



LUXEMBOURG
INSTITUTE
OF **HEALTH**
RESEARCH DEDICATED TO LIFE

HUMAN RESOURCES STRATEGY FOR RESEARCHERS



HR EXCELLENCE IN RESEARCH

Implementation of Principles for the European
Charter for Researchers and the Code of Conduct for
the Recruitment of Researchers

Content

1. PRESENTATION OF THE LUXEMBOURG INSTITUTE OF HEALTH	3
2. HRS4R APPROACH WITHIN THE INSTITUTION.....	4
3. CONTACT DETAILS	5
4. INTERNAL REVIEW – SELF-ASSESSMENT	6
4.1. Organisational Information – Key Figures	6
4.2. Narrative - Incorporation of HRS4R into the HR strategy.....	7
4.3 Action Plan and Current Status.....	9
Area 1: Ethical and professional aspects	9
Area 2: Recruitment.....	13
Area 3: Working conditions and social security.....	14
Area 4: Training.....	19
5. IMPLEMENTATION STEPS OF HRS4R WITHIN LIH.....	22

1. Presentation of the Luxembourg Institute of Health



Luxembourg Institute of Health is a public biomedical research organisation. Striving for excellence, its researchers, by their creativity, enthusiasm and commitment, generate knowledge on disease mechanisms and contribute to the development of new diagnostics, preventive strategies, innovative therapies and clinical applications that impact the healthcare of Luxembourgish and European citizens.

The activities of the Luxembourg Institute of Health are developed within the following research topics: Oncology, Infection and Immunity, Population Health. The institute also comprises the national biobank “Integrated BioBank of Luxembourg” (IBBL) conducting some research activities but acting mainly as a service provider for medical research.

For more information you may visit : www.lih.lu

2. HRS4R Approach within the Institution

The Luxembourg Institute of Health – LIH - is recognised by the European Commission for its commitment to fostering good working conditions and career development for researchers by complying with The European Charter for Researchers and the Code of Conduct for the recruitment of researchers (ECRCC).

The Luxembourg Institute of Health was awarded by the European Commission for having attained the fifth and final step of the setting-up of improved human resources policies in accordance with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (ERCC). Accordingly, the institute successfully maintains its label “Human Resources Excellence in Research” obtained in 2010.

The Human Resources Strategy for Researchers (HRS4R) is a tool to support institutions in the implementation of European Charter for Researchers and Code of Conduct for the Recruitment of Researchers in their human resource policies and practices.

During the celebration of the 10th anniversary of the European Charter and Code for Researchers in Brussels on 3rd March 2015, the Luxembourg Institute of Health, represented its Human Resources (HR) Manager and project leader, received an award in the form of a certificate stating that the Institution ‘is recognised for its dedication and commitment to improving its human resources policies in line with the European Charter and Code for Researchers and the Code of Conduct for the Recruitment of Researchers’.

The LIH was the first Luxembourgish institution to hold the ‘HR Excellence in Research’ label and also the first to pass all required steps to receive this award. It has been a long way to this merit. Since 2009, the HR department of the LIH went through the following five steps consisting of concrete actions:

- A gap analysis to compare the initial HR procedures with the requirements of the charter and the code of conduct (between July and September 2009).
- An action plan, based on the results of the gap analysis, defining the engagements which allow to achieve conformity with the policies of the charter and the code of conduct (between October 2009 and March 2010).
- The publication of this action plan on the institute’s website and the recognition of the European Commission by receiving the “HR Excellence in Research” label (March 2010)
- An internal self-assessment to monitor the progress on the content of the action plan (in 2013).
- A review by three external auditors deciding on the conservation or withdrawal of the “HR Excellence in Research” label (18 July 2014).

The HR Department was successful in all five steps and received a very positive final report from the auditors which led to the decision to maintain the “HR Excellence in Research” label. Indeed, the application of the action plan resulted in important measures from which the institute’s employee continue to benefit.

In November 2017, LIH established an HRS4R interim self-assessment report with the purpose of assessing the progress made with regards to the formulated action plan, and maintaining the “HR Excellence in Research” label. The whole LIH organisation is committed to continuously applying and improving the good practices underlined in the European Charter for Researchers and the Code of Conduct of the Recruitment of Researchers.

3. Contact details

Postal address

Luxembourg Institute of Health
84 Val Fleuri,
L-1526 Luxembourg

HRS4R correspondence:

Mrs Valérie Gavroy, HR Director
valerie.gavroy@lih.lu

Web-link to published version of the
HR Strategy and Action Plan:

<https://www.lih.lu/page/job-opportunities>

4. Internal Review – Self-Assessment

SUBMISSION DATE TO THE EUROPEAN COMMISSION FOR INTERIM ASSESSMENT: NOVEMBER 15TH, 2017

The self-assessment report consists of 3 sections, starting with key figures for the Institute (4.1), then a comprehensive narrative about the incorporation of HRS4R into the Institute HR strategy (4.2), and then the Self-Assessment itself, describing the actions undertaken and their current status, in the four main area of the ‘HR Excellence in Research’ principles (4.3) :

- Ethical and professional aspects
- Recruitment
- Working conditions and social security
- Training

