

HRS4R

Action Plan

April, 2019

TEMPLATE 4: ACTION PLAN

Case number: 2019ES383654

Name Organisation under review: Instituto de Investigación Sanitaria Puerta de Hierro – Segovia de Arana (IDIPHISA)

Organisation's contact details: Jesús Rey Jiménez - Scientific Coordinator. Email: jrey@idiphim.org, Office Telephone: +34911916364

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1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	52
Of whom are international (i.e. foreign nationality)	6
Of whom are externally funded (i.e. for whom the organisation is host organisation)	31
Of whom are women	38
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	9
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	28
Of whom are stage R1 = in most organisations corresponding with doctoral level	15
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	102
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	8.931.768,50 €
Annual organisational direct government funding (designated for research)	503.647,00 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	2.054.036,22 €
Annual funding from private, non-government sources, designated for research	6.374.085,28
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
The Puerta de Hierro – Segovia de Arana Health Research Institute (IDIPHISA) is conceived as a place for multidisciplinary and translational research aimed at basic research, clinical, epidemiological and health services to jointly address different scientific and research projects, making the most of both human and technical resources allocated to research, as well as promoting the raising of research funds. No teaching is provided by the Institute. And presently, the institute do not have funds for the stabilization or the development of a professional career for researchers. The activity developed within IDIPHISA is grouped around 5 major areas of research: • ONCOLOGY-HAEMATOLOGY • CARDIOVASCULAR, DIGESTIVE AND RHEUMATOLOGICAL BIOPATHOLOGY • SURGICAL RESEARCH, TRANSPLANTS AND HEALTH TECHNOLOGIES • NEUROSCIENCES AND SENSORY ORGANS • IMMUNOLOGY AND GENETICS	

2. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: <https://investigacionpuertadehierro.com/hrs4r-en-el-idiphsa/>

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

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. CREATE A FAVORABLE FRAMEWORK TO APPROVE THE COLLECTIVE AGREEMENT. The approval of the collective agreement depends on the negotiation with the Community of Madrid and does not depend entirely on the institute. We propose to create a favorable framework for the approval of this agreement.	24. Working conditions, 25. Stability and permanence of employment, 26. Funding and salaries	Q3 2019-Q4 2021	Management	• Performance of negotiation meetings for the collective agreement approval. • Informative sessions about the collective agreement to researchers.
2. UPDATE THE SELECTION AND CONTRACTING PROCEDURE AND ITS MANUAL. For this we propose to: i) Update the recruitment procedure including all the OTM-R and C&C criteria not previously included. ii) Define more detailed scales including those defined in the Charter and Code, such as the recognition of merits, which are not currently collected. iii) Include in the recruiting manual that, in an equal merit's situation, will be selected members of disadvantaged groups or candidates that return to research. iv) Improve the advertisement of job offers: Publish job offers in English in international scientific portals and in Euraxess extend the time limit of the call. v) Formalize the composition of Selection Committee, following OTM-R and C&C criteria, increasing diversity.	12. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code), 17. Variations in the chronological order of CVs (Code), 18. Recognition of	Q1 2020-Q4 2020	Human Resources Department	• Definition of IDIPHISA recruitment scales. • IDIPHISA. Selection scores performed • Revision of the manual's draft. • Management approval of the manual. • 100% of selection and contracting procedures follows new procedures • 100% of offers posted at

vi) Publish the resolution list of the call together with the score obtained by the candidates who pass to the interview phase together with a complaint's mechanism and fault rectification period.	mobility experience (Code), 20. Seniority (Code) 21. Postdoctoral appointments (Code)			international portals • 100% of lists of candidates with scores published
3. INCLUDE AN EVALUATION SYSTEM FOR RESEARCHERS FUNDED BY RESEARCH PROJECTs. Define an evaluation system for postdoctoral researchers at the end of the contract or annually, through an official certificate that can be presented to accreditation bodies (e.g. ANECA) and that mentions the tasks performed during their contract.	11. Evaluation/appraisal systems, 21. Postdoctoral appointments (Code), 26. Funding and salaries, 28. Career development	Q1 2022-Q2 2022	Human Resources Department	• Design of an evaluation template and design the procedure of delivering the certificate including the responsible unit of signing the certificates. • System approval • 100% of post doctorals certificates delivered.
4. STRENGTHEN THE EXTERNAL AND INTERNAL COMMUNICATION CHANNELS. For this we believe necessary to carry out the following sub actions: i) Update and implement the IDIPHISA's internal and external communication plan. ii) Assign a communication manager responsible for the implementation of the plan. iii) Promote interaction between groups through the organization of informal communication meetings (breakfasts, etc.).	9. Public engagement 23. Research environment 35. Participation in decision-making bodies	Q3 2021 Q4 2021	Quality Commission	• Designate the communication officer. • Update and disseminate the communication plan. • Communication

