in the lab / team, development opportunities available, networking opportunities, or anything else they need to discuss regarding their career and professional development.

4- The Unit for Responsible Conduct in Research (URCR) was set up in September 2019 in order to promote specific training in ethics and integrity in research, thus contributing to better science and better researchers. Moreover, its work is focused on providing researchers with the opportunity to discuss integrity issues with their peers, which can be essential to fill in gaps of knowledge and to solve misunderstandings that can block their career progression.

5- Researchers are highly encouraged to engage at institution activities and training and to be responsible for their projects and continuous development. Mandatory welcome general sessions about the institute structure and dynamics and specific welcome sessions on Health and Safety, Research Ethics and Responsible Conduct and Career Development are organized regularly.

6- New generations of PhD students at i3S are exposed to a highly dynamic, stimulating and collaborative multidisciplinary environment that prepares them to address complex questions of fundamental and/or translational nature in Health and Life Sciences. In line with its strong multidisciplinary ethos, PhD students are working under the mentorship of supervisors from different Programs or from outside the

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institute on projects that are hybrids of multiple research areas. This is helped by the fact that PhD students benefit from considerable international mobility through the several MSCA-ITN (currently 6) and other international programs or networks in which the i3S participates, and have very diverse scientific backgrounds, as they originate from a pool of 6 different PhD programs at University of Porto ranging from fundamental Biology to Applied Clinical Research. The institution makes a strong effort to capacitate human resources to pursue their career and value mobility between sectors, namely public/private; industry, academy and hospitals; both national and international.

Weakness

1- Lack of formal training for senior researchers on supervision.

A positive relationship between the predoctoral student and the research advisor is a vital component of the student's preparation for future careers and mentoring roles. Specific guidelines on Mentor-PhD students and postdocs rights and duties should be provided. Such guidelines are being discussed and will be published at the institute portal. We will include formal training for senior researchers on supervision and managerial duties in our annual training program.

2- Mentoring program.

i3S is aware that the benefits of an established mentoring culture are numerous. A mentoring relationship can offer the mentee psychosocial benefits including development of self-confidence, as well as defining and pursuing goals, expanding perspectives, strengthening self-development plans and supporting career advancement . A mentoring relationship can also support motivation and work satisfaction for both mentees and mentors. The Alumni network (internal and external collaborators) will be used to Improve this guiding practice.

3- Lack of Individual Development Plan (IDP) toolkit.

There is no specific protocol on how to implement the tool in the research groups

4- Dependence on non-regular external funding, that would allow to assure a clear career development strategy for researchers

3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s):

<https://www.i3s.up.pt/hr-excellence>

Please fill in the list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise, but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS

Action 1

Establishment of Individual development plan toolkit. The individual development Plan (IDP) is a tool designed to assist with assessing individual skills; identifying professional objectives and goals and identifying steps to reach career goals throughout training. i3S Career Development Unit will provide an IDP template for PhD and postgraduate researchers and will encourage its use to support the development of positive mentoring relationships between predoctoral students and their research advisors.

GAP Principle(s)		Timing (at least by year's quarter/semester)
(++)	3. Professional responsibility	
(+/-)	28. Career development	
(+/-)	30. Access to career advice	
(-/+)	37. Supervision and managerial duties	2022 (Q1)
(+/-)	38. Continuing Professional Development	
(-/+)	40. Supervision	
Responsible Unit		Indicator(s) / Target(s)
CDU		IDP toolkit publish at portal with CDU promoting regular meetings and seminars to introduce it and encourage the implementation of IDP tools in all research groups.

Action 2

To engage researchers in responsible conduct The Unit for Responsible Conduct in Research (URCR) has been holding regular meetings with different research groups in order to discuss the guidelines of responsible research at i3S and to decide what other issues need to be addressed, namely which of the areas related with responsible research need to be better implemented. This means that the work done by this Unit is collaborative, within a bottom-up approach, together with a top-down normative enforcement addressing the pillars of the EU policy on responsible research: Ethics, Gender Equality, Governance, Open Access, Public Engagement, Science Education.