4.1. Organisational Information – Key Figures

Key figures for the organisation, at July 1, 2017.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	192
Of whom are international (i.e. foreign nationality)	162
Of whom are externally funded (i.e. for whom the organisation is host organisation)	112
Of whom are women	109
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	43
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	22
Of whom are stage R1 = in most organisations corresponding with doctoral level	47
Total number of students (if relevant)	47
Total number of staff (including management, administrative, teaching and research staff)	365
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget (annual accounts 2016)	41 856 474
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure, ...)	30 455 153

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	5 599 795
<i>Annual funding from private, non-government sources, designated for research</i>	5 801 525

4.2. Narrative - Incorporation of HRS4R into the HR strategy

The Luxembourg Institute of Health (LIH), currently employing more than 360 collaborators, was created on January, 1st, 2015 following the entry into force of the law of 3rd December 2014 on the organisation of public research in Luxembourg. The integration of CRP-Santé and IBBL to create the Luxembourg Institute of Health (LIH) was part of a government initiative to promote scientific dynamism and synergies in the research sector.

The integration was expected to lead to optimizing infrastructure, equipment and administrative services as well as strengthening research teams. Since the merger, LIH underwent an important structural reorganization leading to the definition of three research departments reflecting the research priorities: Oncology, Infection & Immunity, and Population Health. IBBL kept its brand and a certain management autonomy within LIH.

In February 2016, Research Institutions in Luxembourg also signed a new framework convention for employees of public research centres in Luxembourg with the Unions. In January 2017, also entered into force our LIH new Collective Labour Agreement for the employees of LIH.

These 2 conventions govern the relations and general conditions of employment between the signatory Public Research Centres and the staff members of the Centre. Content of these 2 documents is also about the 4 thematic areas of the Charter and Code. Areas and subject matters which are describe and explain in these documents are recruitment, working conditions and remuneration, trainings but also intellectual property and gender equality.

Within this merging context, the new law and the Collective Labour agreement, the adherence to the European Charter for Researchers leading to the obtainment of the label “HR Excellence in Research” in 2010, was re-inforce by our different new HR strategies and LIH priorities such as:

Area 1: Ethical and professional aspects

- LIH is now part of LARI (Luxembourg Agency for Research Integrity)
- ISO 9001 certification awarded and renewed each year since 2013 to some of LIH’s units and services is an acknowledgement of the institute’s dedication to quality management.
- Merger of the Technology Transfer Office and Project Management Office of former CRP-Santé for a new RKTO (Research Knowledge Transfer Office) unit with the mission to facilitate and provide optimal support to LIH’s scientists in the transfer process to maximise the economic and societal use of their research results, know-how and expertise while nurturing the excellence of their research projects.
- As it was the case for CRP-Santé, LIH also signed performance contracts with the State of Luxembourg. For the period from 2015 to 2017, LIH takes over and continues the performance contract signed by CRP-Santé in 2014. A separate performance contract has been signed by the Foundation IBBL in 2014, and is taken over and continued by the Institute IBBL. A strategic plan 2018-2021 is currently under discussion with the government.
- New code of ethics with principles applied to all researcher at LIH

-Introduction and implementation of a new remuneration system based on the classification of jobs within the LIH and their evolution linked to individual performance, given more opportunity and clarification on career evolution.

Area 2: Recruitment

-Integration and implementation of OTM-R principles in our recruitment policy

Area 3: Working conditions and social security

-LIH is a member of the RESAVER consortium

-Regarding support for teaching activities, we can note the creation and co-funding of professorship position at the University of Luxembourg

-New mobility framework with the introduction of scientific leave

-In the context of career development support and counselling, participation to the yearly Crossborder Postdoctoriales days in Luxembourg since 2015.

-Complains / appeals: new process for scientific misconduct: transparent and fair

Area 4: Training

-Recruitment of a new competences & training manager in spring 2017 to provide further trainings opportunities and to accompany researchers in their future development no matter how senior the position and how long the contract. Career development was part of the previous performance contract with the Government and will be re-enforced with the new one.

-LIH's commitment to the Doctoral School in Science and Engineering at the University of Luxembourg and implementation of a common Quality Framework for Doctoral Training (NQFDT) in all research departments, defined by the Luxembourg National Research Fund (FNR) and in line with national and international standards of quality, by the Doctoral Training Unit.

-PhD supervision training/course organized for our PhD supervisors at LIH

-Re-enforcement of support for employees having chosen to resume doctoral studies

So far, much has been done since the last external audit in 2014! A lot of improvements are made at our level but also on the national level as is the case with the new FNR (National Research Fund) Inter funding opportunities, PRIDE (Doctoral Education), but also the increase of Luxembourg public investments in public and private research funding.

Strategic vision for LIH next performance contract 2018-2021 is also including the awareness of maintaining EU label "HR Excellence in Research" and the importance to pursue our effort to develop concrete actions on the 4 thematic areas of the Charter and Code. All our HR procedures are and will remain therefore compliant with the EU label and the ISO certification.

