

esade

HRS4R

Human Resources Strategy for Researchers

Internal Review and Implemented Action Plan
July 2022

The bottom of the page features a decorative graphic consisting of two overlapping blue shapes. On the left, there is a dark blue trapezoidal shape that tapers to the right. On the right, there is a lighter blue trapezoidal shape that tapers to the left, overlapping the dark blue shape.

Internal Review & Implementation Action Plan

Case number: 2019ES471457

Name Organisation under review: **Fundació Esade – Universitat Ramon Llull**

Organisation's contact details: research@esade.edu

Web link to published version of organization's HR Strategy & Action Plan:

<https://www.esade.edu/faculty-research/en/research>

1. Organisational Information

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	126
<i>Of whom are international (i.e. foreign nationality)</i>	75
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	26
<i>Of whom are women</i>	56
<i>Of whom are stage R5 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	75
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	11
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	40
<i>Total number of students (if relevant)</i>	12.526
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	892
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	109.98M€
<i>Annual organisational direct government funding (designated for research)</i>	-
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	2.490.185€
<i>Annual funding from private, non-government sources, designated for research</i>	877.183€
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>Esade is a global academic institution known for the quality of its education, its international outlook, and its focus on holistic personal development. It has been one of the world's top-ranked Business & Law School for over 60 years. Our research units support interdisciplinarity to create impact in crucial areas of business and law, and encourage the transfer of knowledge to the classroom where it can be used to develop future professionals capable of leading projects that generate economic value and at the same time have a positive impact on the environment, on people and in society.</p>	

2. Strengths and Weaknesses of the Current Practice

Ethical and Professional Aspects

Ethical and professional aspects (Initial Phase)
Strengths
<ul style="list-style-type: none">• Positive perception of ESADE staff regarding research freedom to teach and research to its researchers.• Institutional Code of Conduct in place.• Functioning Committee on the Use of Human Subjects in Research (CUHSR) that evaluates the research projects that involve human participants, data or material.• Compliance with policy on personal data protection and a Data Protection Officer.• Appropriate instruments and mechanisms to assist researchers to fulfil the bureaucratic demands of the projects, and solve their doubts and queries concerning to contractual and legal obligations regarding competitive research funds and pre-award and post-award phases of grant management.• Adequate instruments concerning professional responsibility (contractual, health and safety, and IT).• Researchers are supported with the dissemination and exploitation of the results of their research.• Established evaluation processes for researchers and research units; both internal and external evaluations are supported.
Weakness
<ul style="list-style-type: none">• Esade does not have a written intellectual property policy.• Esade does not have a written document concerning Good Practices in Research.• Some lack of knowledge of the procedures to apply for funding and that the information provided to fulfil contractual and legal obligations.• Some key HR documents are not translated into English.• Some concern that research has a low input in society and that there is not a standardized procedure for the evaluation of researchers.
Ethical and professional aspects (Interim Phase)
Strengths
<p>Research freedom: Esade continues to provide research freedom to teach and research to its researchers. In addition, Esade is committed to fostering and preserving personal freedom, and respecting the pluralism that is essential to any university.</p> <p>Ethics: Esade follows the Code of Conduct of the Society of Jesus of Spain, and has its own institutional Code of Conduct. During this implementation period, (in 2021) Esade created an internal Ethics Committee.</p> <p>The Committee on the Use of Human Subjects in Research (CUHSR) continues to evaluate the research projects that involve human participants, data or material. Esade's policy on personal data protection and a Data Protection Officer are known, and the Esade website and intranet contain an updated section related to Ethical Research, where key information on the review process is available.</p>

Professional responsibility: Esade's People Management Department has continued to update and respond to matters of professional responsibility, which have been particularly necessary during this initial implementation phase which coincided with the height of the COVID-19 pandemic. Many important interim measures and more permanent changes relating to professional responsibility were undertaken, such as compulsory training online on COVID prevention, and data privacy.

Outreach: The Research Office and Communication department continue to assist researchers in the dissemination and exploitation of the results of their research and its dissemination.

During the latter part of this initial implementation phase, Esade has undertaken steps to update and migrate its website contents, which has permitted the research units to make improvements and standardise the information that is available on their webpages. Esade's digital dissemination platform 'Do Better' is part of the institution's Knowledge Initiative to improve the communication of research activities to society.

Evaluation: R1 research assistant profiles and R2 post-doctoral researchers are evaluated by their supervisors. The URL evaluates the progress of the R1 PhD candidates' Ph.D. thesis on a yearly basis. R3 and R4 researchers are evaluated on an annual and triennial basis by an evaluation committee. This culminates in a personalized feedback report for each professor, and a meeting with each one in order to discuss the contents.

An Annual Review of all Esade Research Units is carried out internally. A common plan for future strategic development is drawn up. Research groups are also evaluated on a periodic basis through an accreditation system of the Catalan Government. Esade itself is evaluated by AQU (universities quality agency).

Weaknesses

- Esade does not have a written intellectual property policy.
- Esade does not have a written document concerning Good Practices in Research.
- Some key HR documents are not translated into English.

Remarks

With regards to the initial Gap Analysis, Esade has responded to the detected weakness areas as follows:

Esade does not have a written intellectual property policy

During the implementation period, Esade Legal Services has been developing and negotiating an Intellectual Property policy for the institution which is currently in the final stages of revision.

Esade does not have a written document concerning Good Practices in research.

The Esade Research Office collaborated with the URL in the production of a Code for Research Integrity (2020). However, it is only currently available in Catalan, and is largely limited to more general ethical good practices:

<https://www.url.edu/en/press/news/institutional/2020/la-url-presenta-el-codi-la-integrat-de-la-recerca-de-la-universitat-llull>

The Esade Research Office has produced and disseminated internally an informative guide on Data Management, which is also available on the institution's intranet. The Research Office proposes to continue to work on improving this area of its activity, and during the continuation of the HRS4R implementation we aim to produce our own Good Practices in

Research guide for our research personnel, which will be available in 3 languages (English, Spanish and Catalan).

Some lack of knowledge of the procedures to apply for funding and that the information provided to fulfil contractual and legal obligations.

The Research office assists researchers to fulfil the bureaucratic demands of the projects, and solve their doubts and queries concerning contractual and legal obligations regarding competitive research funds and pre-award and post-award phases of grant management. During the implementation phase, Esade has awarded and managed a number of internally funded grants to research groups through internal calls. In addition, in September 2022 the new intranet pages for the area of research will be launched which will include a section dedicated to competitive research grants and calls.

Some key HR documents are not translated into English.

This is an ongoing task continuing throughout the implementation phase.

Some concern that research has a low input in society

Esade has created the Identity & Mission Unit which promotes horizontal initiatives to pursue a greater and better impact on our society. During the 2020–2021 academic year, the results of this endeavour can be seen in:

- Launch of a new degree in Transformational Business and Social Impact, and new continuing education courses, such as the 2030 Agenda and SDG strategic integration programmes, where Esade research results can be immediately transferred from desk to classroom.
- Contribution to social debate through the publication of 122 academic articles with an impact factor in prestigious international journals, as well as the Do Better platform.
- Creation of the Center for Social Impact to promote rigorous and relevant research into social impact, and to disseminate knowledge and tools to help people understand and resolve the different and hugely complex global challenges that need to be addressed right now.
- Additionally, in July 2021 Esade is in the process of obtaining the BSIS label (Business School Impact System). This is an accreditation system to demonstrate the impact of Business Schools to the internal and external stakeholders. It includes detailed information concerning the impact that Esade's research is having at national and international level through the intellectual output of the school's faculty publications, research projects, conferences and public lectures.