GAP Principle(s)	Timing (at least by year's quarter/semester)
(+/-) 2. Ethical principles	2022(Q1)
(++) 3. Professional responsibility	
(-/+) 4. Professional attitude	
(-/+) 7. Good practice in research	
Responsible Unit	Indicator(s) / Target(s)
URCR	The results of an initial survey on ethical environment will be compared to a follow up one to check the impact of a bottom-up approach to responsible conduct.

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Action 3

Prepare and publish Guidelines for Professional Conduct for Researchers and a Checklist for Research Integrity. The Guidelines document will be organized by the Unit for Responsible Conduct in Research together with the HR department, so that all the main duties and rights concerning Responsible Research and job contract can be easily assessed by the researchers. The Checklist for Research Integrity will be a fast way to make new incomers aware of the main areas of Responsible Research at i3S, the corresponding documents and resources available at this organization and the actions required from them in order to comply.

GAP Principle(s)

- (+/-) 2. Ethical principles
- (++) 3. Professional responsibility
- (-/+) 4. Professional attitude
- (-/+) 7. Good practice in research

Timing (at least by year's quarter/semester)

2021 (Q2)

Responsible

Unit

Indicator(s) / Target(s)

URCR	The two documents will be issued and made public among all i3S researchers, and there will be group discussions on their impact after the first year of their implementation.
CECRI-i3S	
HR	

Action 4

GAP Principle(s)

Timing (at least by year's quarter/semester)

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How do you know?

Action 4

Consolidate the procedures for reporting misconduct, safeguarding confidentiality and protecting the whistleblowers. One of the aims of the Unit for Responsible Conduct in Research is to be the contact point for those wishing to report, confidentially, cases of research misconduct, before any formal allegation is made. Clear procedures regarding misconduct allegations have been issued and can be assessed on the i3S platform, together with other important internal documents, such as i3S Authorship Guidelines, i3S Guidance on Planning Authorship, Data Protection Impact Assessment (DPIA), Procedures for Allegations of Misconduct and Ethical Guidelines for Stem- Cells Research. The Unit for Responsible Conduct in Research will work together with the Committee for Ethical and Responsible Conduct of Research (CECRI-i3S)

GAP Principle(s)

- (+/-) 2. Ethical principles
- (++) 3. Professional responsibility
- (-/+) 4. Professional attitude
- (-/+) 7. Good practice in research
- (+/-) 32. Co-authorship

Timing (at least by year's quarter/semester)

2022 (Q1)

Responsible

Unit

Indicator(s) / Target(s)

Responsible Unit	Indicator(s) / Target(s)
URCR CECRI-i3S HR	Annual report of the number and type of misconduct issues that have been handled at i3S. Assessment of the stage when it was possible to end the misconduct issue, satisfaction of those involved in the process and self-assessment of the impact of the resolution obtained.

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Proposed ACTIONS

Action 5

The Unit for Responsible Conduct in Research is working and will go on working in collaboration with other national and international institutions of excellence in the field of Ethics and Responsible Conduct in Research, mainly the “European Network of Research Ethics and Research Integrity” (ENERI), the “Austrian Agency for Research Integrity” (OeAWI), “The Association for Responsible Research and Innovation in Genome Editing” (Arrige) and L’Institut International de Recherche et d’Action sur la Fraude et le Plagiat Académiques (IRAFPA). This networking is expected to get more consolidated, with more exchange between all the organizations and i3S.

GAP Principle(s)

(++) 3. Professional responsibility

(-/+) 7. Good practice in research

Timing (at least by year’s quarter/semester)

2022 (Q2)

Responsible

Unit

Indicator(s) / Target(s)

URCR
CECRI-i3S

Webinars and online seminars with members from the network of responsible conduct organizations will be held (once a year)

Action 6

GAP Principle(s)

Timing (at least by year’s quarter/semester)

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How do you know?

