

HRS4R ACTION PLAN

In the initial action Plan 21 from 40 C&C principles were prioritized. During this interim Assessment (2019), considering the analysis made by the focus group and the C&C Monitoring team, 13 additional principles also have been addressed since they are embedded within the POLYMAT 2018-2021 strategic plan.

I. Ethical and professional aspects

Relevant Legislation / Category C&C	C&C Principles Related	Existing Institutional rules and/or practices	Actions implemented & required	Responsible	Implementation Due date	Indicators/evidence	Status
<b>1. Research freedom</b>							
<ul style="list-style-type: none"> <li>✓ Spanish Intellectual property Law</li> <li>✓ Spanish Data Protection Law (LOPD)</li> <li>✓ Spanish Science Law</li> <li>✓ Spanish Statute of Worker's rights.</li> </ul>	1,2,3,5,6,7,8,10, 23,31,34.	<ul style="list-style-type: none"> <li>✓ Polymat's Mission, Vision and Values.</li> <li>✓ Scientific Committee Advisory Board</li> <li>✓ C&amp;C Endorsement</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organisation and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:               <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical-Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> </li> <li>✓ Training and Dissemination to the Staff June 2018.</li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination</li> </ul>	C&C Monitoring Team	2017	<ul style="list-style-type: none"> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticio.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticio.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf</a></li> <li>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	Completed

2. Ethical principles							
	1,2,3,5,6,7,8,10, 23,31,34.	<ul style="list-style-type: none"> <li>✓ Polymat's Mission, Vision and Values.</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners)</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organisation and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:               <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical- Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> </li> <li>✓ Training and Dissemination to the Staff June 2018</li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination)</li> </ul>	C&C Monitoring Team	December 2017	<ul style="list-style-type: none"> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingssessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingssessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></li> <li>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	Completed
3. Professional responsibility							

<p>✓ Spanish Intellectual Property Law</p>	<p>1,2,3,5,6,7,8, 10, 23,31,34.</p>	<p>✓ International Scientific advisory board</p> <p>✓ Intellectual Property &amp; Dissemination guidelines.</p> <p>✓ Contracts and collaboration agreements.</p> <p>✓ Polymat's mission, vision, and Values</p> <p>✓ Endorsement of C&amp;C (Commitment of Founding Partners)</p>	<p>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organisation and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:</p> <p>a/ Code of Ethics.</p> <p>b/ Acceptable use of IT resources policy.</p> <p>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</p> <p>d/ Ethical- Grievance Channel.</p> <p>e/ Disciplinary regime.</p> <p>✓ Training and Dissemination to the Staff June 2018</p> <p>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination)</p>	<p>C&amp;C Monitoring Team</p>	<p>December 2017</p>	<p>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</p> <p>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor).</p> <p><a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></p> <p>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu)</p> <p><a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></p> <p>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</p> <p>✓ Compliance documents published on the intranet.</p> <p><a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></p> <p>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor).</p> <p><a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></p>	<p>Completed</p>
<p>4. Professional attitude</p>							

	4	<ul style="list-style-type: none"> <li>✓ Internal working procedures</li> <li>✓ Polymat Scientific and strategic Plan</li> <li>✓ Internal communication process.</li> <li>✓ International Scientific advisory board</li> </ul>	<ul style="list-style-type: none"> <li>✓ The Polymat Scientific and the Strategic Plan are present at the annual Polymat's day to all the staff.</li> <li>✓ All the Group Leaders are evaluated annually by the Scientific Advisory Board.</li> <li>✓ All researchers are evaluated by their Group Leaders through meetings and participating in the POLYMAT Seminars.</li> <li>✓ All researchers are informed about the corporate Compliance model implemented in POLYMAT and sign a fulfilment of the ethical code when they sign the contract</li> </ul>	C&C Monitoring Team	2017	<ul style="list-style-type: none"> <li>✓ Polymat's day Event <a href="http://www.polymat.eu/en/news-event-details/161">http://www.polymat.eu/en/news-event-details/161</a></li> <li>✓ Scientific Advisory agenda of meetings <a href="http://www.polymat.eu/uploads/plan-accion/agendaadboard2015.pdf">http://www.polymat.eu/uploads/plan-accion/agendaadboard2015.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/agendaadboard2016.pdf">http://www.polymat.eu/uploads/plan-accion/agendaadboard2016.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/agendaadboard2017.pdf">http://www.polymat.eu/uploads/plan-accion/agendaadboard2017.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/agendaadvisory2019.pdf">http://www.polymat.eu/uploads/plan-accion/agendaadvisory2019.pdf</a></li> <li>✓ Template document to be signed by the researchers about the fulfilment of the ethical code <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf</a></li> </ul>	Completed
5. Contractual and legal obligation							

<ul style="list-style-type: none"> <li>✓ Spanish Intellectual property Law</li> <li>✓ Spanish Data Protection Law (LOPD)</li> <li>✓ Spanish Science Law</li> <li>✓ Spanish Statute of Worker's rights.</li> </ul>	<p>1,2,3,5,6,7,8,10, 23,31,34.</p>	<ul style="list-style-type: none"> <li>✓ Intellectual Property &amp; Dissemination guidelines.</li> <li>✓ Contract clauses</li> <li>✓ Collaboration agreements</li> <li>✓ Working procedures</li> <li>✓ Internal communication process</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures: <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical -Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> </li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination)</li> </ul>	<p>C&amp;C Monitoring Team</p>	<p>December 2017</p>	<ul style="list-style-type: none"> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></li> <li>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	<p>Completed</p>
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	1,2,3,5,6,7,8,10, 23,31,34.	<ul style="list-style-type: none"> <li>✓ Polymat's mission, vision &amp; values.</li> <li>✓ Internal and external audits.</li> <li>✓ Internal budget supervision process</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners)</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures: <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical-Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> </li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination)</li> </ul>	C&C Monitoring Team	December 2017	<ul style="list-style-type: none"> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf</a></li> <li>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	Completed
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7. Good practice in research

