

Institut Barcelona d'Estudis Internacionals (IBEI) ACTION PLAN

Case number: 2018ES342730

Name of Organisation under review: Institut Barcelona d'Estudis Internacionals (IBEI)

Organisation's contact details: Ramon Trias Fargas 25-27, 08005 Barcelona. Tel: +34 93 542 30 30. Email Address: ibei@ibei.org

SUBMISSION DATE: NOVEMBER 8TH, 2018

1. ORGANISATION INFORMATION

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

STAFF & STUDENTS	FTE
Total researchers (R1, R2, R3, R4)	32
Of whom are international (i.e. foreign nationality)	21
Of whom are externally funded (i.e. for whom the organisation is host organisation)	17
Of whom are women	16
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	18
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	8
Of whom are stage R1 = in most organisations corresponding with doctoral level	6
Total number of students (if relevant)	159
Total number of staff (including management, administrative, teaching and research staff)	47
RESEARCH FUNDING (figures for 2018-2019)	€
Total annual budget	1.229.383
Annual direct public funding (designated for research)	127.500
Annual competitive funding from public sources (designated for research, obtained in competition with other organisations – including EU funding)	827.085
Annual funding from private, non-government sources, designated for research	274.798
ORGANISATION PROFILE	
<p>IBEI is an inter-university institute created in 2004 as a joint effort of all five public universities in the Barcelona metropolitan area and CIDOB (Barcelona Centre for International Affairs) to promote postgraduate training and research in Politics and International Relations in order to advance the understanding of global challenges to governance in our world. Now into its second decade, IBEI has been consolidated and achieved a high level of recognition as an academic and research centre both at European and international level.</p>	

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

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

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>IBEI has clearly promoted a work environment where researchers enjoy freedom of thought and expression. There are no reported cases of discrimination based on ideology, religious or other beliefs, ethnicity, race, nationality, gender, sexual orientation, civil status, sickness or disability, union membership, family relationships with other members of the institute or the use of any of the co-official languages in Spain.</p> <p>IBEI has clearly articulated strategic research goals, including the recent development of research clusters and the increasing attraction of national and European funding. As IBEI research is funded by public and private funds, accountability is taken into account by all researchers and administrative staff members. IBEI manages public and private research funding in a sound, transparent and efficient way.</p> <p>As far as weaknesses of the current practices are concerned, it must be stated that IBEI is already working on the provision of adequate information and training to researchers regarding the applicability of codes of ethics relevant to research or data protection regulation. A first step has already been taken by with the convening of an IBEI working group on ethics to deal with the ethical evaluation of risk in students' dissertations. Some training sessions on data protection regulation will also be organised. Additionally, an agreement has been established with UPF, one of the founding universities, allowing IBEI research projects to be processed by the Ethics Committee of this university.</p> <p>Regarding public engagement, an initial debate about how IBEI research activities are disseminated to society at large has already taken place in order to make IBEI more visible as a leading centre for IR research and teaching in Barcelona. Definitely, new initiatives for collaboration and public engagement will be part of a broader and more comprehensive institutional plan of communication.</p> <p>Finally, the evaluation system for assessing both administrative and academic staff's professional performance also remains an issue to be improved, but the tenure-track system established since 2008 has been working very well. Since its creation, IBEI already established a clear mechanism for the selection and</p>