iv) Create a communication channel so that researchers can transmit their opinions to the board, for example through the research commission.				Manager assigned • Researchers and management meeting for choosing a communication channel among researchers and the patronage. • Activation of the communication channel. • At least 10 of internal communication events performed annually.
5. IMPROVE ACCESS TO TRAINING. To do this, it should: i) Prioritize training needs of researchers in technical and soft skills aspects Prepare an updated training plan and reinforce the seminar program, including workshops or courses. ii) Encourage access to continuing education. iii) Facilitate access to courses given in the Hospital and the University. Set agreements between the University and the IDIPHISA, for accepting the inscription of researchers in their courses.	39. Access to research training and continuous development	Q3 2019 -Q3 2021	Training Commission	• Results of the survey for identifying training needs. • Increase the number of trained researchers at least 20% annually. • Increase the number of trained researchers at the University least 10%.
6. ESTABLISH A CAREER DEVELOPMENT FRAMEWORK. This framework will be aligned with the definition of professional career provided	11. Evaluation/	Q1 2020- Q2 2020	Management / Human	• Meeting with the management to

by the Madrid's regional government. i) Defining and homogenizing the professional categories of the researchers and translating them into the professional categories of the European Union (in line with what is established in the Guide for the accreditation of Institutes of Health Research of IS Carlos III) ii) Defining and formalizing a professional career framework and a professional development strategy.	appraisal systems, 21. Postdoctoral appointments (Code), 26. Funding and salaries, 28. Career development 30. Access to career advice		Resources Department	discuss professional career options at IDIPHISA • New professional categories defined. • Design of a professional career framework. • Approval of the framework of professional career.
7. DESIGN A MAP OF PROFESSIONAL CAREER OPTIONS. Design a map of professional career options in research inside and outside IDIPHISA in collaboration with head hunters. The framework gives information on possible options for careers and funding in biomedical research within academia and/or industry. With at least two kind of information: a) Career view: the roles and routes displayed as illustrative and not exhaustive. b) Funding view: opportunities from national and international funders. Publish on line English and Spanish version. Presentation sessions and awareness raising workshops will be organized on the subject.	28. Career development	Q4 2019-Q1 2020	Management / Human Resources Department	• Map of the professional career options published. • At least 1 Workshop annually for the presentation of professional career options.
8. CREATE A PILOT MENTORING PROGRAM FOR R1 AND R2. Objectives are: i)To encourage young scientists to focus on reaching roles at senior levels in scientific organizations in front-line research, science policy, the private sector, management and leadership ii)To recognize what it takes to be a successful leader in science and the private sector	28. Career development	Q2 2020- Q3 2020	Training Commission	• Mentorship plan approved and published. • Number of associated mentors. • Number of

iii) To encourage greater pro-activity regarding career management iv) To help individuals who show potential, to seek support from senior team members and to learn what steps to take, to best advance their careers.					researchers mentored
9. UPDATE THE MANUAL OF GOOD PRACTICES IN RESEARCH: It should be understood as a collective self-regulation instrument, based in European standards https://ec.europa.eu/research/participants/data/ref/h2020/other/hi/h2020-ethics_code-of-conduct_en.pdf that will reinforce and complement the commitments and recommendations included in the internal regulations. It would gather questions such as: honesty, conflicts of interest, research protocols, team leadership, supervision of personnel in training, use of facilities, safekeeping of information and protection of results, authorship, safety and environment... The manual will be submitted for the approval of the governing council. Once the Manual of Good Practices in Research has been approved, presentation sessions and awareness raising workshops will be organized on the subject.	7. Good practice in research 32. Co-authorship 40. Supervision	Q1 2020-Q2-2020	Research Commission	• Manual approved and published. • At least 2 Workshops annually for the presentation of the manual performed.	
10. PREPARE A WELCOME MANUAL. This manual would complement the Researcher Guide. It will provide new employees with the necessary information to facilitate a proper and quick integration into the Institute work environment. It will include information on: i) Innovation policy at IDIPHISA including IP rights. ii) Link to the Researcher Guide iii) Advices of how dissemination actions should be done. iv) Participation of the researchers in governing bodies or committees v) Information about the different committees: ethics, quality etc.	5. Contractual and legal obligations 7. Good practice in research 8. Dissemination, exploitation of results 31. Intellectual Property Rights 35.	Q3 2019- Q4 2019	Innovation Commission	• Manual approved and published. • At least 2 Workshops annually for the presentation of the welcome manual to new comers.	