<ul style="list-style-type: none"> <li>✓ Spanish Intellectual property Law</li> <li>✓ Spanish Data Protection Law (LOPD)</li> <li>✓ Spanish Risk Prevention Law</li> </ul>	7	<ul style="list-style-type: none"> <li>✓ Annual Risk Prevention Plan</li> <li>✓ Risk lab audits</li> <li>✓ External advice risk prevention specialist (IMQ).</li> <li>✓ Intellectual Property protection guideline</li> <li>✓ Data safe procedure.</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:               <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical-Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> </li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination)</li> </ul>	C&C Monitoring Team	December 2017	<ul style="list-style-type: none"> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></li> <li>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	Completed
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8. Dissemination, exploitation of results

<ul style="list-style-type: none"> <li>✓ Spanish Intellectual property Law</li> <li>✓ Spanish Data Protection Law (LOPD)</li> </ul>	<p style="text-align: center;">8</p>	<ul style="list-style-type: none"> <li>✓ Dissemination guideline</li> <li>✓ Internal working procedures</li> <li>✓ Contracts and collaboration agreements</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures: <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical-Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> </li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination</li> </ul>	<p style="text-align: center;">C&amp;C Monitoring Team</p>	<p style="text-align: center;">December 2017</p>	<ul style="list-style-type: none"> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingssessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingssessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></li> <li>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	<p>Completed</p>
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	9	<ul style="list-style-type: none"> <li>✓ Annual Plan of social dissemination activities.</li> <li>✓ Participation in public administration programs of scientific dissemination to society.</li> <li>✓ Dissemination system through social networks</li> </ul>	<ul style="list-style-type: none"> <li>✓ Open policy to encourage participation of researchers at any level.</li> <li>✓ Polymat weekly seminar series (Every Friday)</li> <li>✓ Polymat day (Once a Year)</li> <li>✓ Innovation week participation</li> <li>✓ Pint Of Science Participation</li> </ul> <p>*These types of actions are key in the organization and will have an annual continuity.</p>	C&C Monitoring Team	2019	<ul style="list-style-type: none"> <li>✓ Polymat weekly seminar series Program <a href="http://www.polymat.eu/uploads/plan-accion/seminariospolymat2019.pdf">http://www.polymat.eu/uploads/plan-accion/seminariospolymat2019.pdf</a></li> <li>✓ Polymat day Event <a href="http://www.polymat.eu/uploads/plan-accion/polymatdayagenda2019.pdf">http://www.polymat.eu/uploads/plan-accion/polymatdayagenda2019.pdf</a> <a href="http://www.polymat.eu/en/news-event-details/112">http://www.polymat.eu/en/news-event-details/112</a> <a href="http://www.polymat.eu/en/news-event-details/142">http://www.polymat.eu/en/news-event-details/142</a> <a href="http://www.polymat.eu/en/news-event-details/161">http://www.polymat.eu/en/news-event-details/161</a></li> <li>✓ Innovation week Programme <a href="http://www.polymat.eu/en/news-event-details/140">http://www.polymat.eu/en/news-event-details/140</a> <a href="http://www.polymat.eu/en/news-event-details/108">http://www.polymat.eu/en/news-event-details/108</a></li> <li>✓ Pint Of Science Programme <a href="http://www.polymat.eu/en/news-event-details/43">http://www.polymat.eu/en/news-event-details/43</a> <a href="http://www.polymat.eu/en/news-event-details/96">http://www.polymat.eu/en/news-event-details/96</a> <a href="http://www.polymat.eu/en/news-event-details/175">http://www.polymat.eu/en/news-event-details/175</a></li> </ul>	Completed
10. Non discrimination							

<p>✓ Spanish Statute of Worker's rights.</p>	<p>1,2,3,5,6,7,8,10,23,31,34.</p>	<p>✓ Endorsement of C&amp;C (Commitment of Founding Partners)</p>	<p>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:</p> <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical-Grievance Channel.</li> <li>e/ Disciplinary regime.</li> </ul> <p>On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination</p>	<p>C&amp;C Monitoring Team</p>	<p>2017</p>	<p>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</p> <p>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor).</p> <p><a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></p> <p>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu)</p> <p><a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></p> <p>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</p> <p>✓ Compliance documents published on the intranet.</p> <p><a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></p> <p>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor).</p> <p><a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></p>	<p>Completed</p>
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11. Evaluation/ appraisal systems

	11	<ul style="list-style-type: none"> <li>✓ Continuous supervision working process</li> <li>✓ Management team and Group Leader role</li> </ul>	<ul style="list-style-type: none"> <li>✓ All the Group Leaders present their research and are evaluated annually by the Scientific Advisory Board.</li> <li>✓ All researchers are evaluated by their Group Leaders through meetings and participating in the POLYMAT Seminars</li> <li>✓ All researchers have a personal account in Polymat's scientific production e-tool (IFUNDANET) in order to register their scientific research (publications, books, invited lectures, patents, projects...) that is evaluated by their group leaders.</li> <li>✓ 2020 Specific training event for group leaders regarding management and coaching skills in order to reinforce the Group leader Role.</li> </ul>	C&C Monitoring Team	2020	<ul style="list-style-type: none"> <li>✓ Scientific Advisory Board Agendas (agendas available on request only for the assessor)</li> <li>✓ Polymat seminars programme <a href="http://www.polymat.eu/uploads/plan-accion/seminariospolymat2019.pdf">http://www.polymat.eu/uploads/plan-accion/seminariospolymat2019.pdf</a></li> <li>✓ Polymat's scientific production e-tool (IFUNDANET) <a href="http://www.polymat.eu/uploads/plan-accion/polymatifundanet.jpg">http://www.polymat.eu/uploads/plan-accion/polymatifundanet.jpg</a></li> </ul>	In Progress
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II. Recruitment