Action 6

Training in Research Ethics | Research Integrity has already been implemented on a regular basis. The Blended-learning Training Course in Research Ethics/Integrity, aimed at i3S researchers and external members as well, started in 2020 and will go on till 2021. The aim is to consolidate this training plan, involving not only i3S members, but also external members of the University of Porto. Providing the opportunity for discussion of ethical and integrity issues among researchers from different institutions plays an important role in the motivation to invest in areas that are still perceived as sources of soft skills, therefore not really necessary for good science. On the other hand, a solid regular program on ethics and integrity in research within i3S will be fundamental to make norms and regulations effective instruments that are part of researchers' daily life.

GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 2. Ethical principles		
(++) 3. Professional responsibility		
(-/+) 4. Professional attitude		
(-/+) 7. Good practice in research		2021 (Q4) /2022 (Q4)
(-/+) 9. Public engagement		
(+/-) 32. Co-authorship		
(+/-) 36. Relation with supervisors		
Responsible		
Unit	Indicator(s) / Target(s)	
URCR	Regular training in research Ethics and integrity for i3S researchers at all career stages, being compulsory for all new PhD students (twice a year: one for PhD students and another for all the research community)	

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Proposed ACTIONS

How do you know?

Action 7

Increase number of open ended contracts by defining the rules for permanent appointments for researchers: the strategic plan for the next four years must define a number of new permanent appointments by scientific area that are previously known by all research community It is expected that the number of open-ended contracts will be ca. 15% of the total number of researchers in 2025.

Timing (at least by year's quarter/semester)

GAP Principle(s)

- (++) 22. Recognition of the profession
- (-/+) 25. Stability and permanence of employment
- (+/-) 26. Funding and salaries
- (+/-) 38. Continuing Professional Development

2021-2025

Responsible

Unit

Indicator(s) / Target(s)

Board of
Directors
(i3S)/HR

The target is to have 12 new permanent appointments in the next 5 years. This target is more easily achieved with regular sustainable funds so the Board of Direction is committed in applying for structural funds that aim permanent appointments.

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How do you know?

Proposed ACTIONS

Action 8

Actions to increase or support researchers mobility: Apply to be a Euraxess- Center (ESC/ECDC) Regular information Sessions on MarieCurie and ERC programmes, and writing support of applications (Research Funding Unit)

GAP Principle(s)

(+/-) 29. Value of mobility

Timing (at least by year's quarter/semester)

2022 (Q2)

Responsible

Unit

Indicator(s) / Target(s)

Advanced

Training Unit

CDU

Research

Funding Unit

To enlarge the number of Researchers in mobility programs, incoming and outgoing

Action 9

Workshops to PI and Group leaders regarding OTM-R practices, round tables exploring the meaning and implications of all principals, their importance and how to be assure to use them in all recruitment processes

GAP Principle(s)

Timing (at least by year's quarter/semester)

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Proposed ACTIONS

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GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 12. Recruitment		
(+/-) 13. Recruitment (Code)		
(+/-) 14. Selection (Code)		
(+/-) 15. Transparency (Code)		
(-/+) 17. Variations in the chronological order of CVs (Code)		2022 (Q1/Q3)
(+/-) 18. Recognition of mobility experience (Code)		
(+/-) 27. Gender balance		
(+/-) 29. Value of mobility		
Responsible		
Unit	Indicator(s) / Target(s)	
Advanced Training Unit HR	The target is to have all Group leaders and PI aware of the best practices to recruit the best candidate respecting all OTR-principals	

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Proposed ACTIONS

Action 10

Kindergarten. It's an ambition plan from the Institute and the city hall that we want to keep on the agenda. We already have a Pritzker Prize Awardee architect from Porto that offers the project (Souto Moura), so we are committed to bringing this project to the table again soon. Specially to young researchers and PhD students to have their babies and small children safely close to the lab will allow them to work better and improve the balance of work/family life. Last pool we did at the institute in 2017, 79.5% of the community expressed that it was of high importance to have such a facility at the Institute. It's also our understanding that the kindergarten is also an asset to attract Researchers to the institute.

