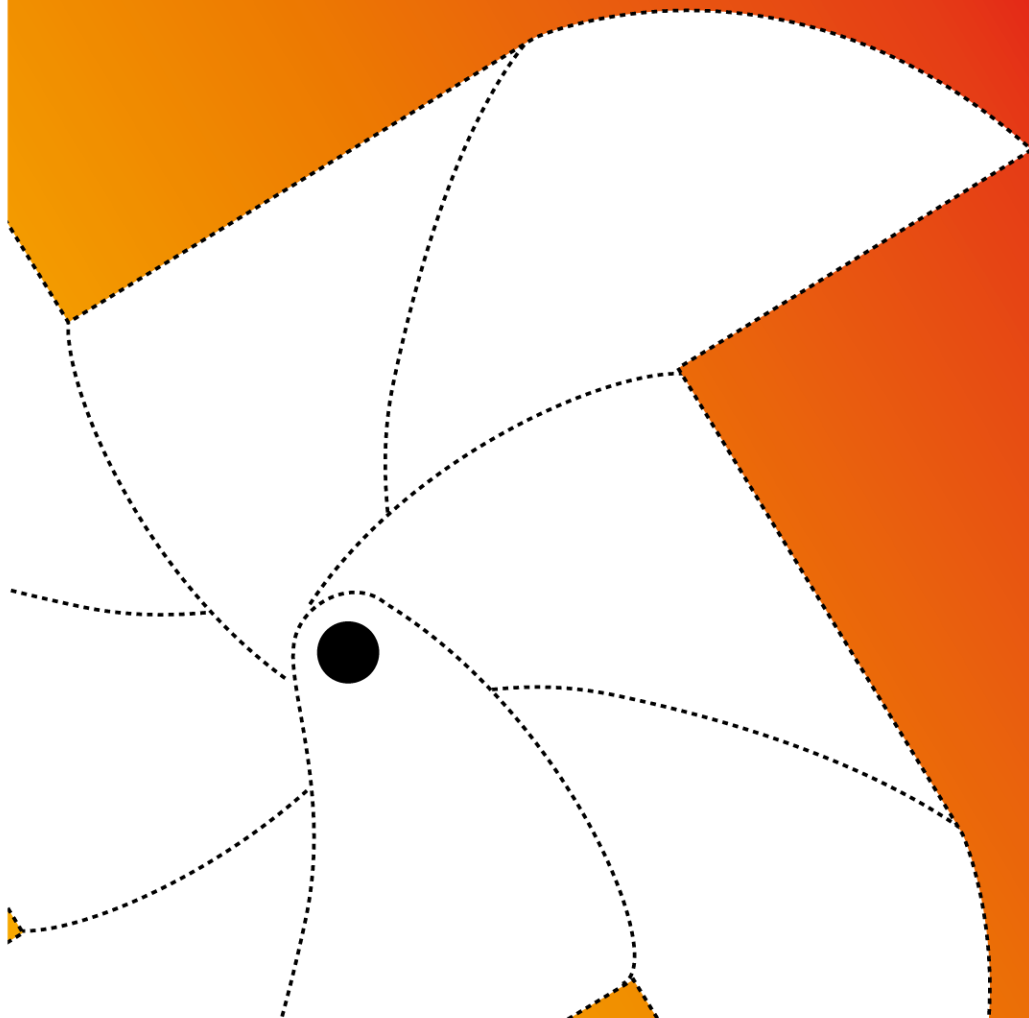


**HRS4R - The Human Resources  
Strategy for Researchers  
incorporating the Charter and  
Code**

**ARAID ACTION PLAN  
INTERNAL REVISION**



**araid**

### TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: ARAID

FUNDACION AGENCIA ARAGONESA PARA LA INVESTIGACION Y EL DESARROLLO

Organisation's contact details:

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

<http://araid.es/en/content/best-practices-research>

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

<http://araid.es/en/content/best-practices-research>

Submission date to the European Commission: 13th april 2018

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## 1. ORGANIZATIONAL INFORMATION