Relevant Legislation / Category C&C	C&C Principles	Existing Institutional rules and/or practices	Actions implemented & required	Responsible	Implementation Due date	Indicators/evidence	Status
<b>12. Recruitment</b>							
	12	✓ Endorsement of C&C (Commitment of Founding Partners) and Code of Conduct.	✓ POLYMAT OTM-R Policy implemented. Position Call ad will be generated for each selection process. They will include all the relevant data and requirements of the post and will be posted in different links (included Euraxess) and social networks.	C&C Monitoring Team	2018	✓ POLYMAT OTM-R Policy <a href="http://www.polymat.eu/uploads/plan-accion/Polymat-OTMR-Policy.pdf">http://www.polymat.eu/uploads/plan-accion/Polymat-OTMR-Policy.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/politicaotmrpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmrpolymat.pdf</a> ✓ Position Call fiches <a href="http://www.polymat.eu/uploads/plan-accion/phdfichetemplante.pdf">http://www.polymat.eu/uploads/plan-accion/phdfichetemplante.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/postdocfichetemplante.pdf">http://www.polymat.eu/uploads/plan-accion/postdocfichetemplante.pdf</a> <a href="http://ec.europa.eu/euraxess/index.cfm/jobs/index">http://ec.europa.eu/euraxess/index.cfm/jobs/index</a>	Completed
<b>13. Recruitment (Code)</b>							

	13	<ul style="list-style-type: none"> <li>✓ Recruitment process</li> <li>✓ Endorsement of C&amp;C and Code of Conduct (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ POLYMAT OTM-R in place</li> <li>✓ Existing database</li> </ul>	C&C Monitoring Team	2019	<ul style="list-style-type: none"> <li>✓ POLYMAT OTM-R in place</li> </ul> <p><a href="http://www.polymat.eu/uploads/plan-accion/polymatotmrpolicy.pdf">http://www.polymat.eu/uploads/plan-accion/polymatotmrpolicy.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/politicaotmrpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmrpolymat.pdf</a></p> <ul style="list-style-type: none"> <li>✓ Existing database. (Recruitment excel data distinguishing male and female candidates available on request only for the assessor).</li> </ul>	Completed
<b>14. Selection (Code)</b>							
	14	<ul style="list-style-type: none"> <li>✓ Recruitment process</li> <li>✓ Endorsement of C&amp;C and Code of Conduct (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ POLYMAT OTM-R Policy in place. The selection Committees has an adequate gender balance and at least will be formed by three members.</li> <li>✓ Polymat's welcome guide is sent by email to all the new foreign employees.</li> <li>✓ Once the selection is over, POLYMAT will contact the candidates selected and offer feedback.</li> </ul>	C&C Monitoring Team	2018	<ul style="list-style-type: none"> <li>✓ PhD Job offer fiche template <a href="http://www.polymat.eu/uploads/plan-accion/phdfichetemplante.pdf">http://www.polymat.eu/uploads/plan-accion/phdfichetemplante.pdf</a></li> <li>✓ Post-doc Job offer fiche template <a href="http://www.polymat.eu/uploads/plan-accion/postdocfichetemplante.pdf">http://www.polymat.eu/uploads/plan-accion/postdocfichetemplante.pdf</a></li> <li>✓ Selection Committee's Template Report <a href="http://www.polymat.eu/uploads/plan-accion/modeloinformeprocesodeseleccion.pdf">http://www.polymat.eu/uploads/plan-accion/modeloinformeprocesodeseleccion.pdf</a></li> </ul> <p><a href="http://www.polymat.eu/uploads/plan-accion/polymatotmrpolicy.pdf">http://www.polymat.eu/uploads/plan-accion/polymatotmrpolicy.pdf</a></p> <p><a href="http://www.polymat.eu/uploads/plan-accion/politicaotmrpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmrpolymat.pdf</a></p>	Completed
<b>15. Transparency (Code)</b>							

	15	<ul style="list-style-type: none"> <li>✓ Recruitment process</li> <li>✓ Endorsement of C&amp;C and Code of Conduct (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ POLYMAT OTM-R in place. The selection Committees has an adequate gender balance and at least will be formed by three members.</li> <li>✓ Polymat's welcome guide is sent by email to all the new foreign employees.</li> <li>✓ Once the selection is over, POLYMAT will contact the candidates selected and offer feedback.</li> <li>✓ POLYMAT OTM-R policy about selection processes to be communicated publicly</li> </ul>	C&C Monitoring Team	2020	<ul style="list-style-type: none"> <li>✓ PhD Job offer fiche template <a href="http://www.polymat.eu/uploads/plan-accion/phdfichetemplante.pdf">http://www.polymat.eu/uploads/plan-accion/phdfichetemplante.pdf</a></li> <li>✓ Post-doc Job offer fiche template <a href="http://www.polymat.eu/uploads/plan-accion/postdocfichetemplante.pdf">http://www.polymat.eu/uploads/plan-accion/postdocfichetemplante.pdf</a></li> <li>✓ Selection Committee's Template Report <a href="http://www.polymat.eu/uploads/plan-accion/modeloinformeprosodeseleccion.pdf">http://www.polymat.eu/uploads/plan-accion/modeloinformeprosodeseleccion.pdf</a></li> <li>✓ POLYMAT Welcome guide <a href="http://www.polymat.eu/uploads/plan-accion/welcomeguide.pdf">http://www.polymat.eu/uploads/plan-accion/welcomeguide.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf">http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf</a></li> </ul>	In Progress
<b>16. Judging merit (Code)</b>							
	16	<ul style="list-style-type: none"> <li>✓ Recruitment process</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ The selection Committee evaluates the whole range of experience of the candidates, their potential, creativity and level of independence.</li> <li>✓ POLYMAT OTM-R in place. The selection Committees has an adequate gender balance and at least will be formed by three members.</li> </ul>	C&C Monitoring Team	2018	<ul style="list-style-type: none"> <li>✓ Selection Committee's Template Report <a href="http://www.polymat.eu/uploads/plan-accion/selectioncommitteereport.pdf">http://www.polymat.eu/uploads/plan-accion/selectioncommitteereport.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf">http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf</a></li> </ul>	Completed
<b>18. Recognition of mobility experience (Code)</b>							