Some concern that there is not a standardized procedure for the evaluation of researchers.

Communication has improved to make the procedures for evaluation of researchers and research groups more transparent.

In 2021, Esade launched a general Professional Development Process (PDP) to facilitate a two-way performance management evaluation between each person and their manager about:

- Goal assessment: What was achieved in the previous year?
- Attitude and Performance Assessment on the basis of Esade values: How was it achieved?
- Focus on the future: What are the needs and motivations of development?

This process is an opportunity to share points of view, take stock of one's professional contribution, give and receive feedback, bearing in mind both corporate needs and one's own motivations.

We consider that these last two action items are complete according to the targets/indicators

established, and they have been removed from the list of weaknesses in the updated Action Plan. Nevertheless, we will continue to monitor to ensure no back-sliding.

Additional improvements related to ethical and professional aspects:

During this implementation period, (2021), Esade has created an internal Ethics Committee to manage reports received through the Ethics Channel regarding any possible wrongdoing or actions which are contrary to our Code of Ethics and Code of Conduct. <https://www.esade.edu/en/about-us/what-is-ESADE/code-of-ethics-and-ethics-channel>.

Recruitment and Selection

Recruitment and selection (Initial Phase)
Strengths
<ul style="list-style-type: none">• Established recruitment procedures for all categories of researchers.• Esade's Faculty Regulations provides a detailed list of the merits and qualities of the professors (R3 and R4) that are considered in all the selection, promotion and development process.• Esade evaluates positively changes in the chronological order of CVs for the recruitment of R3 and R4 professors. Career interruptions linked with management tasks are considered as a service to the institution and are appraised in the promotion scales.• Perception that Esade evaluates positively mobility experiences for the recruitment of R3 and R4 professors.• Esade's Faculty Regulations regulate terms for sabbatical leave, although not all faculty are aware of these.• Recognition of qualifications is performed during the interviews of the selection process, and academic and professional qualifications are requested and provided in all contract negotiations.
Weakness
<ul style="list-style-type: none">• Researchers consider that ESADE's recruitment procedures do not fully agree with C&C OTM-principles.• Perception that only in special circumstances, such as tenure, variations in the chronological order of CV are considered.• Researchers are not familiar with the existence of R2 researchers at ESADE.
Recruitment and selection (Interim Phase)
Strengths
<p>Recruitment: There are established recruitment procedures for different researcher categories:</p> <ul style="list-style-type: none">• PhD students that are part of the R1 category are admitted following procedures published on the ESADE webpage.• Research Assistants and Postdocs that are part of the R1 and R2 category, are selected directly by their supervisor, following Esade's general process of recruitment and selection PAS. All these posts are advertised on the EURAXESS website.• R3 and R4 are selected by a special commission after the position has been approved by the general management. The recruitment procedure follows the standards established in Esade's Faculty Regulations and detailed in the Internal Quality Assurance System for the "Faculty Recruitment and Hiring Process". <p>Selection: Esade's Faculty Regulations provides a detailed list of the merits and qualities of the Esade professors (R3 and R4) that are considered in all the selection, promotion and development process. R3 and R4 candidates are required to give a presentation/lecture in which their creativity, assertiveness and empathy with the audience are evaluated.</p> <p>Chronological order of CV, mobility: Esade evaluates positively changes in the chronological order of CVs for the recruitment of R3 and R4 professors. Their experience should be aligned with the offered job profile. Career interruptions linked with management tasks are considered as a service to the institution, and tenure-clock extensions/stops for maternity/paternity</p>

periods are appraised and taken into consideration in the promotion scales.

Mobility and Sabbaticals: ESADE evaluates positively mobility experiences for the recruitment of R3 and R4 professors. If their experience is aligned with the offered job profile. ESADE also encourages international mobility stays for its faculty members. The Faculty Regulations regulate terms for sabbatical leave. Sabbatical leave is considered as a development tool that faculty members may be entitled to after a period of not less than seven years of academic activity. Sabbaticals, where appropriate, form part of career plans specified in the Faculty Statutes. The Vice-Dean of Faculty and Research may authorise remunerated leaves of absence from faculty's standard academic activity to carry out research for periods of up to six months.

Qualifications: Recognition of the qualifications is performed during the interviews of the selection process, and academic and professional qualifications are requested and provided in all contract negotiations. In the case of R1 researchers, the grades from foreign university bachelor programmes are validated through the Ministeri d'Educació i Formació Professional online system. For R3 and R4 researchers, The ESADE Faculty Statutes as well as key Articles of the Faculty Regulations, provide detailed requirements for the different scales of faculty: assistant professor, associate professor, tenured professor, ordinary professor and distinguished professor.

Weaknesses

- Researchers consider that ESADE's recruitment, selection and promotion procedures do not fully agree with C&C OTM-principles.

Remarks

With regards to the initial Gap Analysis, Esade has responded to the detected weakness areas as follows:

Researchers consider that ESADE's recruitment procedures do not fully agree with C&C OTM-principles.

Variations in the chronological order of CV are taken into consideration: tenure-track freeze during periods of maternity/paternity or other care-duties; career interruptions linked with management tasks are considered as a service to the institution. Furthermore, due to the challenges and additional burdens caused by the COVID-19 pandemic, Esade decided that all faculty members (R3 and R4) currently in tenure-track would automatically be granted an extension of one year. The extension does not preclude them from seeking an early tenure review if they wish; and those faculty members preferring not to have the extension could request to keep their current tenure clocks.

In the institutional diagnosis performed as part of Esade's new Gender Equality Plan, a number of imbalances were detected in the recruitment process at several levels. These issues have been included as additional actions (see Action X – "New Actions" below).

With regards to providing feedback to candidates, there is not a standardised system to inform candidates about the weakness and strengths of their candidature. This is something that we are evaluating internally.

Researchers are not familiar with the existence of R2 researchers.

During the implementation period, Esade's Research Office has worked to address this point through several actions:

- [Meet our researcher videos](#) – a series of videos where the postdoctoral researchers

introduced themselves and explained their research work.

- Presentation of postdoctoral researchers in quarterly Research Bulletins and a dedicated section in our annual [Research Yearbook](#).
- Organisation of a joint seminar among postdoctoral researchers.

Working Conditions and Social Security

Working conditions and social security (Initial Phase)

Strengths

- Researchers pursuing a research career are recognised as professionals under the Science/2011 Law.
- Stimulating and supported research environment, with promotion of participation in calls for funding, research intensification periods, research seminars etc.
- Appropriate research infrastructure and resources.
- Day to day work flexibility is permitted, **although there is not a written norm that clearly express its extent.**
- Salaries are clearly higher than the salary rates within Spanish public university system. Additionally, R1 researchers (PhD students) receive scholarships that cover the whole amount of the PhD Program tuition fees, and stipends to cover living expenses during the programme.
- Esade is aligned with the URL gender equality plan until its own plan is finished. It is carrying out numerous projects to promote gender equality both inside and outside the classroom.
- Established procedure for complaints from researchers and administrative staff, including existence of Ombudsman to mediate in case of conflicts and complaints.
- Teaching loads are determined by the type of contract held (legal compliances), which determines the possibility of R1 research assistants or R2 researchers to perform teaching activities. Policy for R3 and R4 researchers is established Faculty Statutes and Faculty Regulations.
- Representatives of researchers are included in all the decision-making bodies.