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	33
<i>Of whom are international (i.e. foreign nationality)</i>	7
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	0
<i>Of whom are women</i>	9
<i>Of whom are stage R3 or R4<sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	25
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	8
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	0
<i>Total number of students (if relevant)</i>	0
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	36
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
<i>Total annual organisational budget</i>	2,500,000€
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	1,455,066€
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	178,131€
<i>Annual funding from private, non-government sources, designated for research</i>	35,184€
<b>ORGANISATIONAL PROFILE</b>	
<p>ARAID is a non-profit organization created in 2005 by the Government of Aragon with the aim of promoting research, development and innovation in Aragon. The ARAID annual Calls for recruitment are open to Experienced Researchers of any field of research in the areas considered as strategic by the Regional Government, to develop their research activity in any Research Centre in the region of Aragon. To establish a legal framework, ARAID, has collaborative agreements with each Host Institution. The activity of the Foundation follows the governmental purpose to make Aragon an attractive Region for Research, offering researchers a stable system for their professional development.</p>	

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

## **2. ARAID IN FIGURES**

ARAID is an umbrella organization that has no Research Infrastructure, only an administrative office. The total team of ARAID for its daily tasks is of 2,5 people (finance & administrative + secretary) plus the Foundation Director (acting Legal Entity Appointed Representative, LEAR), appointed by the regional government. The regional government is the main founder and controls the Foundation via its Governing Board, with the Regional Minister of R&D and the General Director of R&D acting as ARAID Legal Representatives. All decisions by the Foundation are evaluated and approved at the Quarterly Governing Board meetings.

Since 2006, ARAID has hired researchers of 14 different nationalities reaching 41 Researchers under permanent contracts at present.

## **3. HRS4R IN ARAID**

ARAID endorsed the Charter and Code on 17<sup>th</sup> February 2009, in the process to implement an awarded FP7 COFUND Fellowship Programme. In 2012, ARAID was accepted to participate in the 4th Cohort of the HRS4R Group. The Internal GAP analysis and Plan redaction occupied great part of 2013. To perform this process a working group was created with the following members: Director of ARAID, 2 Administrative Personnel (European Projects and Secretary) and 4 Researchers (+10%) of all R levels present in the Research staff.

Due to the regional distribution of the ARAID researchers, the working group outcome and survey results were discussed at the ARAID plenary meeting on January 2014. The final version was approved by the working group and then by the Foundation Board on June 2014 and sent to the RTD department. The plan was finally approved after 2 EU revisions on March 2015. The progress of the HR Strategy has been followed and updated in the periodic Administrative and Board meetings.

### *ARAID as HRS4R antenna in the Region*

On October 2013, ARAID hosted a Meeting with the other 10 awarded and “in process” HRS4R Institutions in Spain to share best practices and EU& national legal frame. The meeting helped several Institutions join forces to complete a common GAP analysis for the national legal frame and bring forward their plans internally until submission.

One of the outcomes of this meeting was a proposal to the regional Government (R&D regional office) to set the HR Strategy as a Regional Objective, as a way to increase the number of Institutions endorsing the charter and code. Following this, on May 2016 a Regional Workshop organized by ARAID was sponsored by the National Foundation of Science and Technology and the Regional Government. Representatives of the main Public and Private institutions in the region, as well as of other regions gathered in Zaragoza. As a result of this Workshop, applications by three new entities were filled in 2016, all resulting successful and awarded with the HR logo. This is particularly

important as these 3 Institutions host the majority of ARAID researchers. There are now five HR Logos in Aragon.

#### **4. INTERNAL REVISION**

ARAID requested permission from the commission to apply the 3-year cycle of the new schedule of the enhanced and strengthened Human Resources Strategy for Researchers, hence the internal revision in 2018.

To perform the internal review, a new working group was established, with representatives of both R3 and R4 Researchers, the support of the Director as well as the administrative team. The procedure followed the initial Plan: A survey containing all 40 principles was set online and 32 responses (16R3 and 16R4, 97% researchers) were collected. The survey has helped to understand the perception by ARAID's employees of its HR policy, and to prioritize new actions.