	18	<ul style="list-style-type: none"> <li>✓ Recruitment process</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ The selection Committee evaluates the whole range of experience of the candidates, mobility experience, their potential, creativity and level of independence.</li> <li>✓ POLYMAT OTM-R in place. The selection Committees has an adequate gender balance and at least will be formed by three members.</li> </ul>	C&C Monitoring Team	2018	<ul style="list-style-type: none"> <li>✓ Selection Committee's Template Report</li> <li><a href="http://www.polymat.eu/uploads/plan-accion/modeloinformeprosesoseleccion.pdf">http://www.polymat.eu/uploads/plan-accion/modeloinformeprosesoseleccion.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf">http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf</a></li> </ul>	Completed
<b>21. Postdoctoral appointments (Code)</b>							
	21	<ul style="list-style-type: none"> <li>✓ Recruitment process</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ POLYMAT OTM-R in place. The selection Committees has an adequate gender balance and at least will be formed by three members.</li> <li>✓ Position Call ad will be generated for each selection process. They will include all the relevant data and requirements of the post and will be posted in different links (included Euraxess) and social networks.</li> <li>✓ The selection Committee evaluates the whole range of experience of the candidates, their potential, creativity and level of independence</li> <li>✓ R2 Researchers have already responsibilities concerning PhD students, participation in European projects...In any case; Improvement of their skills can be developed.</li> <li>✓ 2020 Research career event to be shared with researchers regarding future career possibilities.</li> </ul>	C&C Monitoring Team	2020	<ul style="list-style-type: none"> <li>✓ Selection Committee's Template Report</li> <li><a href="http://www.polymat.eu/uploads/plan-accion/modeloinformeprosesoseleccion.pdf">http://www.polymat.eu/uploads/plan-accion/modeloinformeprosesoseleccion.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf">http://www.polymat.eu/uploads/plan-accion/polymatotmpolicy.pdf</a></li> <li><a href="http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf">http://www.polymat.eu/uploads/plan-accion/politicaotmpolymat.pdf</a></li> </ul>	In progress

III. Working conditions and social security

Relevant Legislation / Category C&C	C&C Principles	Existing Institutional rules and/or practices	Actions required	Responsible	Implementation Due date	Indicators/evidence	Status
<b>22. Recognition of the profession</b>							

<p>✓ Spanish Statute of Worker's rights.</p>	<p>22</p>	<p>✓ Endorsement of C&amp;C (Commitment of Founding Partners). ✓ Polymat's mission, vision</p>	<p>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organisation and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures: a/ Code of Ethics. b/ Acceptable use of IT resources policy. c/ Policy for Risk Management of Fraud, Bribery and Corruption. d/ Ethical- Grievance Channel. e/ Disciplinary regime. ✓ Training and Dissemination to the Staff June 2018. ✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination)</p>	<p>C&amp;C Monitoring Team</p>	<p>2017</p>	<p>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor). ✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a> ✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a> ✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor). ✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticio.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticio.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf</a> ✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></p>	<p>Completed</p>
<p>23. Research environment</p>							



<p>✓ Spanish Risk Prevention Law</p>		<p>✓ Polymat's mission, vision &amp; values</p> <p>✓ Annual Risk Prevention Plan</p> <p>✓ Risk lab audits</p> <p>✓ External specialized risk prevention advice (IMQ)</p> <p>✓ Facilities maintenance Plan</p> <p>✓ Polymat's mission, vision &amp; values</p>	<p>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:</p> <p>a/ Code of Ethics.</p> <p>b/ Acceptable use of IT resources policy.</p> <p>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</p> <p>d/ Ethical-Grievance Channel.</p> <p>e/ Disciplinary regime.</p> <p>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination</p>	<p>C&amp;C Monitoring Team</p>	<p>2017</p>	<p>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</p> <p>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingssessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingssessionsip2017.pdf</a></p> <p>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></p> <p>✓ In 2017, a Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</p> <p>✓ Compliance documents published on the intranet. <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmaceticico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a></p> <p>✓ March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model (Certificates signed available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></p>	<p>Completed</p>
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<p>✓ Spanish Statute of Worker's rights.</p>	<p>24</p>	<p>✓ Reduction working hours option due to child care. ✓ Permission days due to child or relatives illness. ✓ Option for leave.</p>	<p>✓ Gender Equality Committee created ✓ Conciliations measures analyzed ✓ 2020 Conciliations measures need to be approved and communicated to all staff</p>	<p>C&amp;C Monitoring Team Gender Equality Committee</p>	<p>2020</p>	<p>✓ Gender Equality meetings (Minutes report) (Minutes report available on request only for the assessor) ✓ List of conciliations measures <a href="http://www.polymat.eu/uploads/plan-accion/Anexo_Inventario_medidas_BK.pdf">http://www.polymat.eu/uploads/plan-accion/Anexo_Inventario_medidas_BK.pdf</a></p>	<p>In Progress</p>
<p><b>26. Funding and salaries</b></p>							