4.3 Action Plan and Current Status

<i>Title action</i>	<i>Timing</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target</i>	<i>Current status</i>
Area 1: Ethical and professional aspects				
Over the past few years, in the framework of the new Law on the organisation of Public Research Centers in Luxembourg dating from December 2014, LIH undertook a series of actions to position itself in a leading position in the Luxembourg research landscape, while asserting professional responsibility in support of research. LIH undertook successfully several activities (listed below) which accompanied the Institute's expansion – in the last three years, LIH staff grew by 30%.				
1. Research freedom				
Continuous lobbying for an "official" recognition of the profession of researcher	January 2015	Ministry of Research and Higher Education	LIH has been created by a new Law on December 3rd, 2014. The new law on the organization of public research in Luxembourg has the merit to recognize the profession of researcher. A clear definition is in the law: Memorial A-N°260 29/12/2014	completed
	January 2015	LIH	Definition and recognition in the new framework convention for employees of Public Research Centers and our new internal employee classification.	completed
	January 2018	Board of Directors	In the new LIH's performance contract concluded with the Government every 4 years, new clarification for KPI on scientific production gives information on who has to be recognized as a Researcher (for example excluding CEO, Veterinary).	
	Since 2017	FNR	New definition by the FNR of the Principal Investigator and PhD supervisor (FNR guidelines)	
	Since end 2015	HR	New generic job description for all positions at LIH including Researchers from R1 to R5.	
Translate relevant legislation/regulations and internal procedures and make them available on the intranet	Since 2016	Quality Management team	All LIH internal processes are all in English: quality documentation system is ENNOV.	Completed
		HR	The labor code is still in French because, in Luxembourg French & German are the official administrative languages. Work contract is translated in English for information. The framework convention for the employees of public research centers is an official document and has been translated into English.	We can't change the law completed
Develop Open Science policy	(i) October 2017 (ii) December 2017	Doctoral Training Unit (DOCT)	Creation of awareness on Open Science to advance towards compliance with the National Open Access Policy published in 2016; actions: (i) National Conference on Open Science integrated into the National PhD Welcome Day, (ii) internal seminar on Open Access for early-stage researchers given by an external expert	On going
2. Ethical principles				
Internal ethics code summarizing and explaining key principles	December 2016	CEO	<ul style="list-style-type: none"> LIH is now part of LARI (Luxembourg Agency for Research Integrity). 	completed

to be follow at LIH	In 2018	Working group	<ul style="list-style-type: none"> Internal ethics code spread over LIH staff, trainings dedicated to explaining key principles in process and will be completed in 2018 	In preparation
	Since 2015	CEO	Reference document from Science Europe: 7 reasons to care about integrity in Research (document available to all employee as a corporate document and published in our documentation system ENNOV)	completed
	Since 2017	HR	New chapter regarding Ethics principles in all work contract	On going
Training on ethical principles for our Researches	End 2018	Training & Quality manager	In preparation: Ethics trainings on for ethical use of human sample, unethical behavior, plagiarism, research integrity, animal experiment	In preparation
	On going	DOCT	PhD Student from the University of Luxembourg has to follow 2 days of training on "good scientific practices". We will extend this training to our other PhD Student & Researchers	On going
Training on Good clinical practice	Every year	CIEC	98 persons have been trained to GCP since 2015	completed
Respect and application of the new law on animal experiment	01/01/2014 In 2016 & 2017	Animal Facilities	<p>Recruitment of a veterinary in 2014 : Dr Samantha Storn</p> <p>25 employees received the FELASA certification and accreditation.</p> <p>Training will be pursued with the University of Luxembourg twice a year by our internal trainers Anais Oudin & Samantha Storn.</p> <p>Ethics charter on animal experimentation is in place; control of compliance by LIH's Animal Welfare Structure</p>	Completed completed Completed
	Since 2016		<p>Since the legal obligation release of the « <i>réglement grand-ducal du 28 janvier 2013 sur la protection des animaux utilisés à des fins scientifiques</i> », we have organised the animal supervision during weekend and legal day off.</p> <p>Recruitment of 2 additional "animal care employees".</p>	completed
3. Professional responsibility				
Scientific misconduct process and rules in place	05/10/2016	HR and internal scientific group	<p>New "Management and investigation of suspected scientific misconduct" in place. Review by our Lawyer</p> <p>1 Case treated successfully in 2016</p>	completed
Plagiarism guidelines	2016	RKTO	New Plagiarism guidelines in place	completed
IP protection Policy for scientific publications and abstracts	01/04/2015	CEO	Communication made by CEO to all LIH staff	Completed
4. Professional attitude				
New law on data protection	2017 – on going	CEO	Recruitment of a Data Protection Officer with the LISER (Public Research Institution in Luxembourg)	On going
Respect of the Law of data protection 2002 modified in 2007	Since Dec 2015	Data Protection Officer	Nomination of internal Data Protection Officers at LIH, responsible for notification and authorization to CNPD, CNER. They also follow regular training to keep this certification (once a year by CNPD professional)	completed
			Single institutional contact point and support for the submission of proposals to the National Research Ethics Committee and the National Data Protection	completed