GAP Principle(s)

(+/-) 24. Working conditions

(+/-) 27. Gender balance

(+/-) 29. Value of mobility

Timing (at least by year's quarter/semester)

2025 (Q1)

Responsible

Unit

Indicator(s) / Target(s)

i3S
University of
Porto City
Hall

First stone and creation of a management structure. The main target is to have Kindergarten services provided to all staff.

Action 11

To have "Well Being and Mental Health at the work" as a priority concern of the institute through: a) the implementation of regular "well being at work" sessions with the collaboration of the Psychology Faculty from University of Porto and internal round tables with themes that are relevant to all community such as ", "Stress management in the workplace", "Emotional intelligence and the impact on teamwork", "Making (good) decisions", "Concentration and memory: foundations of productive work", "Addictive behaviors: reasons unknown to reason?" Getting older with quality of life", "Resilience: contributions from Positive Psychology", "Mental health: warning signs" or "Computerized personality ". b) having an Organizational Psychologist in the Safety and Health Unit on a regular basis We assure the involvement of the Safety & Health Unit, Occupational Medicine and the Responsible Conduct in Research Unit. This action has the full support of the Post-Doc Association (R2 Researchers)

GAP Principle(s)

(+/-) 24. Working conditions

Timing (at least by year's quarter/semester)

2021 (Q1/Q2) and ongoing

Responsible**Unit****Indicator(s) / Target(s)**

URCR
CECRI-i3S
HR Safety
&Health Unit
Occupational
Medicine

Number of attendees at each session and assessment of each attendee. The goal is to have a positive impact on the day-to-day work of employees by improving their well-being in the workplace and to be able to offer this training on an free universal basis. Hiring Organizational Phsycologists.

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Proposed ACTIONS

How do you know?

Action 12

Implementation of an universal appraisal evaluation system regarding all R2 and R3 researchers without permanent appointments. This system is designed on a positive basis that aims to encourage and help the researcher to perform better. It also contributes to equality among the research community; because both Group Leaders and PI (R4) and Phd Students (R1) already have an appraisal system in house.

GAP Principle(s)

- (--) 11. Evaluation/ appraisal systems
- (+/-) 36. Relation with supervisors
- (+/-) 38. Continuing Professional Development
- (+/-) 39. Access to research training and continuous development

Timing (at least by year's quarter/semester)

2022 (Q1)

Responsible

Unit

Indicator(s) / Target(s)

Board of Directors (i3S) HR

Increase the number of researchers evaluate. Assessment of the impact in research with the implementation of the universal appraisal system.

Action 13

GAP Principle(s)

Timing (at least by year's quarter/semester)

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Proposed ACTIONS

How do you know?

Action 13

Establish guidelines for supervisor-researcher relationship. i3S is firmly committed to providing strong support to its junior scientists in advancing their career. It is very important at early career stages to clearly communicate expectations regarding research performance, to support the researchers in reaching their personal goals for further qualification. A successful relationship is critical to the appointee's career development and advancement and requires commitment from the Early career researcher, advisor, and institution. i3S understands that good research advisor-appointee relationships should be reciprocal and characterized by mutual respect and an understanding of each individual's expectations. In this sense, the institution will provide guiding principles intended to support the development of the relationship between all researchers and their advisors. Moreover the institution will offer regular training on Building and Leading Research Teams and on Research Project Management. This training has two different approaches aimed at targeting different audiences: Researchers who are Group Leaders or Leading a small team (R3 and 4) or Young Researchers that aim to lead a research group or team. This training has, among other themes, specific modules on Recruitment.