<ul style="list-style-type: none"> <li>✓ Spanish Science Law</li> <li>✓ Spanish Statute of Worker's rights.</li> <li>✓ University (UPV/EHU) and Ikerbasque salary regulation</li> </ul>	<p>26</p>	<ul style="list-style-type: none"> <li>✓ Internal guide on social security, health insurances and taxes.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Funding and salaries are regulated within the POLYMAT Corporate Compliance System. National existing legislation is applied.</li> <li>✓ Researchers of all career stages enjoy fair conditions of salaries with adequate and equitable social security provisions</li> <li>✓ Polymat salaries are adapted to the new legislation referred to Early Stage researchers.</li> </ul>	<p>C&amp;C Monitoring Team</p>	<p>2019</p>	<ul style="list-style-type: none"> <li>✓ " National funding legislation"  <a href="https://www.boe.es/buscar/pdf/2015/BOE-A-2015-11430-consolidado.pdf">https://www.boe.es/buscar/pdf/2015/BOE-A-2015-11430-consolidado.pdf</a></li> <li>✓ Researchers payslips (The payrolls are filed in our Enterprise Resource Planning (ERP)). The researchers can access to their payslips with their personal login through the ERP intranet.</li> <li>✓ POLYMAT Corporate Compliance System  <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud.briberyandcorruption.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	<p>Completed</p>
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	27	<ul style="list-style-type: none"> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ We have created "Emakiker" Grant for senior researchers</li> <li>✓ We have received Mutualia Gender Equality Award for the "Emakiker" Call 2018</li> <li>✓ We participate in a platform called ACADEME to promote women leadership.</li> <li>✓ A Gender Equality Committee was launched in December 2018, in order to address the Gender Equality Plan that it was planned in the POLYMAT 2018-2021 Strategic Plan.</li> <li>✓ Conciliation measures analyzed</li> <li>✓ 2020 Conciliations measures need to be approved and communicated to all staff</li>   <li>✓ At 2018 Polymat's day programme visiting female scientists was significantly increased.</li> <li>✓ Selection Committees from 2019 have an adequate gender balance and at least are formed by three members.</li> <li>✓ Promoted participation in an external photo contest to give visibility to women in science and technology. Women working in a scientific environment and a brief description of the technical tasks she/they usually perform.</li> <li>✓ Implement a knowledge transfer methodology by establishing a senior to Junior Women Mentoring.</li> <li>✓ Develop a Gender Equality Plan</li> </ul>	C&C Monitoring Team and Group Leaders	2020	<ul style="list-style-type: none"> <li>✓ "Emakiker" Grant for Women senior researchers (2018 and 2019) <a href="http://www.polymat.eu/en/news-event-details/147">http://www.polymat.eu/en/news-event-details/147</a> <a href="http://www.polymat.eu/en/news-event-details/164">http://www.polymat.eu/en/news-event-details/164</a></li> <li>✓ Mutualia Gender Equality Prize <a href="http://www.polymat.eu/en/news-event-details/159">http://www.polymat.eu/en/news-event-details/159</a></li> <li>✓ Minutes of Gender Equality Committee meetings  (Committee meeting minutes available on request only for the assessor)</li> <li>✓ 2018 Polymat Day's Event <a href="http://www.polymat.eu/en/news-event-details/161">http://www.polymat.eu/en/news-event-details/161</a> <a href="http://www.polymat.eu/uploads/plan-accion/polymatdayagenda2019.pdf">http://www.polymat.eu/uploads/plan-accion/polymatdayagenda2019.pdf</a></li> <li>✓ Gender Equality Analysis and Action Plan Proposal (Erantzunkinde) (Document available on request only for the assessor)</li> <li>✓ Conciliation Measures proposal <a href="http://www.polymat.eu/uploads/plan-accion/Anexo_Inventario_medidas_BK.pdf">http://www.polymat.eu/uploads/plan-accion/Anexo_Inventario_medidas_BK.pdf</a></li> <li>✓ External Company Photo Contest mailing <a href="http://www.polymat.eu/uploads/plan-accion/itelazpi.pdf">http://www.polymat.eu/uploads/plan-accion/itelazpi.pdf</a></li> </ul>	In Progress
28. Career development							

	28	<ul style="list-style-type: none"> <li>✓ Annual Training activities.</li> <li>✓ Group Leaders role as people developers.</li> <li>✓ Polymat's values relative to commitment in people development</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ Internal Training Ip Role as a leaders (May 2017)</li> <li>✓ R2 Researchers have already responsibilities concerning PhD students, participation in European projects...In any case; Improvement of their skills can be developed.</li> <li>✓ 2020 Research career event to be shared with researchers regarding future career possibilities.</li> <li>✓ 2020 Specific training for group leaders in order for them to acquire management and coaching skills in order to reinforce the Group leader Role.</li> </ul>	C&C Monitoring Team	2020	<ul style="list-style-type: none"> <li>✓ Training Courses</li> </ul>	In Progress
<b>29. Value of mobility</b>							
	29	<ul style="list-style-type: none"> <li>✓ Group Leader roll as a career developer.</li> <li>✓ Stays programs</li> <li>✓ Polymat's mission, vision &amp; values.</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ The Group leaders promote the M. Curie Rise participation in order to enhance mobility.</li> <li>✓ Stays Programs to Deakin University (Australia) have been developed</li> </ul>	C&C Monitoring Team	2019	<ul style="list-style-type: none"> <li>✓ International Cotutelle Thesis</li> <li>✓ M. Curie Rise Agreements</li> <li>✓ Deakin University Agreement</li> <li>✓ Agreement with Universidad Simon Bolívar</li> <li>✓ Agreement with Stellenbosch University (South Africa)</li> <li>✓ Agreement with University of Beijing (China)</li> <li>✓ Agreement with "Instituto de Desarrollo Tecnológico para la Industria Química (Universidad Nacional del Litoral and CONICET), Argentina</li> </ul> <p>(All the agreements are available on request only for the assessor).</p>	Completed
<b>30. Access to career advice</b>							
		<ul style="list-style-type: none"> <li>✓ Group Leaders role as Career developers and advisors.</li> <li>✓ Polymat's mission, vision &amp; values</li> </ul>	<ul style="list-style-type: none"> <li>✓ Internal communications process for Dissemination of job opportunities is established and it is promoted through internal emails*</li> <li>✓ POLYMAT also encouraged the researchers in order to participate at the REBECA mentoring program for researchers willing to explore professional alternatives with mentors working beyond academia</li> <li>✓ 2020 External training on Job search and selection processes focused to enterprises</li> <li>✓ 2019-2020 organize a Group at LinkedIn for POLYMAT Ex-Alumni.</li> <li>✓ 2019-2021 Invite Ex-alumni to POLYMAT in order to give a presentation.</li> </ul>	C&C Monitoring Team	2021	<ul style="list-style-type: none"> <li>✓ Internal emails communicating job opportunities (example) <a href="http://www.polymat.eu/uploads/plan-accion/Mails_empresas.pdf">http://www.polymat.eu/uploads/plan-accion/Mails_empresas.pdf</a></li> <li>✓ Email informing about the REBECA mentoring program <a href="http://www.polymat.eu/uploads/plan-accion/rebeca.pdf">http://www.polymat.eu/uploads/plan-accion/rebeca.pdf</a></li> </ul>	In Progress