			Office	
Implementation of the new EU regulations on data protection	Start 2017-25/05/2018	Working group GDPR	Implementation of the new general data protection regulations	On going
Implementation of a Risk culture awareness	Since 2017, continuous	Risks manager + Working group SHREK	SHREK : quality, safety, environment, security and risk	On going
IT registers	Since 2016	Registry Manager	Securing by design and by default and standardization of the different national registries according to the current and future legal framework (GDPR): access control, pseudonymization, encryption of the data transfer, auditing, etc	completed
IT and Communication Systems Acceptable Use Policy	Dec 2016	IT	Policy has been finalized and accepted by CNPD in Nov 2017 – will be communicated to all employees	On going
5.Contractual and legal obligations				
Labor Law awareness	01/01/2016	HR	New Collaborative agreement for the employee of LIH and new CC for the Research Centers in Luxembourg with information on general contractual and legal obligations for all employees	completed
HR Guide Book	Revision 2017	HR	HR Guide book is being reviewed and will be integral part of work rules	On going
Performance contract with the government	01/01/2018	CEO	New performance contract soon finalized for 2018-2021	Almost signed
6.Accountability				
Procedures for internal communication of relevant figures to interested parties	Since 2016	CEO Communication Unit	Development of a more user-friendly and interactive Intranet interface engaging the communication of LIH's staff and announcing quarterly Dashboard with financial, social and scientific results information	completed
Annual state budget stabilization	2018-2021	CEO Board of Directors	Activity report each year New LIH performance contract for the next 4 years mentioning the annual competitive government-sourced funding. Figures available for the last Performance contract from 2014-2017	To be signed end 2017
7.Good practice in research				
Rules on good practices in laboratory note book	2016	RKTO Quality Management	New procedure RKTO and Quality Management regarding good practice in laboratory notebook	Completed
Mitigation of all type of Risk	04.2016	Risk Manager	New Risk manager recruited + risk audit analysis Action plan approved by EXECOM	On going
8.Dissemination, exploitation of results				
Rules on authorship in publications	2018	DOCT	Orientation on the Vancouver recommendations	In preparation
Results of a PhD project are communicated to the research community	On going	DOCT	Results of a PhD project are communicated to the research community according to the methods and standards of the research field, including rules for author/co-authorship acknowledging the original author(s) of research publications. These rules are communicated to all involved parties by the institutions	completed

LIH supports the adequate dissemination of research results to a non-scientific public	continuous	Communication Unit, researchers	press releases, newsletters, website news, social media posts, activity report, magazine articles : LIH News, LIH Twitter account, LIH Facebook page	completed
LIH supports the translation of results into socio-economic value	continuous	RKTO, Vesalius	RKTO in charge of identifying research projects and results that give scope for translation into socio-economic value	completed
LIH has in place clear rules regarding the protection and ownership of intellectual property generated by Researchers and ensure that they receive a fair share of the revenues generated by the commercial exploitation of such intellectual property	continuous	RKTO	<ul style="list-style-type: none"> Application of a knowledge transfer policy specifying the share of the revenues resulting from intellectual property LIH scientific staff is required to send all scientific manuscripts or abstracts to RKTO before submitting to the scientific journal or conference, in order to allow RKTO to check any potentially protectable knowledge 	completed
9. Public engagement				
Increase yearly participation	yearly	Communication Unit All	Intensification of LIH' Communication to the general public. Participation to the Medical Research Day, Science Quest (awareness of biomedical and cancer research), World Days for diseases, Sciences Festival, Researchers' Days, LIH Open Day, visits in High schools, etc.	completed
10. Non discrimination				
Internal procedures	Jan 2016	HR	1 article included in our new Collective agreement Part of our recruitment policy	completed
11. Evaluation/ appraisal systems				
Implementation and deployment of our annual appraisal system for all employee	Jan 2016	HR	<ul style="list-style-type: none"> Implementation of our general appraisal system to all our employee at LIH : 95% in 2016 2 days training mandatory for our managers Has been trained in 2015: 50 managers, In 2016: 11 and in 2017: 15. Trainings developed by HR and an external consultant firm: Switches. ½ day of workshop for all employees on staff appraisal information (in 2016, 208 employees have followed the workshop) 	completed
Specific Evaluation by our EXECOM for internal applicant for a permanent position at LIH	Jan 2016	HR	<p>New permanent contract job position policy in place. Since the policy is in place, 6 persons have presented their application with success and received a personal development plan.</p> <p>We believe that providing a CDI to personnel at LIH represents a long term commitment from the Institution. Such a commitment should also be reflected by the potential CDI candidates where, in particular, it should be conveyed how they can positively and actively contribute towards a further development of the departments and the organization as a whole.</p>	completed

Area 2: Recruitment

LIH is proud to have included all principles of Open, Transparent and Merit-Based Recruitment Policy through our new Recruitment policy (published on our website). The HR recruitment team makes it a priority to educate all recruiting supervisors and ascertain that they understand and comply with the principles. LIH HR is recruiting successfully around 50 new collaborators every year. The HR Excellence label is a guarantee of quality which is key in attracting top talents. The average time to recruit is around 2.5 months.