GAP Principle(s)

- (-/+) 4. Professional attitude
- (-/+) 7. Good practice in research
- (+/-) 12. Recruitment
- (+/-) 13. Recruitment (Code)
- (+/-) 14. Selection (Code)
- (-/+) 37. Supervision and managerial duties
- (+/-) 39. Access to research training and continuous development
- (-/+) 40. Supervision

Timing (at least by year's quarter/semester)

2021 (Q1)/2024

Responsible Unit

Indicator(s) / Target(s)

Advanced Training Unit CDU
 Guidelines published on the institution portal. Number of attendees to training sessions. To achieve the goal of having all Group and PI Leaders trained in leading research teams and project management, these training courses should tend to be free and mandatory.

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Proposed ACTIONS

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Action 14

Introduction to the Charter Code for researchers at the Welcome Session at the institute (all new members must attend).

GAP Principle(s)

(-/+) 4. Professional attitude

(-/+) 7. Good practice in research

(+/-) 24. Working conditions

Timing (at least by year's quarter/semester)

2022 (Q1)

Responsible**Unit****Indicator(s) / Target(s)**

Health & Safety

Unit

Communication

Unit

Number of sessions

Action 15

Implementation of a quality control system for OTM-R. Make regular surveys on selected candidates and panel members with specific questions for the panel members as to the suitability to be part of that specific panel, as well as the difficulties or advantages experimented.

GAP Principle(s)

- (+/-) 12. Recruitment
- (+/-) 13. Recruitment (Code)
- (+/-) 14. Selection (Code)
- (+/-) 15. Transparency (Code)

Timing (at least by year's quarter/semester)

2021-2022

Responsible

Unit **Indicator(s) / Target(s)**

HR Analysis of applicant survey feedback

Action 16

A new tool for Advertising Job Openings. The purpose is to streamline the job posting process in order to gather all offers in one place, thus expediting the advertising process which, in turn, is expected to captivate more potential candidates. Intended result: a weekly job newsletter to be disseminated internally and, especially, in other institutions so as to expand the pool of candidates, both in quality and quantity. The procedure is to gather in a single document all Open Positions from i3S. It is paramount that opening and closing dates for application are highlighted. We will use a form-like spreadsheet, accessible by all HR managers so they can fill it in for every new Open Position. The rundown for each Open

GAP Principle(s)

- (+/-) 12. Recruitment
- (+/-) 13. Recruitment (Code)
- (+/-) 15. Transparency (Code)

Timing (at least by year's quarter/semester)

2021 (Q1)

Responsible

Unit **Indicator(s) / Target(s)**

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How do you know?

Proposed ACTIONS

Action 16

Position in the document should be as follows: Employment type - Scientific area and/or sub-area - Length of employment/project - Relevant dates (application deadline, start date...) - Salary range (when deemed appropriate) - Links to original Open Positions texts in English and in Portuguese (when both versions exist), each version in a separate file; The document may have three headers: New this week, Still open, Last Call (for Open Positions whose deadlines falls on that particular week). The full Open Position texts remain hosted on the institutes' websites. Each week, the Communication Unit will compile and disseminate the new, ongoing, and closing Open Positions. The channels for dissemination include: a) i3S website, under Job Opportunities. Information Systems and Technology Unit (ISTU) is setting up the system so that the information is published on the website as well; b) Social networks; c) Internal mailing lists; d) External/partners' mailing lists. The process described above will allow the automatic mailing of the newsletter. Current mailing lists, however, ought to be revised to optimize the search efforts for the ideal candidates.

Responsible Unit

HR
Communication
Unit ISTU -
Information
System Unit
(informatics)

Indicator(s) / Target(s)

Creation of the Advertising tool. Characterization of applicants

An official EU website
Proposed ACTIONS

How do you know?

Action 17

Re-write and re-negotiate the teaching Protocols that exist between i3S and several Faculties from the University of Porto, namely Medicine, Sciences and Engineering in order to have equal conditions for all Researchers that apply or are invited by the University to teach.

GAP Principle(s)

(+/-) 33. Teaching

Timing (at least by year's quarter/semester)

2021 (Q4)

Responsible**Unit****Indicator(s) / Target(s)**

HR Board of
 Directors
 (i3S)

To have all Researchers teaching through a common Protocol

An official EU website
Proposed ACTIONS

How do you know?