Weakness

- ESADE does not have an intellectual property norm and there is a general lack of information about this topic.
- Need to improve information on research resources (databases etc); perception that resources are limited.
- Need to improve gender balance at several levels.
- Absence of career advice strategy for R1 and R2 researchers.
- More transparency required in complaint mechanisms.
- Underrepresentation of research community within decision-making bodies.
- Perception of lack of clear rules regarding sabbatical leaves.
- Perception that salary levels should be more attractive, in line with the market reality.

Working conditions and social security (Interim Phase)

Strengths

Research environment: The Ramon Llull University (URL) publishes annual internal calls for funding research intensification periods and other annual research projects. Esade has also published a number of internal calls to fund research assistants and postdocs during 2021 and 2022. Improvements have been made during the implementation phase to facilitate access to and information about research databases and similar information services managed by the ESADE Library services.

Esade's People Management Department has worked to improve transparency and facilitate access to written institutional policies relating to working conditions and professional development. The majority of policies are available in three languages (Spanish, Catalan and English), although some do not have an English translation yet. This is an ongoing task.

Stability, funding and salaries: R1 and R2 researchers are funded by Esade or via external grants from public/private entities, and work on specific research projects. R1 (PhD students) receive scholarships that cover the whole amount of the PhD Program tuition fees and receive a stipend to cover living expenses during the programme.

Career development: R3 and R4 researchers during their faculty evaluations. Esade has additionally introduced a Professional Development Plan for all employees which now covers R2 researchers. All researchers have the possibility to participate in training courses and conferences, as well as internally organised research seminars and workshops.

Gender: The ESADE's strategic plan included the need for developing and implementing a detailed Gender Equality Plan. This process has been completed in Q2 2022, and a number of actions are programmed for implementation and additionally figure as "New Actions" in our updated Action plan (see below).

Complaints: Esade has an established procedure for complaints from researchers and administrative staff, including the existence of Ombudsman to mediate in case of conflicts and complaints, and a new Ethics Channel.

Teaching: The type of contract signed determines the possibility of R1 research assistants or R2 researchers to perform teaching activities. This is a legal compliance. The teaching load of the R3 and R4 researchers is stipulated in the Faculty Statutes and Faculty Regulations.

Weaknesses

- ESADE does not have an intellectual property norm and there is a general lack of information about this topic.
- Need to improve information on research resources (databases etc); perception that resources are limited.
- Need to improve gender balance at several levels.
- Absence of career advice strategy for R1 and R2 researchers.
- Underrepresentation of research community within decision-making bodies.
- Perception of lack of clear rules regarding sabbatical leaves.
- Perception that salary levels should be more attractive, in line with the market reality.

Remarks

With regards to the initial Gap Analysis, Esade has responded to the detected weakness areas as follows:

ESADE does not have an intellectual property norm and there is a general lack of information about this topic.

During the implementation period, Esade Legal Services has been developing and negotiating an Intellectual Property policy for the institution which is in its final stages of revision.

Need to improve information on research resources (databases etc); perception that resources are limited.

Relevant pages of the Esade intranet have been redesigned, providing a dedicated "Information and knowledge" section that brings together direct access to all central

information and knowledge services provided by the institution. Updated information has been provided to all researchers through dedicated emails as well as through the quarterly Research Bulletins. All new researchers are provided with an introductory session during their onboarding.

Need to improve gender balance at several levels.

Esade has undertaken an institutional diagnosis to produce its new Gender Equality Plan. A series of areas for action have been identified including the underrepresentation of women, and researchers in general, in decision-making bodies. Specific measures will be adopted to address this.

Absence of career advice strategy for R1 and R2 researchers.

This is an ongoing task continuing throughout the implementation phase, but has largely been addressed as part of the Professional Development Process (PDP) at Esade, introduced in 2021.

More transparency required in complaint mechanisms.

During this implementation period, (2021), Esade has created an internal Ethics Committee to manage reports received through the Ethics Channel regarding any possible wrongdoing or actions which are contrary to our values and the behaviours described in our Code of Ethics and Code of Conduct. <https://www.esade.edu/en/about-us/what-is-ESADE/code-of-ethics-and-ethics-channel>. The Esade website has been updated so that the role of the Ethics Channel and Ombudsman are now clearly established and visible.

We consider that this action item is complete according to the targets/indicators established, and it has been removed from the list of weaknesses in the updated Action Plan.

Underrepresentation of research community within decision-making bodies.

Esade has undertaken an institutional diagnosis to produce its new Gender Equality Plan. A series of areas for action have been identified including the underrepresentation of women, and researchers in general, in decision-making bodies. Specific measures will be adopted to address this.

Perception of lack of clear rules regarding sabbatical leaves.

Sabbatical leave policy continues to be established in the Faculty Regulations. The Vice-Dean of Faculty and Research has worked to ensure transparency regarding sabbatical leaves and discussion during career reviews and professional plans.

Perception that salary levels should be more attractive, in line with the market reality.

Esade is a private university, and salary rates are significantly higher than in the Spanish public university system. Esade People Management Department has undertaken a salary review, and has established measures and objectives to comply with legal requirements regarding wage transparency and a progressive reduction of gender pay gap.

Additional improvements related to working conditions and social security:

Esade's People Management Department has continued to update and respond to matters concerning working conditions, which have been particularly necessary during this initial implementation phase which coincided with the height of the COVID-19 pandemic. Many important interim measures and more permanent changes relating to working-life balance were undertaken, including daily registry of hours worked, written flexible working day and Remote Work Policy, and a dedicated section in the Esade intranet about "Working at Esade".

Training and Development

Training and development (Initial Phase)
Strengths
<ul style="list-style-type: none">• Appropriate mechanisms and procedures for relations among supervisors and RI researchers.• Esade's Internal Quality Assurance System has established internal policies and processes in relation to researchers and administrative staff training, development and promotion.• Esade's Center for Excellence in Teaching & Learning has an annual training offer for faculty researchers.• Esade provides Research Seminars open to all the academic community.
Weakness
<ul style="list-style-type: none">• There are no specific supervision procedures for R2 researchers.• RI and R2 researchers do not receive professional development courses.
Training and development (Interim Phase)
Strengths
<p>Supervision: Esade has an internal regulation for RI (PhD student) supervision, and an agreement is signed between researcher and their supervisor.</p> <p>Training: Esade's Internal Quality Assurance System has established internal policies and processes in relation to researchers and administrative staff training, development and promotion. Esade's Center for Excellence in Teaching & Learning has an annual training offer for faculty researchers. Esade provides Research Seminars open to all the academic community.</p>
Weaknesses
<ul style="list-style-type: none">• There are no specific supervision procedures for R2 researchers.
Remarks
<p>With regards to the initial Gap Analysis, Esade has responded to the detected weakness areas as follows:</p> <p>There are no specific supervision procedures for R2 researchers. There is currently no formal mentoring program aimed at promoting professional development of postdoctoral researchers (R2). The Gender Equality Survey undertaken by Esade reveals that there is an interesting percentage of academics with mentors; in general, more women indicate to have a mentor -mainly informal mentors-, who provide suggestions regarding specific strategies to achieve career goals. One of the actions planned as part of the implementation of the new Gender Equality Plan is the introduction of a Mentoring Program for young academics to promote their academic progression and career development. This has been included as "New Action" in section 3 below.</p> <p>RI and R2 researchers do not receive professional development courses. All Esade employees now have free access to courses offered by Coursera Partner Consortium (CPC)-member universities and organisations through Coursera, which can promote our</p>

professional and personal growth.