	<p>assessment of assistant professors, and introduced a tenure track system that included an external evaluation procedure, for assistants to be considered for tenure. In parallel, a more informal annual evaluation of activities report and working plan where established for all postdocs working full-time at the Institute. Researchers prepared a self-assessment, and this was revised by an in-house senior committee, that provided comments and suggestion for career development.</p> <p>There remain, however, some areas that can be improved. On the one hand, it is necessary to work on the clarification of the assessment criteria for the other career profiles of researchers, as for example promotion to full professor. On the other hand, the evaluation system for administrative staff members is still in a preliminary phase but it foresees a link between evaluation and incentives system.</p>
<p>Recruitment and selection</p>	<p>Recruitment procedures at IBEI generally fulfil the requirements of openness, efficiency, transparency and they are up to international standards. Job advertisements give a broad description of knowledge and competencies required. Selection committees consist of senior academic staff with diverse expertise carefully ensuring an adequate gender balance.</p> <p>Only minor and easy-to-solve problems need to be addressed in the recruitment and selection process, such as the inclusion of more information in the job advertisement or a more detailed feedback to each candidate.</p>
<p>Working conditions</p>	<p>There is a wide agreement among researchers and administrative staff members that IBEI recognizes them as professionals and are treated according to this fact. IBEI also promotes a stimulating research environment by offering appropriate equipment, facilities and opportunities and takes the necessary steps to ensure labour safety. Other strengths that IBEI ensures are the flexibility in the working conditions for researchers and the value of mobility.</p> <p>However, according to the survey results, IBEI has to work on the implementation of a career development strategy for the whole IBEI community, even though it has already established a clear mechanism of promotion for assistant professors (tenure track) and a mechanism of incentives for the permanent faculty. There is a need to define a specific career development strategy for administrative staff members.</p> <p>Regarding gender balance, all faculty and administrative staff have already committed themselves to elaborate and implement a Gender Equality Action Plan. A preliminary discussion took place during the 2018 annual retreat where some topics were discussed (imbalanced gender composition, sexual harassment among</p>

	<p>students, gender discrimination in class, LGTB rights, equal payment, etc.). All these and other questions will be included in a Plan for gender balance and equal opportunity policy which will be developed by a representative committee of the whole IBEI community.</p> <p>Finally, IBEI also needs to establish better procedures to deal with complaints and appeals with confidential and informal assistance in resolving work-related conflicts, disputes and grievances.</p>
Training and development	<p>IBEI researchers are keenly aware of the necessity to regularly update and expand skills and competencies through formal training, workshops, conferences, e-learning, etc. IBEI already offers access to research training and continuous development.</p> <p>As IBEI is at an initial stage of supervising pre-doctoral students, although this activity is linked to PhD programs in partner universities. Guidelines on how to establish a structured relationship between supervisors and early-stage researchers are derived from these programmes, but IBEI might develop some complementary support. The Academic Research Coordinator has to become the clearly identified person to whom early-stage researchers can refer for the performance of their professional duties.</p>

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 organisation's HR Strategy dedicated webpage(s):

*URL: https://www.ibe.org/en/human-resources-strategy-hrs4r_121781

Please list a summary of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Disseminate the Code of Ethics in Research and the procedure for dealing with ethical evaluation for risk, data handling for research undertaken by IBEI researchers and students	2. Ethical Principles	2019 2 nd Semester	Working Group on Ethics and Academic Research Coordinator	All researchers and students have access to the Code of Ethics.