Action 18

Create an Alumni network and mentoring program. i3S is committed to fostering and maintaining a robust alumni network. The Institute will provide tools to enhance the alumni experience by connecting the entire i3S community—both alumni (R1-R4) and members alike. Alumni by itself is one of the best professional networking platforms available and they can play an active role in voluntary programmes like mentoring the i3S community in their areas of expertise. Alumni are the best ambassadors of the institution to the outside world. Their success and achievements represent concrete outcomes of the institution's efforts.

GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 28. Career development		
(+/-) 29. Value of mobility		2022 (Q2)
(+/-) 30. Access to career advice		
Responsible Unit	Indicator(s) / Target(s)	
CDU HR Communication Unit	Creation of an alumni database Network expansion (number of alumni members). Publication of alumni story on website Launch mentoring program; number of mentors and mentees participating.	

An official EU website
Proposed ACTIONS

How do you know?

Action 19

Skills training program. Include regular workshops and courses on career and professional development/soft skills in the institution training calendar, namely: Career/professional development, and Responsible research welcome sessions for PhD and postdoctoral newcomers; planning next career move, science communication, grant writing.

GAP Principle(s)

(+/-) 28. Career development

(+/-) 30. Access to career advice

(+/-) 38. Continuing Professional Development

**Timing (at least by
year's
quarter/semester)**

2021 (Q1)/2025

Responsible**Unit****Indicator(s) / Target(s)**

CDU

Advanced

Training Unit

Number of participants and survey on self-evaluation of the participants on the date of attending the courses and 3 months after attending the courses

Action 20**GAP Principle(s)**

(-/+) 7. Good practice in research

(-/+) 9. Public engagement

**Timing (at least by
year's
quarter/semester)**

2021-2025

Responsible**Unit****Indicator(s) / Target(s)**

An official EU website

How do you know?

Proposed ACTIONS

Action 20

To implement a health communication collaborative platform to address complex interactions among recipients of care, caregivers and other relevant stakeholders, aiming to identify shared problems and to develop and implement innovative well-being interventions. As part of our strategy to meet public policies related with patient engagement in research we will reinforce our interaction/collaboration with patient associations through collaborative projects, conferences, but also by providing Patient Associations Training Programs, and incorporating patient associations into i3S bodies, as it is already the case with our Committee for Ethical and Responsible Conduct of Research (CECRI-i3S) that integrates two patient association representatives. In the future, a dedicated Knowledge Brokering team will be essential to reach and maintain the necessary level of collaboration, interaction and participation.

Responsible Unit

Communication Unit URCR

Indicator(s) / Target(s)

A platform; Nr. of participants in dissemination activities; Number of conferences, lectures and debates on topics of relevance organized Number of participants in conferences, lectures and debates; Nr. of launched Patient Associations Training Programs; People attending Patient Associations Training Programs.

An official EU website
Proposed ACTIONS

How do you know?

Action 21

Guidelines to define flexible working hours conditions, increasing the balance between work and personal life

GAP Principle(s)

(+/-) 24. Working conditions

(+/-) 27. Gender balance

Timing (at least by year's quarter/semester)

2022 (Q2)

Responsible

Unit **Indicator(s) / Target(s)**

HR Guidelines on work/life balance at i3S portal

Action 22

Creation of a dedicated structure to internally support the incoming researchers and their families to deal with formal and informal reallocation requirements / social integration (legal affairs, schools, accomodation, ...)

GAP Principle(s)

(+/-) 29. Value of mobility

Timing (at least by year's quarter/semester)

2022 (Q1)

Responsible

Unit **Indicator(s) / Target(s)**

HR Staff allocated to this assignment

An official EU website
Proposed ACTIONS

How do you know?