The Faculty Office for Innovation by the Center for Excellence in Teaching & Learning (CTL) performs pedagogical consulting, training and offers resources to teachers in order to accompany the teaching activity and favour its innovation. This is offered to R1 and R2 researchers as well as faculty members.

We consider that this last action item is complete according to the targets/indicators established, and it has been removed from the list of weaknesses in the updated Action Plan. Nevertheless, we will continue to monitor to ensure no back-sliding.

Have any of the priorities for the short and medium-term changed?

The priorities drawn from the Gap Analysis remain valid. Some actions have been extended due to strategic institutional improvement commitments, and particularly due to the health crisis caused by the COVID-19 pandemic. This has resulted in a process to reorganize and adapt the way we work to attain certain objectives set out in the action plan. A number of the actions that we expected to already have completed have been extended due to the complexity to tackle them remotely and the necessity to deal with other urgent items arising from the pandemic. On the other hand, some items which we had planned for later in the action plan have been resolved already as part of this process to facilitate remote working.

Have any of the circumstances in which your organization operates, changed and as such have had an impact on your HR strategy?

During this implementation period, Esade has undergone a number of significant changes with regards to key members of management personnel involved during the negotiation and application phase. The Director of HR was changed shortly after the award of the HRS4R certification, and whilst the implementation of activities has largely continued to take place, it has been done in line with the new internal objectives and timelines rather than those established under the HRS4R strategic plan. Furthermore, representatives in HR in the working groups have left the institution or have changed to other areas.

Additionally, higher management was changed, as well as their representation in executive decision-making bodies. We should note that during this initial implementation phase, research has no formal representative in the Executive Committee (CEX), and sessions to present and approve research-related affairs have to be programmed specifically.

The impact of these various changes has been that the tasks have largely been undertaken by the Vice-deanship for Faculty and Research, including the Research Office.

Are any strategic decisions under way that may influence the action plan?

The next academic year (September 2022) will see a number of important changes which we hope will positively influence the action plan.

Esade will appoint a new General Director, and also there is a scheduled change of Dean at the Business School. The incoming Dean is a professor with a strong research background and with a sound understanding of the Esade research community and the HRS4R initiatives.

3. Actions

Actions	GAP Principle(s)	Timing	Responsible Unit	Indicator(s) / Target(s)	Current Status	Remarks
<p>Action I: Update ESADE's C&C and OTM-R's policy and recruitment plan.</p> <ul style="list-style-type: none"> • Review recruitment and employment policies. • Update the recruitment procedure, including all C&C criteria. <ul style="list-style-type: none"> ○ Publish job offers in English on EURAXESS, international scientific portals and journals. ○ Formalise the composition of the Selection Committee ○ Define more detailed job recruiting scales, • Write the "OTM-R Policy: Selection and recruiting guide." <ul style="list-style-type: none"> ○ Include templates. Elaborate online material ○ English version of all the working contracts. • Provide training to staff acting on selection committees. • Provide an overall e-recruitment tool, which will facilitate the selection process. • Include information in the Welcome Manual. 	12. Recruitment 15. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code) 17. Variations in the chronological order of CVs (Code) 20. Seniority (Code)	3Q2020 to-4Q 2020	Vice deanships faculty & research	<p>Indicators:</p> <ul style="list-style-type: none"> • ESADE recruitment policy updated and published. • ESADE recruitment procedure updated and implemented. • Publish OTM-R Policy: Selection and recruiting guide and templates. • OTM-R and C&C material and training courses available. <p>Targets:</p> <ul style="list-style-type: none"> • 100% of job offers published online and on EURAXESS. • 100% of job offers include additional information. • 100% of IP researchers are trained on OTM-R and C&C. • 100% of HR staff members are trained on OTM-R and C&C. • All recruitment procedure is based on the e-recruitment tool. 	Extended	<p>Due to the COVID-19 pandemic, not all of the points under this Action have been carried out according to the timeline. We have therefore extended a number of the tasks until <i>1Q2024</i></p> <p>Activities completed: Review of recruitment and employment policies.</p> <p>100% of R1 (research assistant) and R2 job offers are published online and on Euraxess, using a standardised format based on the OTM-R policy</p> <p>Activities in progress: Selection and recruitment guide and templates updated. <i>Revised timeline: 2Q2025</i></p> <p>Activities extended: Publish the recruitment policy including all C&C criteria.</p> <p>Training of HR staff members and IP researchers on OTM-R</p>

						and C&C Recruitment procedure based on e-recruitment tool <i>Revised timeline: 1Q2024</i>
<p>Action 2: Align evaluation criteria with C&C.</p> <ul style="list-style-type: none"> • Review and apply ESADE's procedures to systematise the evaluation of R1 and R2 researchers • Write the Evaluation Guide with clearer norms for the evaluation and promotion of researchers, aligning it with the professional career plan. <ul style="list-style-type: none"> ○ Include public engagement as one of the criteria for the triennial evaluation of researchers. ○ Write guidelines for the supervisors. • Training and communication: <ul style="list-style-type: none"> ○ Provide training to support PI's and supervisors for the performance of evaluation reviews. ○ Conduct briefing sessions and communication procedures to support PIs acting as managers and supervisors of research staff. ○ Include information in the Welcome Manual. 	<p>9. Public engagement 11. Evaluation/ appraisal systems 36. Relation with supervisors</p>	<p>3Q2020 to-4Q 2020 and 1Q2025 to 2Q2025</p>	<p>Vice deanships faculty & research</p>	<p>Indicators:</p> <ul style="list-style-type: none"> • Evaluation Guide for R1 and R2 approved. • New procedure approved for the evaluation of R1 and R2. • Guideline for evaluation published. • Training available. <p>Target:</p> <ul style="list-style-type: none"> • All R1 and R2 researchers are evaluated following the Evaluation Guide. 	<p>Complete</p>	<p>In 4Q 2021, Esade launched a general Professional Development Process (PDP) to facilitate a two-way performance management evaluation between each person and their manager/supervisor about:</p> <ul style="list-style-type: none"> • Goal assessment: What was achieved in the previous year? • Attitude and Performance Assessment on the basis of Esade values: How was it achieved? • Focus on the future: What are the needs and motivations of development? <p>This process is an opportunity to share points of view, take stock of one's professional contribution, give and receive feedback, bearing in mind both corporate needs and one's own motivations.</p>
<p>Action 3: Foster public engagement.</p> <ul style="list-style-type: none"> • Reinforce ESADE's Knowledge Initiative 	<p>9. Public engagement</p>	<p>1Q2021 to</p>	<p>Director Contents</p>	<p>Indicator:</p> <ul style="list-style-type: none"> • Outreach Plan published 	<p>Complete</p>	<p>Under the name Do Better, Esade has</p>