Area 2: Recruitment				
13. Recruitment				
<p>Implementation and application of the OTM-R principles in our recruitment policy</p> <p>Revision of the general recruitment procedure to render it applicable and mandatory to the recruitment of candidates for funded PhD positions</p>	Nov 2016	HR	<p>New corporate recruitment policy in place with clear description and responsibility of the different stakeholders during the all process:</p> <ol style="list-style-type: none"> 1) Advertising the post & application phase : Advertising all researcher vacancies on Euraxess is mandatory 2) Evaluation & selection phase Selection committee, screening applications based on merit and non-discrimination, interviewing candidates with the STAR approach 3) Appointment phase and feedback to all Candidates <p>The procedure applies to any recruitment action resulting from a vacancy or a spontaneous application. The procedure also applies to the recruitment of PhD candidates applying for funded PhD positions and to the recruitment of the four broad career profiles for researchers (R1 to R4) established by the European Framework for Research Careers and the Open, Transparent and Merit based Recruitment of Researchers (OTM-R)</p>	completed
<p>Implementation of a specific Institutional strategy and deployment adequate means in order to recruit suitable <u>doctoral candidates</u>, giving due consideration to gender balance</p>	Summer 2016	DOCT , HR, NEXTIMMUNE DTU & CANBIO DTU teams	<ul style="list-style-type: none"> • Individual PhD positions or pools of PhD positions being part of a doctoral programme are advertised internally (Intranet), nationally (job agency ADEM, local newspaper) and internationally (Euraxess, general and science job portals e.g. Nature Jobs, social networks e.g. LinkedIn, scientific societies, researchers' profession network) to attract excellent candidates • Use of a corporate job offer template; emphasis in individual job offers on description of the research project, required skills and employment benefits; emphasis in job offers for doctoral training programmes on description of the programme's research scope, inter-institutional and public-private collaborations, NQFDT and attractiveness of Luxembourg as a research location • No discrimination between male and female applicants for a job position (more women employed at LIH than men due to the research scope of the institute that appears to be more appealing to female scientists) 	completed
14. Selection				
HR has to be part of any selection committee	continuous	HR	<ul style="list-style-type: none"> • Selection committees for PhD positions and any 	completed

			<p>other positions at LIH must include at least one member from HR to guarantee the best practices of any recruitment process but also to ensure the respect of gender equality and the absence of employment discrimination.</p> <p>35 recruitment in 2015 44 recruitment in 2016 29 recruitment in 2017 (situation in July 2017)</p> <ul style="list-style-type: none"> Reinforcement of the recruiting team with 1 new full time collaborator starting on June 2016 	
Specific to PhD candidates: Institutions have set up a framework to evaluate and approve the following points: (i) the scientific quality of the research project to be performed by the PhD candidate, (ii) whether the project is feasible within a reasonable time frame (3-4 years full time equivalent), (iii) the academic ability and research potential of the PhD candidate, (iv) the thematic fit and the qualifications of the nominated supervisor(s).	2016	DOCT	<ul style="list-style-type: none"> PhD project evaluation is ensured by universities/doctoral schools upon admission into doctoral training as well as by funding bodies in case of a PhD grant application Internal submission of a “project authorisation form” by PhD supervisors/principal investigators for all research projects (including PhD projects) for review by heads of research units/department directors and LIH’s Research Knowledge Transfer Office (RKTO) Evaluation by RKTO of the potential of the research project for scientific, economic and/or societal value creation; If appropriate, research projects can be reviewed by LIH’s Competence Centre for Methodology and Statistics for feedback on the best suitable experimental design 	completed
Area 3: Working conditions and social security				
<p>The list of items below is demonstrating LIH’s professionalism in establishing homogeneous and transparent working conditions for all its staff. LIH was the first research institute to have finalized and signed a collective labour agreement in December 2016, coupled with a structured career and remuneration system. Regarding Doctoral Training, Luxembourg is recognized for his National Quality Framework for Doctoral Training, fully implemented within LIH and appreciated by our PhD students. LIH is now working further for the deployment of an internal mobility policy aiming at insuring sustainable and transferable competencies among our scientific community.</p>				
23. Research Environment				
Construction of a new building for all LIH’s facilities.	End 2014	Buildings & Equipments Unit	LIH’s facilities still remain located on different geographical sites but has partially brand-new research facilities on three geographical sites (Strassen/Luxembourg, Eich/Luxembourg, Esch-sur-Alzette) at a distance of maximum 20 km from each other.	Not yet On continuous changes due to our growth
Extension of Edison Extension of our buildings facilities: BAM 3 project has been replaced by HoBH Esch	2014-2017 Dec 2014			
LIH provides access to adequate research facilities	Since end 2014	Buildings & Equipments Unit	<ul style="list-style-type: none"> Animal facility and technological platforms with state-of-the art laboratory equipment: flow and mass cytometry, confocal microscopy, in vivo magnetic resonance imaging (MRI), genomics and proteomics 	completed

			<ul style="list-style-type: none"> • Sufficient laboratory and office space 	
Access to scientific literature and documentation in continuous evolution	January 2017	Documentation Officer	<p>Collaboration with National Library of Luxembourg: LIH, as member of the “Consortium Luxembourg” initiated by the National Library of Luxembourg BNL, spends around 100,000 EUR/year to give researchers access to scientific literature via the digital library Findit (http://www.findit.lu).</p> <p>The current offer for LIH collaborators who benefit from a BNL account with an LIH profile (August 2017) consists of 55.000 electronic journal titles, 312.000 scientific eBooks and 350 specialised databases and reference platforms in English, French and German (more info here: http://blog.findit.lu/?page_id=2).</p>	completed
	2016	DOCT Documentation Officer	<ul style="list-style-type: none"> • Occasional inquiry (e.g. by online survey) on the needs of LIH researchers for access to scientific journals • Assistance and training courses on the use of the Findit portal, on bibliography search and on the use of bibliography managing software (EndNote) to new LIH staff, in particular to PhD candidates, given by documentation officer • Folder with PhD theses of the last ten years on internal server 	Completed
To Improve suitable possibilities to exchange with other researchers and with the research community as a whole	On continuous	Researchers RKTO	<ul style="list-style-type: none"> • Internal communication via an Intranet allowing LIH staff to post news and events (including external seminars); external communication via the LIH website and social media • Organisation of scientific seminars with internal and external speakers; at least one international scientific conference co-organised by LIH per year • Currently four lecture series running in parallel: “Cancer Research”, “Infection & Immunity”, “Biomedical research: from discovery to patients (RKTO, KiTS/ACTOR project)”, “Translational Bioinformatics and Systems Biomedicine” including workshops to exchange informally with the speakers on science and career • Regular scientific meetings at department and/or research unit level • Yearly retreats for the DTUs CANBIO and NextImmune to which also non-DTU PhD candidates are invited if their research project thematically fits to the scope of the DTU. • Possibility to attend national and international scientific conferences (most PhD candidates benefit from a training grant included in their FNR funding) and have an active participation (oral presentation or poster) • Yearly “Life Sciences PhD Days” organised by PhD candidates of the University of Luxembourg in collaboration with LIH 	On going