	Participation in decision-making bodies			
11. DRAFT AN EQUIPMENT ACQUISITION PROGRAM. i) Elaborate a catalogue including all the scientific and technological equipment available at IDIPHISA and could also include other available scientific services, outside the institute. ii) Identify and prioritize common needs for new equipment acquisitions.	23. Research environment	Q1 2023	Research Commission	• Make available equipment map. • Identify common needs and prioritize them according with the available Budget. • Publish the program
12. CREATE THE FIGURE OF THE OMBUDSPERSON OF THE RESEARCHER. Create the figure of the investigator's defender, either through a person or committee to resolve and mediate claims. Oriented to researchers in the initial phase, mainly PhD students to solve conflicts between the director and the doctoral student, checking that each one performs their corresponding functions.	34. Complains/appeals	Q1 2022 - Q2 2022	Research Commission	• Discuss and decide about the scope of the figure of researcher's ombudsmen. • Approval of the figure by the management. • Diffusion among researchers. • Number of cases attended
13. PROMOTE WORK-LIFE BALANCE. Elaborate the "Work conciliation Plan" with the following objectives: i) Achieve balance between work and family responsibilities, fostering flexible strategies in the organization of work that favor family and work conciliation. ii) Adapt the Institute to the changes that occur in society, relating to the family, social indicators, habits and customs. iii) Protect maternity and paternity, care of minor children and dependent persons, promoting the full integration of men and women with family	24. Working conditions	Q1 2023 - Q4 2023	Human Resources Department	• Approval by the management and publication. • Diffusion among researchers.

responsibilities in the organization. iv) Encourage access and maintenance of women to employment. These measures will be aligned with the collective agreement. Publish on line English and Spanish version.					
14. HRS4R KICK-OFF, AWARENESS AND FOLLOW-UP: An implementation working group will be appointed with the task of defining and overseeing most of the actions, made up of people in charge of each topic, representatives of the different specific areas and services, and R1 to R4 researchers. It will insist in the awareness to attain an increasing application of the C&C criteria in the research community and in everyday research practices, by organizing seminars, or briefings departments to influence the dissemination of the C&C key lessons to research staff. Training session on OTMR to HR personal will be held. Training session on C&C criteria to researchers and HHRR personal will also be held.	ALL	Q2 2019 - Q2 2024	Management	• WG constituted HRS4R • WG constituted OTMR • Number of attendants to seminars • Surveys to address the awareness	

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

(Free text, 100 words maximum)

IDIPHISA's goal is to develop and fulfil actions that will enable the institution to follow an OTM-R recruitment policy before the mid term evaluation.

The OTM-R checklist shows some criteria are not fully implemented:

- OTM-R policy is not completely in line with OTM-R UE Guideline, is not published online, neither in English version.
- Training in the area of OTM-R is needed
- Job advertisement has no links to all the elements foreseen in the toolkit and are not published in Euraxess.
- Rules governing the appointment of selection committees are incomplete, etc.

IDIPHISA will use the OTMR Toolkit for:

**Action 2. UPDATE THE SELECTION AND CONTRACTING PROCEDURE AND ITS MANUAL.
FOLLOW THE OTM-R GUIDELINE TO:**

- Review current OTM-R policy, practices and procedures:
- Update the Advertising and application phase
- Check the Evaluation and selection phase
- Review the Appointment phase

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL: no web.