Action 23

Building an area for FAQs at the Open Position area in order to clarify doubts regarding the submission of applications GAP Principle(s)

GAP Principle(s)

(+/-) 12. Recruitment

Timing (at least by year's quarter/semester)

2021 (Q4)

(+/-) 13. Recruitment (Code)

Responsible**Unit****Indicator(s) / Target(s)**

HR ISTU -

Information System Unit (informatics).

Number of decrease of contacts intended to clarify doubts regarding the applications posted on Open Positions

Unselected principles:

(++) 1. Research freedom (++) 5. Contractual and legal obligations (++) 6. Accountability (++) 8. Dissemination, exploitation of results

(++) 10. Non discrimination (++) 16. Judging merit (Code) (++) 19. Recognition of qualifications (Code) (++) 20. Seniority (Code)

(++) 21. Postdoctoral appointments (Code) (++) 23. Research environment (++) 31. Intellectual Property Rights (++) 34. Complains/ appeals

(++) 35. Participation in decision-making bodies

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan. (max. 1000 words) *

The recruitment and selection process at IBMC/INEB/IPATIMUP is one of our Strengths.

All our vacancies are posted on the institute website, EraCareers and sometimes on Euraxess (mandatory in Portugal from June 2021. EraCareers is being deactivated)

Advertisements have a lot of information not only about the vacancy but also about legislation and non-discrimination issues.

The institute has clear and transparent rules for the recruitment, for researchers at all levels (R1 _R4).

As said, the most important recruitment tool we use is a public advertisement, with specific metric of evaluation, that we publish at our website, Eracareers (the researcher's mobility portal in Portugal) and LinkedIn, and also other online tools, like Facebook and mailing lists. Sometimes, if the funding program demands it, we also publish the advertisements at a national or international journal. There is total transparency in the selection of candidates, the merits they are judged on and the recognition of their qualifications. The current regulations guarantee that there is no discrimination and include complaint mechanisms: after the selection process (that is public and of public knowledge) we publish the results and interested have ten working days to question the results. The tool is very easy and no administrative complex processes: an email is enough.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

<https://www.ipatimup.pt/Site/ActivityCategory.aspx> <https://www.i3s.up.pt/job-opportunities.php>

4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

For Ipatimup, the implementation of the action plan will be a challenge that will involve many departments, researchers and employees of the institution.

With a strong involvement of the Human Resources department, we must also involve the Health & Safety Department, Occupational Health, Responsible Conduct in Research (RCRU), Communication, Career Development (CDU), Information System Unit (informatics - ISTU) and Advanced Training Units.

To implement the action plan successfully involving all the research community we will also make use of the monthly newsletter to communicate the most relevant actions, with special news about this theme. The newsletter is bilingual, PT and ENG. With this communication channel, we will challenge all the researchers to ask regular questions about the process through the creation of a specific email available to all the community. Although the institution is committed to the Code of Conduct and the OTM-R principles to actively participate and plan the implementation of the specific actions outlined above, this will allow the reflection and involvement of the whole community and will certainly bring concrete and visible benefits of the application of the principles of the code.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Note:Click on each question of the checklist to open the editor.

How will the implementation committee and/or steering group regularly oversee progress?*




Detailed description and duly justification (max. 500 words)

Once the HRS4R strategy is presented to Euraxess and the Action Plan is approved, the Working Group (WG) for the implementation of the HRS4R will be responsible for initiating the actions.

This committee is composed of staff from the three institutes, namely the human resources managers and its teams, the Career Development Unit, Unit for Responsible Conduct in Research and Advanced Training Unit and Healthy & Safe Unit.

The Working Group (WG) will have regular support of the Communication Unit and from the Information System and Technology Unit (ISTU). We can also count on the support of the other units or departments, such as the Research Innovation Unit (TT, IP, Research Funding) or Finance and Management. Meanwhile, the Steering Committee (that includes researchers at every level R1, R2, R3 and R4) that will oversee the progress of the project will be the same as the one that supervised the strategic process for the HRS4R. This happens with regular meetings (quarterly) and reports from the Working Group.