2. Provide better linkages to the UPF ethics committee	2. Ethical Principles	2019 2 nd Semester	Director, Academic Research Coordinator, and Working Group on Ethics	Regular contacts or meetings between the UPF ethics committee and the IBEI Working group on ethics
3. Design and disseminate a description of the distribution of roles in the field of Human Resource Management	5. Contractual and Legal Obligations 24. Working Conditions	2019 2 nd Semester	General Manager	Document on Human Resources Management available
4. On-going Training concerning Data Protection regulation	7. Good Practice in Research	2020 1 st Semester	Communication Unit and General Manager	Number of participants in the training session concerning Data protection regulation
5. Develop and disseminate a best-practices document on data protection	7. Good Practice in Research	2020 1 st Semester	Academic Research Coordinator and Working Group on Ethics	Best-practices document on data protection available
6. Offer academic staff media training or courses on the dissemination of information to public audiences	9. Public Engagement	2020 2 nd Semester	Communication Unit	Number of participants in the training sessions on public engagement
7. Clarify whether high media visibility is regarded as career-enhancing	9. Public Engagement	2020 2 nd Semester	Director, Senior Academic Staff Committee	Inclusion of media visibility available in the assessment criteria
8. Prepare a document on the evaluation system for assessing non-tenure track researchers on a regular basis	11. Evaluation Appraisal systems	2020 1 st Semester	Senior Academic Staff Committee	Evaluation system available
9. Introduce an evaluation system for assessing administrative staff members and to link the evaluation to an incentive system	11. Evaluation Appraisal systems 25. Stability and Permanence of Employment	2019 1 st Semester	Director and General Manager	Evaluation system available
10. Improve information in all job advertisement	12. Recruitment	2019 2 nd Semester	Direction Committee	Job descriptions available for each new position
11. Create templates with indicators on several areas assessed by the selection committee	16. Judging Merit	2020 1 st Semester	Director, General Manager and Research Coordinator	Templates with indicators for the candidates' assessment available
12. Ask the private firm in charge of the management of occupational health to provide all personnel with regular tests	24. Working Conditions	2019 1 st Semester	General Manager	Regular tests on occupational health for all personnel
13. Review the rules and conditions for sabbatical leaves	24. Working Conditions	2021 1 st Semester	Director and Senior Academic Staff Committee	Update the sabbatical leaves regulation
14. Implement the Incentives Plan for	25. Stability and Permanence of	2019 1 st Semester	Director and General	Incentives Plan available

publications in journals and/or in prestigious Academic Presses	Employment		Manager	
15. Consolidate incentives programme for permanent academic staff	25. Stability and Permanence of Employment	2019 1 st Semester	Director and General Manager	Incentives Plan available
16. Develop, disseminate and implement a Gender Equality Action Plan	27. Gender Balance	2020 1 st Semester	Representative Committee of the whole IBEI Community	Gender Equality Action Plan approved and published
17. Integrate, update and distribute a document on career development strategies for researchers at all stages of their career	28. Career Development 30. Access to Career Advice	2020 2 nd Semester	Director and General Manager	Career Development Strategy for researchers available
18. Define a specific career development strategy for administrative staff members	28. Career Development 30. Access to Career Advice	2020 2 nd semester	General Manager and Director	Career Development Strategy for administrative staff members available
19. Design and disseminate a document on intellectual property rights.	31. Intellectual Property Rights	2021 2 nd Semester	Communication Office and General Manager	Document on intellectual property rights available
20. Re-evaluate co-authorship and how it affects the academic ranks	32. Co-authorship	2021 1 st Semester	Senior Academic Staff Committee	Inclusion of a clarification of co-authorship available in the assessment criteria
21. Review the assessment guidelines for assistant professors	33. Teaching	2021 1 st Semester	Director and Scientific Council	Assessment guidelines for assistant professors available
22. Systematize diffusion of information on training and resources for teaching	33. Teaching	2019 2 nd Semester	Academic Office and UPF Center for Learning Innovation and Knowledge (CLIK)	Information on training and resources for teaching available
23. Design and disseminate a document on the procedures to deal with complaints and appeals for academic and administrative staff	34. Complaints / appeals	2021 2 nd Semester	General Manager and Director	Document on the procedures to deal with complaints / appeals available
24. Develop guidelines on the tasks and methods for supervision and mentoring	36. Relation with supervisors 37. Supervision and Managerial Duties	2022 1 st Semester	Director, Academic Research Coordinator and Scientific Council	Guidelines for supervision and mentoring available

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please 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. Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R, based on the weaknesses identified in the OTM-R:

Proposed ACTIONS	OTM-R Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
25. Publish IBEI OTM-R policy in our website	Retrieved from the OTM-R checklist (1)	2022 1 st Semester	Research Coordination Unit and General Manager	Web link
26. Adapt the internal selection guide to the OTM-R guide and establish procedures for the recruitment of the four career profiles of researchers (R1-R4)	Retrieved from the OTM-R checklist (2)	2022 1 st Semester	Research Coordination Unit and General Manager	IBEI OTM-R Guide available
27. Train the selection committee and staff members involved in the OTM-R policy	Retrieved from the OTM-R checklist (3)	2022 1 st Semester	Research Coordination Unit	A training workshop for the selection committee and staff members involved in the recruitment process
28. Develop a quality control system for OTM-R policy	Retrieved from the OTM-R checklist (5)	2022 1 st Semester	Research Coordination Unit and HRS4R Steering Committee	Establishment to the OTM-R Committee to control the quality of the recruitment process
29. Define clear guidelines for the selection committee in order to better judge merit	Retrieved from the OTM-R checklist (19)	2021 1 st Semester	Director, Research Coordination Unit and IBEI selection committee	Guidelines for the selection committee available
30. Develop a complaint mechanism related to the OTM-R policy	Retrieved from the OTM-R checklist (22)	2022 2 nd Semester	Research Coordination Unit and General Manager	Guidelines for the complaint mechanism available
31. Design an assessment system of the implementation of the OTM-R policy	Retrieved from the OTM-R checklist (23)	2022 2 nd Semester	HRS4R Steering Committee and General Manager	Follow-up of the OTM-R Committee

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:

4. IMPLEMENTATION

General overview of the expected implementation process:

IBEI HRS4R Action Plan is closely aligned with the Institute's Strategic Plan 2015-2020. Its definition and the subsequent implementation process involve the researchers at all stages

of their career as well as the whole administrative staff of IBEI irrespective of the person's position or contractual situation. Since the motivation of administrative and research support staff is also greatly influenced by their environment, the HRS4R Working Group decided to include their demands in the Gap Analysis and the Action Plan in order to ensure a positive work environment and good working conditions for everyone which will also yield better results for researchers and the institute as a whole. In this sense, the IBEI Human Resources Strategy will apply the 40 principles of Charter and Code to the whole IBEI community, researchers and administrative staff.

The contractual structure of IBEI academic staff is diverse due to the fact it is composed of a number of assistant and associate professors under contract with IBEI and externally-funded researchers (from regional, national and European funding programmes). From the beginning, this team has been created by advertising annually for tenure-track assistant professor positions, and through fellowships for visiting scholars of noted academic standing. Externally funded researchers are not tenure-track, except if they compete for an IBEI position in an open call. Moreover, several professors from universities in the Barcelona area complete the teaching and research staff. Recently, IBEI has started to accept PhD students through competitive doctoral scholarship schemes and under the supervision of an IBEI senior researcher.

The implementation process of the IBEI HRS4R Action Plan will start in the first semester of 2019 when the document will be published on the IBEI website, submitted and accepted by EURAXESS. In fact, there are some proposed actions which are already being implemented due to the fact that they are already part of the Strategic Plan 2015-2020. Other complementary sectorial plans will be elaborated and implemented together with diverse stakeholders on a case-to-case basis.

IBEI will undertake an interim review at the beginning of 2021 followed by a proposal of new actions for the following period. In this preliminary assessment, the steering committee will measure progress in each action proposed in the Action Plan through indicators and will propose adjustments when needed. This process will also be assessed by external experts.

By the end of 2023, IBEI will have implemented and subsequently monitored the revised action plan, having incorporated feed-back from the interim assessment. After these 5 years, another internal review will be conducted by IBEI and a site visit will be undertaken.

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

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group oversee progress?	IBEI will create a steering committee which will report on the implementation of the HRS4R Action Plan to the Director twice a year. It will also be responsible for the follow-up of the progress of the Action Plan and

