

INTERNAL REVIEW

Case number: 2019ES383654

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

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1. Organisational Information

*Please provide an update of the 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 *	53
Of whom are international (i.e. foreign nationality) *	3
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	45
Of whom are women *	39
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 *	20
Of whom are stage R1 = in most organisations corresponding with doctoral level *	24
Total number of students (if relevant) *	
Total number of staff (including management, administrative, teaching and research staff) *	115

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	9.687.696,76 €
Annual organisational direct government funding (designated for research)	513.467,00 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	2.360.301,80 €
Annual funding from private, non-government sources, designated for research	6.813.927,96

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 foudns 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. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the four thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

ETHICAL AND PROFESSIONAL ASPECTS:

Some of the C&C principles are **fully implemented and considered as Strengths**:

- The manual of good practices in research has been updated and sent to the IDIPHISA Quality Commission for approval during the first half of 2021. Workshops for the presentation of the manual are expected to start in 2022.
- A first version of the welcome manual is awaiting approval by IDIPHISA management. Workshops for the presentation of the manual are expected to start in 2022.
- Innovation: In 2019, IDIPHISA obtained certification under the UNE 166002 standard, which defines the requirements to be complied with by an R&D&I management system. This certification has been updated annually in 2020 and 2021 through an external audit process. The UNE 166002 certification also covers the Innovation technical support Unit, giving it greater visibility both internally and externally. (<https://bit.ly/3DnmUcK>).
- IDIPHISA has implemented and published during the first half of 2021 a Protocol against workplace, sexual and gender-based harassment (<https://bit.ly/3kofqxb>) and an Equality Plan (<https://bit.ly/3BcrXuv>).
- Communication: Work is in progress to update IDIPHISA's communication plan with the aim of strengthening internal communication. The person in charge of IDIPHISA's communication plan has been defined.
- Security: IDIPHISA has externalized the figure of the Data Protection Officer (DPO) to a company specialized in providing Information Security services to comply with the General Data Protection Regulation (GDPR). This service, among other functions, sends a weekly newsletter on data protection and information security.
- Evaluation / appraisal systems:
 - In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force. The agreement includes the classification and organization of professional groups, categories and areas. It also regulates the remuneration system, setting the minimum salaries for each professional group and category. (<https://bit.ly/2Ws8mYh>)
 - Following the approval of the collective agreement, in Q2 of 2021, a working group has been formed by representatives of several biomedical research foundations of the Community of Madrid to define the Career Plan to be applied to researchers contracted by these foundations. The Career Plan will contemplate both vertical promotion (promotion to a higher category) and horizontal promotion (promotion within the same category). It is expected to be approved during 2022.

Some others C&C principles are **in process to be implemented and are considered as Weaknesses**:

- The “*establish a career development framework*” action has been redesigned, we are still working on it. The creation of working groups with representatives from different biomedical research foundations in the Community of Madrid will make it possible to define a more ambitious career development framework.

- The “*update the manual of good practices in research*” and “*prepare a welcome manual*” actions have not been completed in the time initially planned. Although it was programmed for this period, due to the COVID pandemic, the corresponding action suffered some delay. Preliminary drafts have been prepared for both actions, which must be approved by the corresponding committees.

Remarks (max 500 words)

Actions for awareness and communication to publicize the regulations, initiatives, guidelines and other actions developed, were planned for 4Q 2021 – 1Q 2022, among them:

- Seminars for researchers to present the manual of good practices in research and welcome manual.
- Launch a short online survey to assess the level of knowledge of the research community about HRS4R
- Launching of a quarterly newsletter to reinforce communication actions
- Make information about HRS4R more accessible. Following the analysis carried out in the update of the communication plan, it has been concluded that there is a lot of supporting documentation that is aligned with the C&C principles but is unknown to a large part of the researchers. For this reason, from Q2 of 2021 we will work on creating an exclusive HRS4R web space within the IDIPHISA website to give visibility to all this documentation.

The COVID-19 pandemic has been a global health emergency and has had a major impact on health institutions as their staff has been overwhelmed by the increase in admissions and emergency cases. Many of the R&D projects have been affected and have had to request additional 6-month extensions from their funding agencies due to the strict lockdown that took place in Spain during Q2 2020. As a consequence, strategic plans have been affected as new actions have had to be prioritized to ensure the correct functioning of the institutions.