<p>by:</p> <ul style="list-style-type: none"> ○ The recruitment of a communication officer that will select the communication contents and will interview researchers about their research to be published on the “Do Better” web platform. ○ Translate ESADE’s research contents into Castilian and publish them on the website. • Draw up a plan for the communication unit, defining a target audience, selection of events, actions, etc. • Include information in the Welcome Manual. 		2Q2021		<p>online.</p> <p>Targets:</p> <ul style="list-style-type: none"> • Increase at least 20% in contents in ESADE’s Knowledge Initiative. • Increase at least 20% in Outreach activity. 	<p>launched a digital content platform that reflects the commitment of Esade to give visibility to advances in knowledge, and boost social debate alongside lecturers, researchers and experts from the business and legal worlds. Do Better offers news, perspectives and advances in research on topics relevant to society. The hub counts on the participation of many of our research faculty and research teams, available in Spanish and English. It is available in various formats, and features the latest trends in digital content, such as predictive searches, the ability to customise destination pages with content relevant to each user, save favourite content to be read later, follow specific topics of interest and manage personalised content alerts.</p> <p>The Research Office collaborates with the Communications Department to periodically update the plan for communication and dissemination of research-related stories and news items for publication via Do Better,</p>
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						LinkedIn, press, and social media.
<p>Action 4: Improve the employability of R1 & R2 researchers.</p> <ul style="list-style-type: none"> • Write a document on career advice and options for R1 and R2 researchers • Build a website containing the R1 and R2 researchers' profiles. • Provide mechanisms for enabling all R1 research assistants to perform teaching activities. • Offer individual consultations to postdoctoral researchers during their employment. • Provide training to develop transferrable skills. • Provide briefing sessions and workshops on career planning to R1 and R2 researchers and to PIs to reinforce their role as supervisors. • Inform PI's and Researchers about the importance of Professional Development Plans. • Include information in the Welcome Manual. 	30. Access to career advice 33. Teaching	1Q2023 to 2Q2023	Vice deanships faculty & research	<p>Indicators:</p> <ul style="list-style-type: none"> • Professional Career Advice and Options document available online. • R1 and R2 profiles published online. • Individual consultations available to R2. • Briefing sessions on Career Planning available to R2. • Training course on Professional Career Options available. <p>Targets:</p> <ul style="list-style-type: none"> • All R1 researchers' assistants can perform teaching activities. • At least 50% of R2 attend at least one individual consultation. • At least 50% of R2 attend briefing sessions on Career Planning. • At least 50% of R2 attend the Professional Career Options course. • 100% of doctoral students receive the Professional Career Options training course during the "Doctoral Week." 	In progress	Scheduled to start in 2023
<p>Action 5: Improve access to research databases.</p> <ul style="list-style-type: none"> • Identify the researcher's needs to access to new research databases. • Centralise information about databases' 	23. Research environment	3Q2021 to 4Q2021	Director Research Office	<p>Indicators:</p> <ul style="list-style-type: none"> • Report on researchers' needs completed. • Information updated in the intranet and Welcome 	Complete	Relevant pages of the Esade intranet have been redesigned, providing a dedicated "Information and knowledge" section

<p>access in the intranet.</p> <ul style="list-style-type: none"> • Provide additional resources to SIC (Library services) in order to improve offer and service • Include information in the Welcome Manual. 				<p>Manual</p> <p>Targets:</p> <ul style="list-style-type: none"> • All new researchers are informed about access to databases. • All new researchers receive the Welcome Manual. 		<p>that brings together direct access to all central information and knowledge services provided by the institution. All new researchers are provided with an introductory session during their onboarding.</p>
<p>Action 6: Improve ESADE's website.</p> <ul style="list-style-type: none"> • Improve the organisation and access to contents of the intranet. • Include updated information about funding opportunities though the new webpage. • Improve the society's communication focus translating ESADE's research contents into Castilian or Catalan. See Action 5. • Centralise information about databases' access in the intranet. See Action 5. • Build a website containing the R1 and R2 students' profiles. 	<p>4. Professional attitude 5. Contractual and legal obligations 9. Public engagement 23. Research environment 30. Access to career advice</p>	<p>3Q2021 to 4Q2021</p>	<p>Director Research Office/Director Contents</p>	<p>Indicators:</p> <ul style="list-style-type: none"> • ESADE's web updated. <p>Targets:</p> <ul style="list-style-type: none"> • Increase the number of downloads. 	<p>In progress</p>	<p>Activities completed: Improve communication focus translating ESADE's research contents into Castilian or Catalan: See Action 3 above.</p> <p>Centralise information about databases' access in the intranet: See Action 5 above.</p> <p>Build a website containing the R1 and R2 students' profiles: This activity was reformulated in order to align with the overall institutional strategy regarding the website updates. R1 and R2 research personnel are now included within their relevant "Team" lists for each of our Knowledge Unit webpages, including a picture and link to their profile.</p> <p>Activities in progress: With regard to the improvement of</p>

						<p>organization and access to intranet contents, Esade has redesigned its intranet pages and documentation is now available in a more structured format.</p> <p>Not all policies are translated into English however.</p> <p>As of 3Q2022, a new online area providing information on funding opportunities, to complement the information that is already sent by email to the Esade research community.</p> <p><i>Revised timeline: 3Q2022</i></p>
<p>Action 7: Communicate gender initiatives.</p> <ul style="list-style-type: none"> • Promote policies and practices to better support gender diversity and equal opportunities in research for men and women. • Approve and communicate ESADE's strategic plan for gender balance. • Include information in the Welcome Manual. 	27. Gender balance	3Q2022 to 4Q2022	People Management	<p>Indicator:</p> <ul style="list-style-type: none"> • ESADE's strategic plan for gender balance published. <p>Target:</p> <ul style="list-style-type: none"> • 100% of staff and researchers are informed about Gender Policies 	Complete	<p>In the context of the EQUAL4EUROPE project – a H2020 project coordinated by Esade – Esade's second Gender Equality Plan (2022-2025) has been adopted. The Plan, addressed to the entire workforce, has been designed based on a diagnosis of the situation of gender equality in Esade with data from academic year 2018/2019 and includes different measures to achieve gender equality in the institution in the following four areas of</p>

						<p>action:</p> <ol style="list-style-type: none"> 1. Promote gender equality in recruitment, retention, and career progression. 2. Promote gender equality in decision-making bodies and processes. 3. Integration of the gender dimension in research and innovation content. 4. Raise awareness on gender equality and sexual misconduct. <p>It sets the strategy which Esade commits to follow in the next four years to achieve gender equality in the institution. Furthermore, it aspires to be an invitation to the whole Esade community to actively participate in its implementation and intensify their effort to achieve an institutional change towards gender equality.</p>
<p>Action 8: Improve the participation in decision-making bodies.</p> <ul style="list-style-type: none"> • Define a procedure to enable researchers to express their views and needs to the senior representing bodies. (E.g. nominate two representatives of the research community. Research representatives meet with members of ESADE's senior management team 2-3 times per year). • Include information in the Welcome Manual. 	<p>24. Working conditions 35. Participation in decision-making bodies</p>	<p>1Q2022 to 2Q2022</p>	<p>Vice deanships faculty & research</p>	<p>Indicator:</p> <ul style="list-style-type: none"> • Procedure for the participation in decision-making bodies approved. <p>Target:</p> <ul style="list-style-type: none"> • R1 to R4 participates in the decision-making bodies. 	<p>Extended</p>	<p>A series of areas for action have been identified including the underrepresentation of women and researchers in general, in decision-making bodies. Due to changes in high management in 3Q2022, implementation of correctional processes have not yet taken place,</p>