24. Working conditions				
Implementation of the new Collaborative agreement improving the awareness of working conditions at LIH but also rights and obligations	January 2016 January 2017	HR , Unions	See the document and all advantages on vacation days, flexible working hours, scientific leave, working at home, overtime compensation, ...	completed
25. Stability and Permanence of employment				
Candidates conducting a PhD at a Luxembourg institution and funded through the FNR are offered an employment contract for the full duration of the project	Since 2009 New in 2016	HR	<ul style="list-style-type: none"> • Since 2009, all PhD candidates have fixed-term employment contracts and benefit from the same advantages as other staff categories (e.g. public transport card, access to canteen, access to sports facilities) • Since 2016, employment contracts for PhD candidates are systematically for an initial duration of three years (including a probation period of six months) with a possible extension of one year • PhD candidates and their supervisors are informed that PhD work contracts are limited to four years; in exceptional cases (e.g. long sick leave or PhD project change), PhD candidates can be granted more than four years to finalise their PhD (request to be made to the Executive Committee) 	completed
26. Funding and salaries				
Implementation and deployment of a new career and compensation management system at LIH	January 2016	HR	With the merge of CRP-Santé and IBBL, we had to define one single remuneration system for all employees. A new model has been implemented with an external consultant specialist Hays. The career evolution and remuneration are now linked to the personal contribution of the position at LIH and the individual performance	completed
27. Gender balance				
Put in place some Gender actions, always looking for equity	2016-2017	CEO, HR	<p>Because of our field of activity (biomedical research), LIH has less difficulty of hiring qualified women researchers and promoting them into positions of leadership than in other field of research. Nevertheless, we have several gender action in our organization:</p> <ul style="list-style-type: none"> • Gender equalities policies has been integrated in the FRAMEWORK CONVENTION FOR EMPLOYEES OF PUBLIC RESEARCH CENTRES signed on December 2015 <p>Art . 3 : 3.2. Gender parity</p> <p>During the recruitment process, in the interests of progressively establishing parity between male and female employees and subsequently maintaining such parity, the Centre shall give priority to the candidate of the under-represented gender in the case of candidates with equal profile, qualifications, characteristics and skills.</p> <ul style="list-style-type: none"> • The Collective labour agreement for the employees of LIH (entry into force on January 2016) determines the relationships and general work 	Completed

			<p>conditions between the institute and its employees, and all the areas or subject matters which are covered by this framework agreement are applied to all employee of the institute, without any discrimination regarding gender.</p> <ul style="list-style-type: none"> • Statistics and reporting at LIH show currently more women than men • Our institution has also developed some family friendly policies, e.g. breast feeding rooms are available, awareness of temporal gaps in women's CVs for family reasons, flexibility of working hours for all (women and men) to facilitate private constraints of school for children, part time contract are easy to get, possibility of working from home for researchers (private assurance to cover the gap with social security in border countries) • LIH is also partner of a H2020 Gender equity project (submission in August 2017) 	Should start in 2018 if accepted
28.Career development				
LIH will develop career development support for high potential	2021	HR, C&T manager	<ul style="list-style-type: none"> •As part of our "permanent contract job position policy", each employee having received a permanent position is now followed with an individual career development plan. <p>For some grant applications with the FNR, PI (Principal investigator) has also to be follow with an individual career development plan (3 PI at the moment)</p> <ul style="list-style-type: none"> • The Collective labour agreement for the employees of LIH also determines the rules to access to a personal development plan: <p>RULES OF THE THREE YEARS OF EXCELLENCE To promote and develop high-performing employees, LIH considers that if an employee accumulates an "Excellent" level of performance for three consecutive years, the line manager will have to offer him/her the opportunity to change level or function, within the limits of LIH's budget. LIH will set up a support program for the development of such high-potential employees by proposing an external assessment to define a specific development plan</p>	<p>On going In preparation for general rules</p> <p>Completed To be applied as soon as possible</p>
LIH provides PhD candidates with appropriate opportunities for professional development and career orientation	Q4 2017	HR , DOCT	<ul style="list-style-type: none"> •Workshops of the different lecture series offered at LIH are meant specifically for early-stage researchers to inform themselves about academic career paths •Information on relevant careers events in the Greater Region by PhD training coordinator • Co-organisation of careers events e.g. with Euraxess, Doctoral School of the University of Luxembourg, other public research institutions in Luxembourg • Internal career workshops once per year since 2016 with an external training provider • Career orientation given by Career Centre of the 	On going