One of the main findings of the working group is the need to simplify the action plan, and focus on the issues prioritized by the researchers, with specific and measurable actions. Also, that periodic specific HRS4R meetings should be set with their own minutes and actions, instead of being a discussion point in Management meetings. For this a specific group on HRS4R integrated by ARAID researchers was established on 2017, and is planned to continue in time, by renewal of their members.

Hereby the revision of the Action Plan 2015

## 5. ACTIONS - ARAID ACTION PLAN 2015

ACTION	AIM	WHO	DELIVERABLE	DATE	STATUS
Best Practices Code	Information and support to all researchers	Administration Department and Board Approval	Best Practices Manual	May 2015 + Annual review	Completed
Reference Document of ARAID Internal Rules (IR)	Information and support to all researchers	Administration Department and Board Approval	Reference Document of ARAID Internal Rules (IR)	May 2015 + Annual review	Completed
Document Repository - Internal and External Rules and legislation	Information and support to all researchers. Improve communication between Direction, Board and Researchers	Administration Department	Internal and External Rules and legislation available at the Intranet	May 2015	Completed
Training on Communication skills towards public media	To improve dissemination of results and knowledge of society about the Researchers Activities.	Administration Department	Attending courses and events according to the Annual Training Plan	May 2015	Completed
Annual report on research activity + Research activity	Improve communication of ARAID achievements to society in general and to the Board of Trustees, in order to facilitate objective means to assess the value and return on investment	Administration Department	Internal annual report + Intranet + website	June 2015 (Yearly revised each June) + Ongoing	Completed 2015 2016 (online from 2017)

Occupational risk assessment of each ARAID Researcher Position	Improve security and safeness in the workplace	Administration department and Regional Private Health Insurance (Mutuality of accidents of Zaragoza)	Report on evaluation risks in jobs	Continuous Process	Completed
Transparency in evaluation and selection process	Improve transparency in selection processes	Administration Department	Reference Chapter in internal regulation Document and publication in ARAID website	May 2015 (Annual review) and Call information at each Recruitment Call	New actions implemented (see below)
Rate the Evaluator/Scientific Committee Performance, and preparation	Facilitate and improve the creation of the Evaluation and Advisory Panels	Administration Department and Board Approval (if required)	Web/intranet	February 2016	New actions implemented (see below)
Improve the use and review the appropriateness of the new intranet	Improve the transparency of each Recruitment Call, and facilitate the preparation of research activity reports (individual and general) and overall communication	Administration Department	Intranet	March 2015 (Revised annually)	Completed New actions implemented (see below)
Service Catalogue of the ARAID Researchers Activity	Improve mobility and facilitate Collaborations	ARAID Direction	Catalogue of ARAID services at the website	December 2016	Completed New actions implemented (see below)



Review Frame Agreements with Host institutions	Improve recognition and work conditions	Administration Department and Host Institution representatives	Frame Agreements with the Host Institutions	December 2017 (Revised and updated if required)	Completed
Structure a rule for representation of Researchers	Improve internal communication and participation in ARAID activities and decision-making	Administration Department and Board Approval (if required)	Plenary meeting Minutes and ARAID Intranet	February 2016	Not initiated
Research Career	Possibility of professional development	Administration Department and Board Approval	Reference chapter in Internal Rules document	May 2015 (Revised and updated if required)	In progress (see below)
Intellectual property rights	Improve the information and procedures in this area	Administration Department and Board Approval	Reference in rules of procedure document	May 2015 (Revised and updated if required)	Completed
Annual Training Plan	Continuous training and professional development	Administration Department	Annual Training Plan	May 2015 (Renewed each May)	In progress (see below)
Annual reports of the Host Institutions	To facilitate continuous and updated professional development and to help the evaluation of the research activity	Administration Department and Host Institution representatives	Annual reports of the Host Institutions	December 2017 (Updated every January)	Completed To be revised

## 6. IMPLEMENTATION

Comments on the Original Plan Actions mentioned as IN progress:

Transparency in evaluation and selection process	Improve transparency in selection processes
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The process for selection of the expert committee has been renovated on 2016. The Regional Agency for Research Quality and University Prospective now proposes a list of possible experts to the Foundation for its evaluation panels. In accordance with the European Standards and Guidelines for Quality Assurance in the EHEA (ESG) as well as the Principles for Selecting reviewers by the European Consortium for Accreditation (ECA), different reviewers are selected to participate in ARAID' s evaluation procedures. For more info: [procedure and criteria to select the reviewers participating in ACPUA's evaluation programmes.](#)

Improve the use and review the appropriateness of the new intranet	Improve the transparency of each Recruitment Call and facilitate the preparation of research activity reports (individual and general) and overall communication.
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The website and the application system do function well and it is useful for issuing annual reports.

The accuracy of the website for generation of shorter or specific reports in live time depends on the period of the year, as Researchers are most likely to update their data (projects, publications, etc) at the end of the semester (before summer) and/or at end of the year.

Service Catalogue of the ARAID Researchers Activity	Improve mobility and facilitate Collaborations
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Similar to the above exposed, the accuracy of the website for generation of service catalogues and description of the Research lines available in live time, depends on the period of the year, and particularly on the period when last call researchers are joining the Foundation Staff.

Research Career	Possibility of professional development
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This was a priority issue in the previous (performed on 2014 when planning the 1<sup>st</sup> Strategic Plan) and present survey by ARAID Researchers. The reason is that Researchers hired by private Foundations, even if they have public aims and budget, are not accepted in the public procedure for revision of research merits. Not being able to do this, ARAID researchers do not compete on equal terms when compared to their colleagues working under National Research Council, University, or Regional Government Centre contracts.

This is one of the main concerns of the Foundation, subject to an administrative request that is still under evaluation by the local authorities.

Annual Training Plan	Continuous training and professional development
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This is one of the most difficult points to implement. ARAID, not being an academic or training Institution lacks the resources to organise internal courses. For this reason, the training courses were presented and voted, and then organised. But the ARAID researchers are spread in a vast region, and it is difficult to organise a course that receives 4-5 students. However, this plan continues, and 1-2 courses are organised every year, subcontracting the organization to a local entity specialized in these services.

## OTM-R Policy

The establishment of an Open Recruitment Policy is a key element in ARAID's HRS4R strategy. Although ARAID entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), the Foundation is highly committed to its evaluation procedure and has already implemented an Open, Transparent and Merit-Based Recruitment Policy. Due to its size and objectives, it was relatively simple to review the existing policies, selection/evaluation procedure under the OTM-R principles.

The OTM-R policy in ARAID is publicly presented at: <http://araid.es/en/content/best-practices-research>

Other related HRS4R Actions as a result of the periodic revision since 2015 include:

ARAID,

- Has joined the Euraxess Team, as Regional Point.
- Is a member of the RESAVER consortium.
- Has now only R3 and R4 Researchers (no plans to incorporate R2s or R1s).
- Has coordinated the alignment of Private and Public Institutions in Aragon for the recognition of inter sector R qualification.
- Made a revision of its Selection Procedures based on the OTM-R criteria.
- Has applied several modifications to its Selection Procedures, e.g. has changed the way of selection of the external panels and has implemented rules for redress of procedures.
- Is working on the recognition of merits in consonance with the (three-year and/or six-year terms) public evaluation of merits of colleagues in academia.

Specific New Actions:

Selection of evaluation experts with the support of the Regional Agency for Prospective and Research Quality in Aragon.

- Is ready to update the professional career evaluation accordingly.
- Is planning to compensate the past-evaluations in salary
- How do you expect to prepare for the external review?

We will undergo the same procedure: survey to all Researchers, working group on HR Strategy and annual internal revision to update the plan, before the external revision takes place.