31. Intellectual Property Rights							
<ul style="list-style-type: none"> <li>✓ Spanish Intellectual property Law</li> <li>✓ Spanish Data Protection Law (LOPD)</li> </ul>	31	<ul style="list-style-type: none"> <li>✓ Intellectual Property protection guideline.</li> <li>✓ Contract clauses</li> <li>✓ Collaboration agreements</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures:               <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ Ethical-Grievance Channel.</li> </ul> </li> <li>✓ e/ Disciplinary regime.</li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination</li> <li>✓ Training in general aspects such as IPR or writing scientific articles organized by the University.</li> </ul>	C&C Monitoring Team	2018	<ul style="list-style-type: none"> <li>✓ University IPR Training Courses <a href="https://www.ehu.es/es/web/enpresa/patenteak">https://www.ehu.es/es/web/enpresa/patenteak</a></li> <li>✓ December 2017 approved all documents by POLYMAT'S Board (Certificates signed available on request only for the assessor).</li> <li>✓ Training Sessions about HR Logo and Compliance given to all the Staff June 2018 (Registry Document signed by the Staff available on request only for the assessor). <a href="http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf">http://www.polymat.eu/uploads/plan-accion/trainingsessionsip2017.pdf</a></li> <li>✓ An Ethical-Grievance Channel created and published on the web site (canaletico@polymat.eu) <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ A Compliance Officer Appointed. (Certificates signed available on request only for the assessor).</li> <li>✓ Compliance documents published on the intranet <a href="http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf">http://www.polymat.eu/uploads/plan-accion/acceptableuseofitresources.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf">http://www.polymat.eu/uploads/plan-accion/codeofethics.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf">http://www.polymat.eu/uploads/plan-accion/crimerskassessmentreport.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf">http://www.polymat.eu/uploads/plan-accion/criminalriskpreventionmanual.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschanel.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf">http://www.polymat.eu/uploads/plan-accion/modelofirmacetico.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf">http://www.polymat.eu/uploads/plan-accion/policyforfraud,briberyandcorruption.pdf</a> <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> </ul>	Completed
33. Teaching							

	33	<ul style="list-style-type: none"> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> <li>✓ Polymat's mission, vision &amp; values</li> </ul>	<ul style="list-style-type: none"> <li>✓ More development on Scientific Internal training program opportunities</li> <li>✓ Periodically POLYMAT organizes training regarding "How to make presentations" that are tested in the weekly seminars.</li> <li>✓ Researchers are involved in Master Program teaching.</li> </ul>	C&C Monitoring Team	2019	<ul style="list-style-type: none"> <li>✓ Polymat weekly seminar series program <a href="http://www.polymat.eu/uploads/plan-accion/seminariospolymat2019.pdf">http://www.polymat.eu/uploads/plan-accion/seminariospolymat2019.pdf</a></li> <li>Polymat's day program <a href="http://www.polymat.eu/uploads/plan-accion/polymatdayagenda2018.pdf">http://www.polymat.eu/uploads/plan-accion/polymatdayagenda2018.pdf</a></li> <li>Master program teaching <a href="https://www.ehu.es/es/web/master/master-r-quimica-polimeros">https://www.ehu.es/es/web/master/master-r-quimica-polimeros</a></li> </ul>	Completed
<b>34. Complains/ appeals</b>							
✓ Spanish Risk Prevention Law related to psychosocial risks	34	<ul style="list-style-type: none"> <li>✓ Annual risk prevention plan</li> <li>✓ External advice risk prevention specialist (IMQ).</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ On 21 December 2017, the Board of Trustees unanimously agreed to approve the organization and management model - criminal risk prevention manual - designed and prepared for the entity in accordance with article 31 bis, which includes the following documentation, also unanimously approved, including the necessary control measures: <ul style="list-style-type: none"> <li>a/ Code of Ethics.</li> <li>b/ Acceptable use of IT resources policy.</li> <li>c/ Policy for Risk Management of Fraud, Bribery and Corruption.</li> <li>d/ <b>Ethical-Grievance Channel.</b></li> </ul> </li> <li>✓ e/ Disciplinary regime.</li> <li>✓ On March 21st 2019 the Board of Trustees unanimously approved the New Policies of Respect for People and adherence of suppliers to the POLYMAT Compliance model, also agreeing its implementation and dissemination</li> </ul>	C&C Monitoring Team	2018	<ul style="list-style-type: none"> <li>✓ Grievance and Solve Conflict procedure <a href="http://www.polymat.eu/uploads/plan-accion/ethicschannel.pdf">http://www.polymat.eu/uploads/plan-accion/ethicschannel.pdf</a></li> <li>✓ Ethical Channel created <a href="http://www.polymat.eu/en/ethical-channel">http://www.polymat.eu/en/ethical-channel</a></li> <li>✓ New Policies of Respect for People <a href="http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf">http://www.polymat.eu/uploads/plan-accion/policyonrespectforpeople.pdf</a></li> <li>✓ Risk Prevention Annual Plan <a href="http://www.polymat.eu/uploads/plan-accion/201904riskpreventionmemorianualberc.pdf">http://www.polymat.eu/uploads/plan-accion/201904riskpreventionmemorianualberc.pdf</a></li> </ul>	Completed
<b>35. Participation in decision-making bodies</b>							