	will propose adjustments when needed.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	<p>The IBEI HRS4R steering committee will be composed of a number of members of the previous HRS4R Working Group, being representative of the whole IBEI research and management community. When appropriate, the steering committee will be able to convene a specific subgroup with other members of the IBEI community to deal with any of the proposed actions to be implemented.</p> <p>Transparency will become key. All the strategic documents generated during the implementation process will be presented to the whole community in different committees depending on the topic (annual IBEI retreat, faculty meetings, management meetings, scientific council, permanent commission and teaching quality committee incorporating student representatives). Besides, they will be available in the organization's internal intranet and/or public website, as appropriate.</p>
How do you proceed with the alignment of organisation's policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	IBEI HRS4R Action Plan is already aligned with the Institute's Strategic Plan 2015-2020. The actions proposed and still not implemented will be included in the next Strategic Plan for 2021-2026.
How will you ensure that the proposed actions are implemented?	The steering committee will be responsible for the follow-up of the implementation of the Action Plan. The General Manager who is also in charge of Human Resource Management will take part in the HRS4R steering committee, making sure that the proposed actions are implemented.
How will you monitor progress (timeline)?	The steering committee will monitor progress following the timeline proposed in the HRS4R Action Plan. See the concrete timeline in the Additional remarks section.
How will you measure progress (indicators) in view of the next assessment?	There will be an interim review at the beginning of 2021 followed by a proposal of new actions for the following period. In this preliminary assessment, the steering committee will measure progress in each action proposed in the Action Plan through indicators and will propose adjustments when needed.

Additional remarks/comments about the proposed implementation process:

Even though it is foreseen that the whole implementation phase lasts 5 years (24 months for the implementation of the action plan and 36 months more for the implementation of the revised plan), IBEI HRS4R Working Group decided to condense all the proposed actions in a calendar of 4 years (2019-2022). In this sense, the fifth year of the implementation phase will be devoted to revise their implementation and to conclude any of them, if necessary.

IBEI ACTION PLAN Calendar								
Proposed ACTIONS	2019		2020		2021		2022	
	1st Semester	2nd Semester	1st Semester	2nd Semester	1st Semester	2nd Semester	1st Semester	2nd Semester
9. Introduce an evaluation system for assessing administrative staff members and to link the evaluation to an incentive system								
12. Ask the private firm in charge of the management of occupational health to provide all personnel with regular tests								
14. Implement the Incentives Plan for publications in journals and/or in prestigious Academic Presses								
15. Consolidate incentives programme for permanent academic staff								
1. Disseminate the Code of Ethics in Research and the procedure for dealing with ethical evaluation for risk, data handling for research undertaken by IBEI researchers and students								
2. Provide better linkages to the UPF ethics committee								
3. Design and disseminate a description of the distribution of roles in the field of Human Resource Management								
10. Improve information in all job advertisement								
22. Systematize diffusion of information on training and resources for teaching								
8. Prepare a document on the evaluation system for assessing non-tenure track researchers on a regular basis								
4. On-going Training concerning Data Protection regulation								
5. Develop and disseminate a best-practices document on data protection								
16. Develop, disseminate and implement a Gender Equality Action Plan								
11. Create templates with indicators on several areas assessed by the selection committee								
6. Offer academic staff media training or courses on the dissemination of information to public audiences								
7. Clarify whether high media visibility is regarded as career-enhancing								
17. Integrate, update and distribute a document on career development strategies for researchers at all stages of their career								
18. Define a specific career development strategy for administrative staff members								
20. Re-evaluate co-authorship and how it affects the academic ranks								
21. Review the assessment guidelines for assistant professors								
13. Review the rules and conditions for sabbatical leaves								
29. Define clear guidelines for the selection committee in order to better judge merit								
23. Design and disseminate a document on the procedures to deal with complaints and appeals for academic and administrative staff								
19. Design and disseminate a document on intellectual property rights.								
24. Develop guidelines on the tasks and methods for supervision and mentoring								
25. Publish IBEI OTM-R policy in our website								
26. Adapt the internal selection guide to the OTM-R guide and establish procedures for the recruitment of the four career profiles of researchers (R1-R4)								
27. Train the selection committee and staff members involved in the OTM-R policy								
28. Develop a quality control system for OTM-R policy								
30. Develop a complaint mechanism related to the OTM-R policy								
31. Design an assessment system of the implementation of the OTM-R policy								