## 7. REVISED ARAID HR PLAN 2018 – 2021

ACTION	AIM	WHO	DELIVERABLE	DATE	STATUS
Internal Information	Information on internal rules (Inlc IPR) and proceedings and support to all researchers.	Administration	Updated Web and Intranet	Annual review	
External information Service Catalogue of the ARAID Researchers	Improve mobility and facilitate Collaborations	ARAID Management & Researchers	Catalogue of ARAID services at the website	Dec 2018 (then renewed)	
Complementary Training	To support the adaptation of new comers (mentoring) and support Training received at Host Institutions with specific courses.	Administration & Researchers	List of Courses annually	May – October each year	
Divulgateion and Outreach	Outreach activities & Communication of achievements to society and regional Government, to facilitate objective means to assess the activities and achievements of ARAID	Administration	Publication of Annual report	November 2018 (stopped in 2015)	
OTM-R - Evaluation and selection process	Improve transparency in selection and evaluation of appraisal processes. Request of report by Host Institution on their Pre-selection of applicants.	Administration + Host Institutions	Publication of annual Call Plan	Annually	

Career development ARAID	Recognition of merits (within ARAID) and increase possibilities of professional development.	ARAID Management and Board Approval	Policy on Recognition of merits	Dec 2018	
Career development - Hosts	Improve recognition and work conditions of Researchers in their Host Institutions. Prevent divergence between Researcher and Host on the progress of the planned activities.	ARAID Management + Host Institutions	Review Agreements with Host Institutions Annual reports.	Every November	
Representation at Decision Bodies	Increase feedback and participation of ARAID Researchers on HHRR Policies.	ARAID Management + HRS4R Working Group Representatives	Meetings of the HRS4R group reps (1 per level) with Direction.	Annually	

## 8. OTM-R

Please fill out the OTM-R checklist, attach it to this self-evaluation form, and provide a commentary on how you will (continue to) address these principles in the years to come.

### ARAID - OTM-R CHECKLIST

	Open	Transpar ent	Merit- based	Answer: Yes completely/Yes substantially/ Yes partially/No	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	Yes substantially	www.ARAID.com (each call text)
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes substantially	In the Plan and Web HR Section
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	Yes substantially	All Admin Personnel
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes substantially	Online System (Euraxess and LinkedIn) (Updated each call)
5. Do we have a quality control system for OTM-R in place?	x	x	x	Yes partially	Call Evaluation (after each call)
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes partially	There have been specific calls with mobility requirements.

7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes partially	There have been specific calls with mobility requirements.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	No	
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes partially	Undefined term contracts and flexible policies oriented to support professional development.
10. Do we have means to monitor whether the most suitable researchers apply?				No	
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes substantially	There is only one employer, ARAID. Call guide published every year.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a)]	x	x		Yes substantially	Yes, we provide complete info in the website and Euraxess. Also, the Call Office answers the questions as they arrive.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes substantially	Yes, published every year. At least 2 months in advance.
14. Do we make use of other job advertising tools?	x	x		Yes substantially	Yes, via the Host Institutions, and in LinkedIn.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	x			Yes substantially	Yes, CV and Project Templates are based on Marie Curie Ifs but simplified. No need for validation or work permits until formal offer.
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)]		x	x	Yes substantially	Yes - The formation of selection committees follow the rules of the Regional Agency for Quality and University Prospective.



17. Do we have clear rules concerning the composition of selection committees?		x	x	Yes substantially	<a href="http://www.aragon.es/DepartamentosOrganismosPublicos/Organismos/ACPUA/NP/ci.BancoEvaluadores_new.detalleInaem?channelS">http://www.aragon.es/DepartamentosOrganismosPublicos/Organismos/ACPUA/NP/ci.BancoEvaluadores_new.detalleInaem?channelS</a>
18. Are the committees sufficiently gender-balanced?		x	x	No	No
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	Yes substantially	There is an information for evaluators, and the evaluation form also contains questions and comments sections.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		x		Yes substantially	By email.
21. Do we provide adequate feedback to interviewees		x		Yes	We provide the evaluators filled forms.
22. Do we have an appropriate complaints mechanism in place?		x		Yes substantially	Complaints are studied to introduce improvements in the next Evaluation. Also ARAID complies with the Transparency Law on public activities (Law 25March 8/2015) that establishes norms and procedures for access to information.
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				Yes partially	We are annually evaluated by the accounts committee, and the transparency committee of the regional government.