						<p>and therefore this action has been extended. Specific measures planned to be adopted in the procedure for participation in decision-making bodies are:</p> <ol style="list-style-type: none"> 1. Gender balance in management and leadership trainings offered by Esade. 2. Preference of women in vacancies in decision-making bodies. 3. Gender balance in selection, hiring and promotion committees. 4. Internal application procedure of vacancies in decision-making bodies. <p><i>Revised timeline: 5Q2025</i></p>
<p>Action 9: Communicate Sabbatical leaves norm.</p> <ul style="list-style-type: none"> • Establish and include Sabbatical norms in the Faculty regulations. • Prepare a guide of recommendations for sabbatical leaves in circumstances considered of interest for the organisation, both for ESADE researchers and for guest researchers/teachers. • Publish and communicate the Sabbatical leave norm. • Include information in the Welcome Manual. 	24. Working conditions	3Q2022 to 4Q2022	Vice deanships faculty & research	<p>Indicator:</p> <ul style="list-style-type: none"> • Recommendation guide on sabbatical periods available. <p>Target:</p> <ul style="list-style-type: none"> • Sabbatical periods available for researchers. 	In progress	Updated policy on sabbatical periods will be launched during academic year 2022-23

<p>Action 10: Improve training offer to researchers.</p> <ul style="list-style-type: none"> • Budget an economic item for R1 and R2 training • Select and provide new training contents to: <ul style="list-style-type: none"> ○ R1 and R2 researchers: The CEI will provide specific training for R1 and R2 researchers. Do compulsory tenure track meetings. ○ R3 and R4 researchers: Organise training courses for researchers supervising R1 or R2 researchers. ○ To all researchers: Extend the researchers' training in communication abilities, transferrable skills, etc. • Include information in the Welcome Manual. 	<p>9. Public engagement 11. Evaluation/ appraisal systems 30. Access to career advice 36. Relation with supervisors 37. Supervision and managerial duties 39. Access to research training and continuous development 40. Supervision</p>	<p>1Q2022 to 2Q2022</p>	<p>People Management</p>	<p>Indicator:</p> <ul style="list-style-type: none"> • New training offer on Researchers Supervising, communication abilities, soft skills, etc. available. <p>Targets:</p> <ul style="list-style-type: none"> • All new courses have at least 20 attendees. • At least 50% of R1 to R4 attend new training courses. 	<p>Extended</p>	<p>Due to the COVID-19 pandemic, not all of the points under this Action have been carried out according to the timeline. We have therefore extended a number of the tasks until 1Q2024</p> <p>Activities in progress: Esade's Center for Excellence in Teaching & Learning (CTL) performs pedagogical consulting, training and offers resources to faculty members (R3 and R4) in order to accompany the teaching activity and favour its innovation. This is now offered to R1 and R2 researchers although the uptake so far has been limited among this group and work remains to be done to improve this.</p> <p><i>Revised timeline: 2Q2023</i></p> <p>Activities extended: Training for researchers supervising R1 and R2 researchers</p> <p><i>Revised timeline: 1Q2024</i></p>
<p>Action 11: Design ESADE's Researchers' Welcome Manual and welcome protocol.</p> <ul style="list-style-type: none"> • Design and establish ESADE's new Researchers' welcome protocol. • Write ESADE's Welcome Manual for 	<p>5. Contractual and legal obligations 7. Good practice in research 8.</p>	<p>1Q2021 to 2Q2021</p>	<p>Vice deanships faculty & research / People Management</p>	<p>Indicators:</p> <ul style="list-style-type: none"> • New welcome protocol established. • Welcome Manual available online. • Biannual welcome seminar 	<p>Extended</p>	<p>This Action was particularly negatively impacted by the COVID-19 pandemic, as other activities had to be prioritised and our</p>

<p>researchers, English version, annually updated available on the web, including information about:</p> <ul style="list-style-type: none"> ○ Procedures for national and foreign researchers. ○ Legal obligation procedures, public engagement, ethics committees, intellectual property rights, etc. ○ Professional career, evaluation criteria, training offer, etc. ○ Access to research facilities and support, etc. <ul style="list-style-type: none"> • Celebrate an annual or biannual welcome seminar and introduce the Welcome Manual. 	<p>Dissemination, exploitation of results</p> <p>21. Postdoctoral appointments (Code)</p> <p>31. Intellectual Property Rights</p> <p>35. Participation in decision-making bodies</p>		t	<p>available.</p> <p>Target:</p> <ul style="list-style-type: none"> • All newcomer researchers attend the Welcome seminar. 		<p>traditional onboarding protocols and procedures were no longer practicable.</p> <p>Whilst all new incoming researchers attend welcome seminars with the different strategic areas of the institution, the completion of an online welcome manual is still in progress.</p> <p>Revised timeline: New implementation period 1Q2023 – 4Q2024</p>
<p>Action I2: Standardise good research practice and develop RRI recommendations.</p> <ul style="list-style-type: none"> • Establishment of a Working Group in Research Ethics and Practices. The Working Group will develop mechanisms and materials (manual, web contents, etc.) for embedding good research practice into the culture of all scholarship. • Write ESADE's Good research practice guide. Centralise information on good research practices Develop recommendation about RRI – Responsible Research and Innovation. • Launch of blended learning training. The programme will be designed to provide R1 to R4 with a basic understanding of responsible research practices in their area of study. • Include these contents in the Welcome Manual. 	7. Good practice in research	3Q2021 to 4Q2021	Vice deanships faculty & research	<p>Indicators:</p> <ul style="list-style-type: none"> • ESADE's Good research practice guide available online. • ESADE's Good research practice guide sent to all researchers. • Blended learning training available. <p>Targets:</p> <ul style="list-style-type: none"> • All researchers know ESADE's Good research practice guide. • At least 50% researchers attend training courses. 	Extended	<p>This Action has been extended, although some activities have been carried out.</p> <p>Activities completed: During 3Q2021, the Esade Research Office produced Data Management Guidelines to complement the existing information on ethical research already available on the Esade intranet for researchers.</p> <p>Activities extended: The working group continues to work towards the completion of a Good Research Practice Guide for the Esade research community</p> <p><i>New timeline: 1Q2025</i></p>

						<p>Launch of blended learning training (R1 to R4) to provide a basic understanding of responsible research practices in their area of study.</p> <p><i>New timeline: 1Q2024</i></p>
<p>Action 13: Communication of the figure of the Ombudsman.</p> <ul style="list-style-type: none"> Further communication to publicise the role of Staff Ombudsman to research staff will be done by: improving the web contents and including information in the Welcome Manual. 	34. Complaints/appeals	1Q2023 to 2Q2023	People Management	<p>Indicators:</p> <ul style="list-style-type: none"> Web updated. Information in Welcome Manual and during Welcome seminar. <p>Target:</p> <ul style="list-style-type: none"> All researchers know about ESADE's Ombudsman. 	Complete	<p>The Esade website has been updated so that the role of the Ethics Channel and Ombudsman are now clearly established and are visible.</p> <p>In 3Q2021, Esade has created an internal Ethics Committee to manage reports received through the Ethics Channel regarding any possible wrongdoing or actions which are contrary to Code of Conduct.</p> <p>This information is provided to all incoming researchers in the welcome seminars, but still needs to be included in the Welcome Manual.</p>
<p>Action 14: Review the ESADE's seniority policies on recruitment and employment of R2 researchers to include specific provisions for seniority.</p>	20. Seniority (Code)	3Q2020 to 4Q2020	Vice deanships faculty & research	<p>Indicators:</p> <ul style="list-style-type: none"> Seniority policies available on-line <p>Targets:</p> <ul style="list-style-type: none"> Seniority policies are applied and communicated to all R2 researchers 	In progress	<p>The seniority policies for R2 researchers were completed in 4Q2020 according to schedule, however they are not available online. The working group will continue to try to ensure that policies on</p>