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How do you intend to involve the research community, your main stakeholders, in the implementation process?*

How do you know? 

Detailed description and duly justification (max. 500 words)

The fact that we include researchers from all levels in the stakeholder groups guarantees the participation of the research community in any action that implies the development and approval of new guidelines, protocols and regulations. This is assured because all Researchers (from R1 to R4) have representation in decision-making bodies and are part of, for example the Post-Doc or PhD student Associations. Furthermore, the entire community and public will be updated on the progress of any actions through regular postings on the HRS4R at the institute website, as well as through public seminars and workshops and of course, as said, through the i3S Newsletter .

How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy. *



Detailed description and duly justification (max. 500 words)

Progress in implementing actions will be continuously monitored. The Working Group will be responsible for reporting on the progress of each action to the Steering Committee and the Board of Directors, the highest decision-making body at the Institute. If the Board of Directors considers that it is not possible to implement a particular action, an adequate justification will need to be provided. If it is the case, the Working Group is committed to propose compensatory measures to that specific action. Regardless of the implementation of the HRS4R, a new approach in the human resources strategy is already being introduced in the i3S community, as a result of the needs felt by different community members, here represented in the Steering Committee and in the Stakeholder group. Therefore we are sure of the commitment of the Board of Directors to support these new HR policies.

<input type="checkbox"/> An official EU website How will you ensure that the proposed actions are implemented?*	How do you know? ▼
<p>Detailed description and duly justification (max. 500 words)</p> <p>The majority of the actions of this plan are intended to make the principles of the HRS4R more visible and explicit in all aspects relevant to hiring, career management and research ethics.</p> <p>Meanwhile, the fact that Ipatimup is actively seeking recognition through the HRS4R seal of excellence demonstrates a clear commitment to including the principles and guidelines of OTM-R as part of the strategic implementation of the institute's human resources policy.</p> <p>Once more we reinforce that all the actions must be approved by the Board of Directors.</p>	

How will you monitor progress (timeline)?*	▼
<p>Detailed description and duly justification (max. 500 words)</p> <p>Internal evaluations will be conducted by the Steering Committee.</p> <p>The HRS4R Working Group will be responsible for reporting the progress of the Action Plan, including any corrective action considered necessary to achieve the plan's objectives in the event of delays, impediments or circumstances that arise requiring specific action.</p> <p>Information on the HRS4R process will be given at the i3S Annual meeting. The HRs4R Working Group and the Steering Committee will report bi-annually to the Board of Directors and the stakeholder group</p>	

<input type="checkbox"/>	An official EU website How will you measure progress (indicators) in view of the next assessment?*	How do you know? ▼
Detailed description and duly justification (max. 500 words)		
<p>Mostly with statistics figures or/and feedback of the implementation of the action plan from the research community in general. For that, surveys may be applied and also individual or small groups meetings.</p> <p>All actions are subject to clear deadlines which will be closely monitored by the WG and the Steering Committee.</p>		

Additional remarks/comments about the proposed implementation process: (max. 1000 words)

Our goal is to create an environment favourable for innovative research, translation of discoveries into the clinic and to become a major international player in health sciences and technologies.

Our mission positions the i3S at the forefront of research in the health sciences to support the implementation of key public policies, including the development, mobility and employability of human capital by promoting a stimulating training environment for our graduate students and researchers allowing them to be competitive in academia, the health sector and industry.

Our strategy to contribute to public policies responding to scientific, health, social and economic challenges relates intimately with our commitment and capacity to develop sustainable careers for highly differentiated doctorate researchers and technicians. That said, we are truly committed with the HRS4R, a recognition that we believe is an important key for achieving our goals and attracting excellent researchers.

The working group will be responsible for providing the researchers with access to the information they need to evaluate the progress of the Action Plan, including monitoring reports, updated indicator values, and interviews with researchers and technicians. Recently the institute was awarded with several international projects that include specific Work Packages designed to implement the HRS4R, meaning that the Senior Researchers and the Board of Directors are indeed committed to this project.