		<ul style="list-style-type: none"> <li>✓ Group Leaders role as representatives of teams' needs.</li> <li>✓ Open door communication philosophy.</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ Formalized the internal communication process for general decisions regulated in the Corporate Compliance System documents: Ethical Code, Ethical Channel procedure.</li> <li>✓ 2018: C&amp;C Monitoring Team created (R1,R2,R3 y R4 represented within the committee)</li> <li>✓ 2019: Gender Equality Committee created (R1,R2,R3 y R4 represented within the committee)</li> <li>✓ 2019: HR Action Plan evaluation Focus Group organized: (R1,R2,R3 y R4 represented within the committee)</li> <li>✓ October 2019: Survey for Polymat researchers related to 40 C&amp;C principles</li> </ul>	C&C Monitoring Team	2019	<ul style="list-style-type: none"> <li>✓ Charter and Code Monitoring Team (Meeting minutes are available on request only for the assessor).</li> <li>✓ Focus Group meeting minutes regarding Polymat HRS4R execution plan. (Meeting minutes are available on request only for the assessor)</li> <li>✓ Survey Template for Polymat researchers related to 40 C&amp;C principles <a href="https://docs.google.com/forms/d/e/1FAIpQLScXq5sJPqgp1qxvxlNckDxlZnZnrFlaESBkAmo9Q_nwIBJ_hA/viewform?c=0&amp;w=1">https://docs.google.com/forms/d/e/1FAIpQLScXq5sJPqgp1qxvxlNckDxlZnZnrFlaESBkAmo9Q_nwIBJ_hA/viewform?c=0&amp;w=1</a></li> <li>✓ Gender Equality Committee (meeting minutes are available on request only for the assessor).</li> </ul>	In Progress
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IV. Training

Relevant Legislation / Category C&C	C&C Principles	Existing Institutional rules and/or practices	Actions required	Responsible	Implementation Due date	Indicators/evidence	Status
<b>37. Supervision and managerial duties</b>							
		<ul style="list-style-type: none"> <li>✓ Group Leader role related to Project management and careers developers</li> <li>✓ Polymat's mission, vision &amp; values</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> </ul>	<ul style="list-style-type: none"> <li>✓ In 2020 a training should be implemented for R2 researchers to acquire management and coaching skills.</li> <li>✓ 2020 Specific training for group leaders in order for them to acquire management and coaching skills in order to reinforce the Group leader Role.</li> </ul>	C&C Monitoring Team	2020	<ul style="list-style-type: none"> <li>✓ Training courses and Coaching sessions</li> </ul>	In Progress



39. Access to research training and continuous development							
		<ul style="list-style-type: none"> <li>✓ Group Leader role related to Project management and careers developers</li> <li>✓ Polymat's mission, Vision &amp; Values</li> <li>✓ Endorsement of C&amp;C (Commitment of Founding Partners).</li> <li>✓ Annual internal training and external training activities.</li> </ul>	<ul style="list-style-type: none"> <li>✓ Formalize and encourage internal training programs: Participation in weekly POLYMAT Seminar series.</li> <li>✓ 2020-2021 Push on Training program for transferable skills with other centers</li> <li>✓ In 2020 a training should be implemented for R2 researchers to acquire management and coaching skills.</li> <li>✓ 2020 Specific training for group leaders in order for them to acquire management and coaching skills in order to reinforce the Group leader Role.</li> </ul>	C&C Monitoring Team	2020	<ul style="list-style-type: none"> <li>✓ Training courses and Coaching Sessions</li> </ul>	In Progress

2.4.4. Calendar of actions (Summary).

Action	Description	C&C principles related	Responsible	Starting Date	Finishing Date	Top deadline
<b>Compliance Plan</b> <i>(Annexed 1)</i>	The 2015 Spanish criminal code reform establishes the elements that the compliance plan should incorporate to serve as means of corporate defence from certain crimes that can be committed by its directors or employees. This plan includes ethical and behaviour code and procedures and protocols. It is being developed by POLYMAT, and it affects some of the principles related mainly to ethical practices, intellectual property rights, risk prevention, legal working conditions and grievance.	1,2,3,5,6,7,8,10,22,23,31,34.	C&C Monitoring Team	May 2016	<b>2018</b>	
<b>Reinforce Communication Plan on specific subjects.</b>	<ul style="list-style-type: none"> <li>Reinforce information about public engagement activities</li> <li>Communication process and figure for job opportunities dissemination</li> <li>Reinforce communication on Intellectual Property Rights, collaboration agreements and confidentiality clauses.</li> <li>Formalize the internal communication process for general decisions.</li> </ul>	4,5,9,28,30,31,35.	C&C Monitoring Team	September 2016	<b>2018</b>	
<b>Formalize HR specific policies</b>	<ul style="list-style-type: none"> <li>Open policy to encourage participation on public engagement activities.</li> <li>Formalize mobility policies.</li> </ul>	9,29	C&C Monitoring Team	September 2016	<b>2018</b>	
<b>Reinforce the Group Leader role on strategic aspects</b>	<ul style="list-style-type: none"> <li>Group Leader role as career developer, advisor, representative of researcher's interest towards the Manager and Centre's Director.</li> </ul>	11,28,29,37,39	C&C Monitoring Team and Group Leaders	September 2016	<b>2020</b>	
<b>Reinforce Training Plan</b>	<ul style="list-style-type: none"> <li>External training on Job Search and selection processes.</li> <li>Promote more Scientific Internal training program</li> <li>Training program for transferable skills with other centres.</li> <li>"How to teach" training program.</li> <li>"Team management skills" for Group Leaders.</li> <li>"How to make presentations" and "How to teach training program"</li> <li>Push on Training program for transferable skills with other centres</li> </ul>	30,33,39	C&C Monitoring Team	September 2016	<b>2020</b>	
<b>Ex Alumni Project</b>	<ul style="list-style-type: none"> <li>Oriented to careers development</li> </ul>	30	C&C Monitoring Team	January 2017	<b>2021</b>	
<b>Conflict and grievance solving</b>	<ul style="list-style-type: none"> <li>Define specific procedures for grievance and conflict resolution.</li> </ul>	34	C&C Monitoring Team	September 2016	<b>2018</b>	
<b>OTM-R Policy</b>	<ul style="list-style-type: none"> <li>Reinforce the POLYMAT OTM-R Policy</li> <li>Communication to all Staff POLYMAT OTM-R Policy</li> <li>Research Career path to be shared with researchers (Workshop)</li> </ul>	12,13,14,15,16,18,21	C&C Monitoring Team	January 2018	<b>2020</b>	
<b>Gender Equality</b>	<ul style="list-style-type: none"> <li>Conciliation measures need to be approved and communicated to all staff</li> <li>Develop a Gender Equality Plan</li> <li>Implement a knowledge transfer methodology by establishing a Senior to Junior Women Mentoring</li> </ul>	24, 27	C&C Monitoring Team	January 2019	<b>2020</b>	