						recruitment adhere to the ideals of openness and transparency. <i>New timeline: 1Q2025</i>
Action 15: Write and communicate ESADE's IP rights protection norm. <ul style="list-style-type: none"> • Write IPR protection norm. • Disseminate ESADE's policies on intellectual property and technology transfer among researchers through workshops. • Include them in the Welcome Manual. 	8. Dissemination, exploitation of results 3l. Intellectual Property Rights	1Q2021 to 2Q2021	People Management	Targets: <ul style="list-style-type: none"> • 100% of researchers receive the new IPR policy. • At least 50% of researchers attend the IPR training course. 	In progress	The IPR policy is expected to be completed by 4Q2022
Action 16: HRS4R Kick-off, awareness and communication of HRS4R and OTM-R. <ul style="list-style-type: none"> • An implementation working group will be appointed with the task of defining and overseeing most of the actions, made up of people in charge of each topic, representatives of the different specific areas and services, and R1 to R4 researchers. • Training sessions on OTM-R to HR personnel, and on C&C criteria for PI researchers and HR personnel will also be held, during Symposiums in ESADE and URL • New contents on OTM-R and HRS4R will be available in Spanish and English on the website. 	ALL	3Q2020 to 3Q2025	Quality Assurance Dept	Indicators: <ul style="list-style-type: none"> • WG OTM-R constituted. • Surveys to address the awareness. Targets: <ul style="list-style-type: none"> • At least 50 researchers attend the C&C training sessions. • At least 5 HR staff members attendant the C&C training sessions. 	In progress	<p>The first year of our implementation phase coincided with the height of the COVID-19 pandemic, and also some significant changes in personnel who had been involved in the initial HRS4R phase. These factors led to the postponement of the constitution of a formal cross-departmental working group, training sessions, etc.</p> <p>Work has largely been undertaken by the Research Office and People Management Departments, aligning with other working groups such as that created to oversee the Gender Equality initiative.</p>

						The implementation will continue according to the updated schedule, under the governance of the new Dean for the Business School and new General Director of Esade.
New Actions	GAP Principle(s)	Timing	Responsible Unit	Indicator(s) / Target(s)	Current Status	Remarks
Action 17: Adopt measures for a gender-sensitive recruitment for all positions. <ul style="list-style-type: none"> The following measures are established: Inclusive job descriptions. Family-friendly recruitment processes Blind CVs. Gender perspective in the assessment of candidates for academic positions. Gender balance in short lists. Preference for candidates of the less represented sex. Gender balance in composition of selection committees for faculty core. Participation of the Gender Equality and Diversity Officer in selection procedures of faculty core positions 	2. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code) 17. Variations in the chronological order of CVs (Code) 27. Gender balance	1Q2023 – 4Q2025	Vice deanships faculty & research / People Management	Targets: <ul style="list-style-type: none"> Increase women's applications for faculty positions (R3 and R4) by between 25% and 50% 	New action	-
Action 18: Adopt specific policies aimed at promoting women's career progression. <ul style="list-style-type: none"> Specific work-life balance measures to promote the academic career. Adopt specific measures to promote women's academic careers during and after childcare. PhD and tenure-clock freeze in cases of childcare leave, parental leave, sick leave related with the pregnancy or 	11. Evaluation/ appraisal systems 24. Working conditions 27. Gender balance	1Q2023 – 4Q2025	Vice deanships faculty & research	Indicators: <ul style="list-style-type: none"> Increase satisfaction with work-life balance and gender equality in Esade (reduce the perception of family responsibilities as impeding productivity). 	New action	-

breastfeeding, leave for dependent family members and sick leave of medium/long duration (> 3 months).						
Action 19: Improve supervision procedures for young researchers through a mentoring programme aimed at promoting professional development of postdoctoral researchers (R2)	24. Working conditions 27. Gender balance 30. Access to career advice 36. Relation with supervisors 37. Supervision and managerial duties 39. Access to research training and continuous development 40. Supervision	1Q2025 – 4Q2025	Vice deanships faculty & research	Targets <ul style="list-style-type: none"> • Achieve 90% of PhD students (R1) and postdoctoral researchers (R2) with a formal mentor, guaranteeing gender equality. • Achieve gender balance in the advice or mentoring received by formal mentors (funding, career progression, networks, etc.). 	New action	–

The extended version of the reviewed HR Strategy for the next 3 years, including the OTM-R policy will be published on our organisation's website, from September 2022 (due to programmed official updates of Esade's corporate website):

<https://www.esade.edu/faculty-research/en/research>

Comments on the implementation of the OTM-R principles (Internal Review for Interim Report)

A number of actions and activities have taken place to advance towards greater compliance with the principles of OTM-R. These include:

-Formal recognition of tenure-track freeze during periods of maternity/paternity or other care-duties; career interruptions linked with management tasks are considered as a service to the institution.

-Additional tenure-clock extension option for R3 and R4 to counteract negative impact of COVID-19 pandemic.

-100% of R1 (research assistant) and R2 job offers are published online and on Euraxess, using a standardised format based on the OTM-R policy.

-Launch of general Professional Development Process (PDP) to facilitate a two-way performance management evaluation between each person and their manager/supervisor.

-Improvements in communication and availability/access to policies and procedures on working conditions, research infrastructure etc.

However there remains work to be done to ensure that updated policies and practices do indeed comply with the criteria for openness and transparency. Several of the tasks and actions in this respect have been extended as a direct result of complications and additional pressures arising from the COVID-19 pandemic. We are nevertheless optimistic that the updated Action Plan is achievable, and will be actively supported by the new executive team starting in the new academic year.

4. Implementation

General overview of the implementation process:

Esade's Action Plan foresaw the following model of governance for coordinating and monitoring the implementation of actions:

Steering Committee on HRS4R (SC) as the maximum office to oversee the implementation process on a regular basis.

Composition: The Business School's Vice-Dean for Faculty & Research, the Law School's Vice-Dean for Faculty & Research, the Director of People Department and the Director Quality and Programme Development Unit.

Responsibilities: Coordinating the implementation and the follow-up of the HRS4R-derived measures. Communicate the advances to Esade's Board of Directors.

Implementation Working Group (IWG)

Composition: 6-8 members of the Working Group, with other invited research and administrative staff members.

Responsibilities: Coordinate the deployment of the HRS4R Action Plan and will also control quality.

Implementation OTM-R Working Group (OTM-R IWG)

Composition: 2-3 People Management staff members responsible, and other administrative staff members will be invited to participate

Responsibilities: Coordinate the deployment of the specific OTM-R-related actions from the HRS4R Action Plan and will also control quality and follow up on indicators.

Project Leader (PL)

Composition: led by Head of Research & Innovation.

Responsibilities: Reporting to the Steering Committee will give support to the IWT and OTM-R IWG for the preparation of deliverables, and will support the SC to follow up on indicators.