			University of Luxembourg	
29. Value of mobility				
Introduction of the scientific leave and inter-mobility program from the FNR	January 2015	Board RKTO Accounting	<p>The law of 3rd December 2014 on the organisation of public research in Luxembourg has also introduced the possibility for researchers to benefit from a scientific leave under conditions (see the law).</p> <p>3 employees from LIH have already received the opportunity to spend up to 12 months abroad in the frame of mobility programs</p> <p>Phd Students received also some grants from FNR for mobility (included in the AFR and the PRIDE grants) and the Mobility program of FNR allow some of our researchers to get some grants for mobility</p>	Any time when possible
Internal mobility between department at LIH	Any time when possible	Director of Department HR	Mobility of employees between departments is welcome to develop competencies. We have some very positive experience every year.	completed
30. Access to career advice				
Giving the possibility to our Researchers to access to career advice	Nov 2015, 2016, 2017	HR, DOCT	<p>Participation to the 2 days Workshop organized yearly with ABG: "What's next after my phd?" 1* year /Postdoctoriales (3rd edition in 2017). This workshop is partially financed by LIH and give the possibility to 3 or 4 post-doc per year to received career advice.</p> <ul style="list-style-type: none"> - Overview of the job market - Recruitment process and recruiters' expectations - Network & career - Storytelling - Career, job search strategy & communication - Peer job interviews 	completed
31. Intellectual property rights				
LIH will provide clear rules on IP policy and support for Patents management	2016	RKTO	<ul style="list-style-type: none"> ● New Policy "knowledge transfer policy" in place since 2015 : it reflects the commitment of LIH regarding the impact of its translational research activities beyond the scientific arena, with the objective to address efficiently health and medical needs while nurturing economic growth and societal progress 	Completed
	End 2017	RKTO, RH	<ul style="list-style-type: none"> ● working group in place with the collaborative agreement : conclusions and common framework should be included in the new collaborative agreement 	Will be finalized for December 2017
32. Co-authorship				
LIH will follow rules on authorship in publications	2018	RKTO, Quality Management, DOCT	<ul style="list-style-type: none"> ● Establishment of an institutional policy regulating authorship on publications based on the Vancouver recommendations ● Results of all LIH projects are communicated to the research community according to the methods and standards of the research field, including rules for author/co-authorship acknowledging the original author(s) of research publications. These rules are communicated to all involved parties by the 	On going completed

			institutions.	
33. Teaching				
Our researchers have also some teaching activities, it is well encouraged and accepted by our Directors	On going	Directors of Department	<ul style="list-style-type: none"> Number of employees with external teaching activity has increased PhD supervision rights at LIH have increased: 45 employees New simplified process at the University of Luxembourg for ADR since February 2017 	completed
LIH enables and valorises teaching activities by PhD candidates.		DOCT	<ul style="list-style-type: none"> Involvement of PhD candidates in academic teaching depending on university rules; very few teaching opportunities Encouragement for teaching activities and supervision of training periods of Bachelor or Master students to develop pedagogical skills 	On going
34. Complains / appeals				
LIH will have in place procedures to mediate in situations of conflict	2015-2016	HR , DOCT	<ul style="list-style-type: none"> Appointment in September 2015 of an internal mediator with scientific background specifically for conflicts between PhD candidates and PhD supervisors (retired end of 2016) Designation of several internal mediators in December 2016 for scientific and other types of conflicts that may arise between PhD candidates and PhD supervisors : one mediator per research department and two persons from HR Two-day training in mediation techniques held in December 2016 by an external training provider Draft of conflict mediation guidelines and template for mediation agreement (needing revision) Conflict mediation also offered by different universities (e.g. University of Luxembourg plans to designate an ombudsman) 	Completed
	End 2017			On going
35. Participation in decision-making bodies				
LIH has various Internal committees for consulting and decision making	Since 2015	CEO	<ul style="list-style-type: none"> The new strategic plan 2018-2021 was define with a bottom/up approach. The Directors have asked for contribution to all stakeholder. New KPIs have been suggested by a Working Group (researchers + support services). Implementation, in 2015, of the Collaborative Council of LIH established by the law of the 3rd December 2014. The president of the personal delegation is invited to the Board of Director' meetings 	completed
Area 4: Training				
<p>With the recruitment of a Training and Competencies Manager early 2017, LIH demonstrated commitment to fostering development of its staff. In 2017, 14 scientists participated to targeted management courses, while 5 other received individual coaching and tailor made development plans. In parallel, PhD supervisors are enrolled to joint supervisory training with the University and other institutes, as part of the NQFDT actions. Further actions are planned for 2018 and beyond, including the development of a competency matrix dedicated to research positions.</p>				
37. Supervision and managerial duties				
LIH will develop continuous and specific	Since 2008 and	HR, C&T	<ul style="list-style-type: none"> Implementation, since 2015, of a new development program for Managers on the appraisal 	Completed, on