3. Implementation

General overview of the expected implementation process:

(free text, 1000 words maximum)

The design of this plan has enabled the development of a model of governance, coordination mechanisms and monitoring tools that will accelerate the adoption of new policies and practices of human resources management in research which, in turn, will enable IDIPHISA to be in line with its European references.

For the above reasons, and regardless of the duration of the evaluation process to obtain the seal, the implementation of the plan will begin in the Q4 2019.

The implementation process will be performed through four different levels of responsibility:

1. Steering Committee on HRS4R (SC), lead by BELEN RIQUELME (IDIPHISA Manager) will be the maximum office and will oversee the implementation process on a regular basis. It will be composed by **RICARDO HERRANZ QUINTANA, Hospital Manager** and **MARIANO PROVENCIO PULLA, Scientific director**, responsible for coordinating the implementation and the follow-up of the HRS4R-derived measures, being diverse in gender area of research and professional profile. It will also communicate the advances to IDIPHISA's Consejo Rector.
2. Implementation Working Group (IWG), lead by JESÚS REY (IDIPHISA Head of Project Management) will be composed of 4-6 members of the Working Group and will invite other research and administrative staff members to participate. It will coordinate the deployment of the HRS4R Action Plan and will also control quality and follow up on indicators.
3. Implementation OTM-R Working Group (OTM-R IWG), lead by **BEGOÑA SAENZ DE TEJADA MADINA** (IDIPHISA Head of Human Resources) will be composed of Human Resources staff members responsible. It will coordinate the deployment of the specific OTM-R-related actions from the HRS4R Action Plan and will also control quality and follow up on indicators.
4. Technical Secretariat (TS), lead by Jesús Rey (IDIPHISA Head of Project Management) reporting to the Steering Committee will give support to the IWT and OTM-R IWG for the preparation of deliverables, and will support the SC to follow up on indicators. The TS will also be responsible for a dynamic workflow articulated during the plan: a cloud tool of easy access to information, regular meetings, ad-hoc subcommittees with key people for specific matters depending on the evolution of the process, quality control and international benchmark.

The commitment of IDIPHISA includes a budgetary allocation, aimed at hiring/designating specialized personnel for the Technical Secretariat to provide methodological support in the design and implementation of the actions.

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

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	free text 500 words maximum Once the different IWG and OTM-RIWG, members are chosen, a kick off meeting will be held with the TS to assess the different tasks needed for the fulfilment of the action plan. The IWGs will meet on a bi-monthly basis with the TS to report about the progress in the tasks defined and problems encountered. The TS will report and hold bi-monthly meetings with the Steering Committee. The SC will Report to the Board of Directors on a quarterly basis.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	free text 500 words maximum The research community (R1-R4) will be a part of the IWG. They will be involved in the design of the actions, the pilot deployment testing and the periodical surveys developed by the TS. Additionally, surveys (surveys to increase the awareness of the HRS4R criteria, to identify training needs, etc.) will be launched to the research community included in the current quality policy. Communication actions will be designed with the objective of raising awareness in the IDIPHISA community about the C&C and OTM-R criteria and, also, to report on progress in implementation. The communication actions will include updating of the web contents, creation of content for IDIPHISA's regular communications, etc.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	free text 500 words maximum IDIPHISA has already added a specific action on the current strategic plan to include the HRS4R and OTM-R commitment. The IWG will also be responsible for verifying that IDIPHISA policies regarding different areas are coherent with the HRS4R and the actions developed within the

	Action Plan.
How will you ensure that the proposed actions are implemented?	free text 500 words maximum The SC will alert from deviations of the timeline to the Consejo Rector, that will take the corresponding actions to add more resources to control the deviations of the original plan. Additionally, a quality control will performed be every two years by an external reviewer and international expert on HRS4R issues.
How will you monitor progress (timeline)?	free text 500 words maximum The monitoring and the follow-up of the plan will be continuous, being one of the main functions of the Technical Secretariat. IWG will hold bi-monthly meetings with the TS to review the development of the implementation of the tasks defined for the actions currently in progress.
How will you measure progress (indicators) in view of the next assessment?	free text 500 words maximum The previously detailed indicators will be included in IDIPHISA's scorecard and will be verified quarterly to find evidence of any deviation from the HRS4R or with organisational policies.

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)