The Implementation process began in 2020, coinciding with the first wave of the COVID-19 pandemic. The first year of our implementation phase also saw some significant changes in personnel who had been involved in the initial HRS4R phase, with several people leaving the institution or moving posts. **These factors necessitated that we adopt a simpler and more dynamic model of governance for coordinating and monitoring the implementation of actions.**

We created an Implementation and Monitoring Committee, composed of the Vice Dean for Faculty and Director for Research of the Business School, two representatives from the Research Office, and four representatives from the People Management Department. These people have worked in smaller working groups within their areas of expertise on specific actions, and have been responsible for providing updates to the Committee every four months as well as documenting the activities and tangible outputs produced.

Reporting has been made to the Steering Committee (high-management) on a six-monthly basis. However, the involvement of this body has been limited during this initial implementation phase.

Looking forward, the implementation will continue according to the updated schedule, under the governance of the new Dean for the Business School and new General Director of Esade, who both come from existing research-faculty positions within the institution and who are sympathetic with the initiative.

How have you prepared for the internal review? *

As already mentioned above, the internal review has been undertaken by the Implementation and Monitoring committee, based on their ongoing review and internal reporting process. The smaller working groups based at departmental/area level (People Management, Research Office and Faculty Management) provided periodic updates on the progress of the actions they were/are responsible for.

The HRS4R Implementation and Monitoring Committee conducted a thorough review of all the actions implemented as well as any additional related initiatives carried out. The committee performed an evaluation of those actions considered to have been completed in order to ensure that correct documentation of activities and outputs where relevant. It also revised with the working groups those actions which continue “in progress” and those which need to be extended further and will be developed in the continuation of the action plan during the second part of 2022 - 2025. Other additional actions have also been identified and included in the updated Action Plan, which are considered important in terms of continuing to make improvements for researchers within the framework of the HRS4R.

How have you involved the research community, your main stakeholders, in the implementation process? *

In December 2020, the Esade research community were invited to respond to a questionnaire on different aspects of their work environment, as part of Esade’s wider survey about equality. Many of the questions asked were directly related to the HRS4R Plan and issues of OTM-R, and therefore the results have been able to inform both our new institutional Gender Equality Plan and revise the measures planned under the current HRS4R Action Plan.

A specific information session was also organised at the end of April 2021 with the R2 researchers, who are the group particularly under-served in terms of specific policies and tools to support them.

The findings from the survey, working session and interviews with representatives from the researcher community (R1 – R4), have been incorporated into the updated Action Plan with the following activities included in the extended plan:

- Adopt measures for a gender-sensitive recruitment for all positions.
- Adopt specific policies aimed at promoting women’s career progression.
- Improve supervision procedures for young researchers through a mentoring programme aimed at promoting professional development of postdoctoral researchers (R2)

With a return to normal working practices in 2022, we are now planning some information sessions to promote the HRS4R initiative starting in the new academic year 2022-23.

Do you have an implementation committee and/or steering group regularly overseeing progress? *

The Implementation and Monitoring Committee, consisting of the Vice Dean for Faculty and Director for Research of the Business School, two representatives from the Research Office and four representatives from the People Management Department, have been meeting every four months to coordinate and monitor the progress of the Action Plan.

Periodic updates are made to the Steering Committee (high-management).

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy

This action is aligned with Esade's commitment to promoting a set of values that are consistent with human quality and academic and professional excellence, values at the service of the local and global society in which we are immersed. These values are:

Integrity, Sensitivity, Diversity, Contributing to the common good, and commitment to a fairer and more sustainable society.

The action is aligned with Esade's Identity & Mission Unit, which has been working intensively in the implementation of our first institutional sustainability plan. The diagnosis phase comprised participatory internal and external consultation with stakeholders, including the creation of the Diversity, Equity and Inclusion ('DEI') working group (November 2020 – July 2021). This working group involved 16 Esade members (students, professors and admin staff) to identify areas for improvement in terms of diversity and inclusion, indicating guidelines to generate an action plan and to promote an inclusive culture.

Finally, the HRS4R action is also aligned with the process that Esade has undertaken to develop its second Gender Equality Plan (GEP), which sets out the strategy which Esade commits to follow in the next four years to achieve gender equality in the institution. Following the current legal regulation and the H2020 EQUAL4EUROPE research project (which Esade coordinates), the GEP focusses mainly on gender equality and it includes measures aimed at guaranteeing equal treatment and opportunities between women and men. Nevertheless, Esade is committed towards equality, diversity and inclusion and, in this sense, the GEP also contains references and measures that aim at generating awareness and mainstreaming gender equality, inclusion and diversity from a broader perspective. The negotiation procedure of Esade's Gender Equality Plan has followed current state regulation, specifically articles 5 and following of the Royal Decree 901/2020, of October 13, which regulates equality plans and their registration. It was negotiated by the Equality Committee, constituted in July 2021, and integrated by two representatives of the People Management Department, two representatives of Esade's Works' Council and two Esade academics/researchers as external counsels from the EQUAL4EUROPE project.

How has your organisation ensured that the proposed actions would be also implemented? *

It is very important for Esade to ensure that the actions are implemented, which is why the action plan includes details of the party responsible for each action and the indicators that allow each action to be monitored.

The Implementation and Monitoring Committee and Steering Committee monitor the progress of the action plan and the level of compliance with the targets/indicators originally established. Corrective actions are taken if there are any alterations to the established deadlines (as has happened in the case of negative impact of COVID-19 pandemic affecting our ability to initiate work according to the time plan for some actions), or the new regulatory conditions or strategic decisions that could affect the strategy (such as changes in the new Spanish Labour Law affecting research personnel contracts, constitution of new internal working groups that align with the HRS4R actions, etc.).

The HRS4R Action Plan is promoted and approved by representatives from all areas of Esade's research community.

How are you monitoring progress (timeline)? *

For the purpose of monitoring progress, the Implementation and Monitoring Committee have been meeting each semester to oversee the work being carried out towards fulfilling the different actions. In these meetings, the members share and record information on the progress of implementation, as well as discuss any changes that might need to be made. The meetings have served to:

- Collaborate and coordinate actions led by both the Vice-deanships Faculty & Research and People Management
- Align activities with other working groups on strategic lines for the institution (e.g. equality working group)
- Re-scheduling of actions most affected by the COVID-19 pandemic and interchanging with other actions planned for later in the Action Plan where possible.
- Internal reporting and creation of documentation repository.

This information is subsequently shared with the members of the Steering Committee.

How will you measure progress (indicators) in view of the next assessment? *

The updated Action Plan and respective timelines for the actions have been discussed and agreed with the responsible parties, who will be directly overseeing their design and development. The indicators or targets assigned to each Action have also been reviewed and aligned with the wider Institutional Strategic Plan.

The Implementation and Monitoring Committee will continue with its established procedure:

- Monitoring meetings and follow-up with people in charge of the actions.
- Internal reporting and documenting of actions, results and tangible outputs.
- Six-monthly internal review and audit-check for compliance.

In case of any exceptional circumstances which might affect the performance or planned timeline for the rest of the Implementation period, the Implementation and Monitoring Committee will perform a risk assessment. Corrective actions will be proposed to the Steering Committee (high-management) who will ultimately take the strategic decisions necessary.

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

For the purpose of preparing the external review, the Implementation and Monitoring Committee will prepare an electronic dossier with all requested evidence and results of the implemented actions.

We will take into consideration any comments and recommendations that the Commission provides following submission of this Interim Report. Any corrective actions will be agreed and documented in preparation for the external review.

We will designate a specific person to be the main point of contact with the review team, facilitating access to those additional staff and Committee members to provide further information about the HRS4R implementation process and/or the actions developed.

Additional remarks/comments about the proposed implementation process

No additional comments