ANNEX 1: Compliance plan

Action	Description	Responsible	Starting Date	Finishing Date
<b>PHASE 1: START</b>				
1. Board Members agreement for the implementation of a Criminal Compliance Model	Board Members meet and assess the implementation of the Criminal Compliance Model. They agree the implementation of the Model in Polymat.	MT	May 2016	October 13 <sup>th</sup> 2016
2. Meeting with the management team of the company to start the implementation	The management team meets to talk about the Criminal Compliance Model and the steps to start with its implementation.	MT	June 2016	October 13 <sup>th</sup> 2016
<b>PHASE 2: DATA COLLECTION</b>				
3. Meeting with group leaders to set the organization's context.	Polymat's group leaders meet to define and establish the current context of the organization.	MT	September 2016	September 2016
4. Documental revision.	After collecting all the relevant documents for the implementation of the model, those documents are revised.	MT	October 2016	November 2016
5. Meeting with the management team and group leaders and head of departments to fulfill crime questionnaire.	Crime questionnaire is given to Polymat's managers and group leaders in order to fulfill it.	MT	January 2017	February 2017
6. Meeting with management team and group leaders to fulfill the questionnaire that analyzes the organization's processes.	Organization's processes are analyzed through a questionnaire given to Polymat's management team and group leaders.	MT	January 2017	February 2017
7. Questionnaire results analysis.	The questionnaires outcomes are analyzed in order to identify criminal risks and the organization monitoring process related to each risk.	MT	March 2017	March 2017
<b>PHASE 3: CRIMINAL RISK IDENTIFICATION AND RISK MAP CONFIGURATION</b>				
7. Meetings with management team, group leaders.	<ul style="list-style-type: none"> <li>Identify criminal risks derived from the actions of the decision-makers in the organization.</li> <li>Identify the areas related to people with capacity to act on behalf of the organization, to assess the legal risks related to acts of overreaching of faculties.</li> </ul>	MT	April 2017	April 2017
8. Collect and analyze the information.	<ul style="list-style-type: none"> <li>Identify in detail the assessed risks, taking as frame of reference the current criminal code, where it is detailed the classification of crimes to which physical and legal people are exposed.</li> <li>Identify, for each crime, the criminal mode in which the risk can be manifested.</li> <li>Prioritize the risks identified following the criteria of seriousness and probability of occurrence.</li> <li>Weigh risks based on homogeneous likelihood and impact scales.</li> </ul>	MT	April 2017	May 2017

	<ul style="list-style-type: none"> <li>Elaboration of the proposal of Polymat's Risk Map, as a tool that allows a simple and useful visualization of the exposure to Criminal Risk.</li> </ul>			
9. Individual work meetings with Polymat's managers to assess the Risk Map proposal.	In order to give voice to all employees at Polymat, individual meetings are arranged assessing the Risk Map proposal. All the comments are collected for a posterior analysis.	MT	June 2017	June 2017
10. Establish the conclusions of the Crime Risks identifications and Risk Map configuration in Polymat and its applicability.	Considering all the comments collected in the individual work meetings, conclusions of Crime Risks at Polymat are drawn. Thus, Polymat's Risk Map is defined and its applicability is agreed.	MT	July 2017	lp Meeting May 19 <sup>th</sup> 2017
<b>PHASE 4: ACTIONS BASED ON RISK MAP GAP ANALYSIS</b>				
11. Establish an Action Plan based on the weaknesses of the Risk Map and implement the actions.	<p>Risk Map analysis shows the weaknesses and actions are taken to reinforce those areas.</p> <p>The compliance plan actions will be established and developed according to the results shown on the risk map.</p> <p>The starting and finishing date of each action will depend on the definition of each action itself, once they are established.</p>	C&C MT	September 2017	<p>December 11th 2017</p> <p>lp meeting-training June 8<sup>th</sup> and June 22<sup>nd</sup> to all the Staff 2018</p>

- The Compliance plan is developed in collaboration with Sayma Consulting, one of the leading firms in providing legal and tax, auditing and consulting services. In this particular area, they are experts in Intellectual Property Law, Data Protection Law, Science Law, Worker's Rights, Risk Prevention Plans and Risk Audits.
- Polymat already works with processes and protocols established and has internal documentation developed regarding Criminal Risks, but the Compliance Audit and Plan is a must regarding the 2015 Spanish criminal code reform. This project will allow Polymat to audit and reassure the accomplishment of many of the C&C Principles (1, 2, 3, 4, 5, 6, 7, 8, 10, 11, 12, 13, 14, 15, 16, 18, 21, 22, 23, 24, 26, 31, 33, 34).