training for all managers and supervisors	still on going	Manager	<p>system</p> <ul style="list-style-type: none"> • A new program for managers has been implemented in 2013, in French and English, combining management courses and individual coaching session with external consultants • In 2017, we have recruited a new C&T manager for the HR department. Based on the needs for development specified yearly during the appraisal, we have defined our Master training plan for the Institution, including the review of the program for managers • We have started, a new program for leadership & management development for PI's (Principal Investigator) 	<p>continuous development</p> <p>On going</p>
LIH has in place guidelines for supervision, providing practical information on the formal and informal arrangements that may guide the PhD candidate and the supervisor(s) during the various stages of the PhD trajectory	Q4 2017 Q1 2018	DOCT	<ul style="list-style-type: none"> • Finalize and communicate institutional guidelines on the roles and responsibilities of PhD candidates and PhD supervisors • Establish guidelines on the roles and responsibilities of the PhD training coordinator to better define the services provided for PhD candidates and their supervisors 	<p>On going</p> <p>To be done</p>
LIH ascertains that all persons in charge of the supervision are scientifically qualified in the concerned field and have relevant supervision competences. They must hold a PhD degree and be active scholars with a steady scientific production	Since 2015	RH DOCT	<ul style="list-style-type: none"> • LIH criteria of junior and senior PhD supervisors established in 2015; Heads of Research Units and/or Department Directors decide on the qualification of their staff as PhD supervisor based on these criteria • Additionally compliance with FNR requirements for principal investigators and PhD supervisors published in 2017 • The PhD supervision courses are given 1-2 per year since 2016 by an external training provider 	completed
PhD supervision is assured either by a single qualified academic researcher or by a supervisory team with one clearly designated main supervisor. The main supervisor is the person who does the main supervision task and earns the credit for it	On going	DOCT	<ul style="list-style-type: none"> • The main PhD supervisor should be a supervisor based at the institute in the same research group/unit as the PhD candidate and ensuring the day-to-day supervision (some exceptions possible) • Junior supervisor can act as main PhD supervisor if mentored by a senior PhD supervisor (implemented in the two DTUs) • PhD candidates can have a supervisory team in the case of co-supervision or junior supervision 	
38. Continuing professional development				
LIH will propose and organize trainings and workshops for continuing professional development	Since 2013	HR DOCT	Since 2013, we have put in place and continuously improved our internal trainings & workshops offer (21 courses in 2017 made by our Researchers exclusively). The participation for PhD student to these workshops validate some ECTS for their	completed

			University	
Implementation of tools	Since 2012, new in 2018	HR C&T Mgr	A new integrated software solution for Human Resources will be implemented in 2018 for a better follow up of trainings, appraisal and personnel development, trainings offers	In 2018
LIH will propose funding for trainings	yearly	HR, budget, FNR	<ul style="list-style-type: none"> • With the AFR and PRIDE funding scheme, all PhD student receive an amount of 6000 euros for: travel cost, conference, trainings. • Possibility to receive also some grants from the Fondation PELICAN: 15000 euros for PhD in the Doctoral School in Sciences & Engineering from the University of Luxembourg 	completed
39. Access to research training and continuous development				
LIH will propose Conferences, workshop and trainings for all employee	yearly	DOCT, HR, Directors, C&T Mgr, Communication Unit	<ul style="list-style-type: none"> • Our PhD and Post-doc are inform about conferences and open courses specify to them by our DOCT • Offers of conference are managed by Communication Unit and published the LIH Intranet 	
40. Supervision				
Access to the Doctoral school	2016, continuous improvement	DOCT	The Doctoral training school is in place with supervision courses and HDR. New National Quality Framework for Doctoral Training is being implemented at LIH.	Completed

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

Despite the fact that LIH has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), we have worked towards and have developed an Open, Transparent and Merit-Based Recruitment Policy through our new Recruitment policy attached. The recruitment process is published on our intranet and the principles the OTM-R are applied in all recruitment at LIH by the recruiters' team.

5. Implementation steps of HRS4R within LIH

As described in our actions review above, the HRS4R process at LIH, engage all management departments directly or indirectly responsible for researchers' HR-issues. Are included, the CEO, the Management Board, the Directors of our 4 departments, the Head of HR, and all administrative and support services for Research but also, part of our working groups for different topics, Researchers ranking for R1 to R4 in our Institution.

To review the HRS4R strategy and process described here above, we have consulted all stakeholders and involved the representative community of researchers such as the coordinator of our Doctoral & Training School. The members of the Committee, in total 12 persons, have the mission to oversee the process and are responsible (for their specific area) for the implementation on the concrete actions. The monitoring and the coordination of the process is ensured by the HR Special projects in charge of the HRS4R follow up. The members of the Committee are the CEO, the CFAO, the RKTO Manager, the DOCT manager, the Risks & Compliance Manager, the HR Director, the Competences & Training Manager, the IT & registry Manager, Communication Manager, QHSE Manager, documentation officer and recruiters.

To prepare this review, we have asked all Committee members to review and update their actions during summer 2017. The HR Special Projects was in charge to review with all members their actions and collect evidences of success. The Research community was involved by the DOCT Manager within the Doctoral Training Unit who has already made a report for the external auditors in the context of the National Quality framework for Doctoral Training.

It's clear for our Management that the HRS4R principles are aligned with our organisational policies and Strategic vision for LIH next performance contract 2018-2021 and we commit to continue to address these principles in the years to come.