In addition, IDIPHISA is immersed in an internal organizational change as a consequence of the departure of the previous director of the Foundation in 2020. A new director was appointed in September 2020 but left her position in Q2 of 2021. A process is currently open for the recruitment of a new director in Q3 2021 to manage the current IDIPHISA Strategic Plan.

RECRUITMENT AND SELECTION:

Some of the C&C principles are **fully implemented and considered as Strengths**:

IDIPHISA's recruitment procedure has been updated to align it with the new Collective Agreement for Biomedical Research Foundations that came into force in the Community of Madrid in 2021 and with the Equality Plan. These new procedures provide:

- Evaluation criteria and assessment methods are defined.
- The recruitment of researchers belonging to disadvantaged groups (minorities) is facilitated, according to the present national legislation.
- All information concerning calls and every step of selection process managed by IDIPHISA is centralized at IDIPHISA website adapted to Spanish Transparency framework (<https://bit.ly/3Be3JQG>)
- In general terms, the announcements for R1 and R2 positions provide a description of the qualifications and competences required and the career opportunities.

Implementation of an employee portal (<https://bit.ly/3yilpXS>) so that contracted researchers can carry out their employment procedures electronically:

- i) Wages consult
- ii) Consult and request for leave and holidays
- iii) Notification of sick leave
- iv) Access to the directory of contracted researchers.
- v) Access to employment contract documentation

Implementation of a HR management module within IDIPHISA's ERP system. The HR module will include the following functionalities:

- i) Management of labour contracts
- ii) Management of leaves and absences
- iii) Management of labour agreements
- iv) Management of labour categories

The integration of these functionalities within the ERP will allow the implementation of the new professional categories defined in the new Collective Agreement.

Some others C&C principles are in process to be implemented and are considered as **Weakness**:

- In general legislation and budget restrictions involve that the postdoctoral phase remains long time, by using different types of contracts.
- All announcements including information concerning the selection process, selection criteria, number of positions should be published in Euraxess.
- All processes should be published, at the end of the procedure, the results obtained by each candidate. The detailed scoring should be published too.
- The information should be provided in Spanish and English.

Remarks (max 500 words)

In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force. The agreement includes the classification and organization of professional groups, categories and areas, as well as an explicit regulation of the rights and duties of all employees of these foundations and their health and safety conditions at work. It also regulates the working day, leave and leave of absence and the remuneration system, setting the minimum salaries for each professional group and category. For this reason, the changes introduced by the new collective agreement have been prioritized when updating the collective agreement procedure.

The COVID-19 pandemic has been a global health emergency and has had a major impact on health institutions as their staff has been overwhelmed by the increase in admissions and emergency cases. Many of the R&D projects have been affected and have had to request additional 6-month extensions from their funding agencies due to the strict lockdown that took place in Spain during Q2 2020. As a consequence, strategic plans have been affected as new actions have had to be prioritized to ensure the correct functioning of the institutions.

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WORKING CONDITIONS:

Some of the C&C principles are **fully implemented and considered as Strengths**:

- In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force (<https://bit.ly/2Ws8mYh>). The agreement includes
 - the classification and organization of professional groups, categories and areas, setting the minimum salaries for each professional group and category.
 - Regulation of the working day, leave and leave of absence
- In Q2 of 2021, a working group has been formed by representatives of several biomedical research foundations of the Community of Madrid to define the Career Plan to be applied to researchers contracted by these foundations. The Career Plan will contemplate both vertical promotion (promotion to a higher category) and horizontal promotion (promotion within the same category). It is expected to be approved during 2022.
- The IDIPHISA publishes on its website and disseminates to its researchers the latest versions of the "Researcher career path in Spain at a glance!" with European, national and regional opportunities for researchers (<https://bit.ly/3DjSyHL>). This is a complete and updated diagram of the different stages of the research career, which identifies the different grants that researchers can apply for at any given time. In addition, the document contains links to further information on each of the calls for applications. The reference to this document is included in the welcome manual and is disseminated in the different seminars for the presentation of calls for proposals that take place within IDIPHISA.
- IDIPHISA has developed and published in 2021 an Equality and Diversity Plan (<https://bit.ly/3BcrXuv>). One of the measures of this Plan is to promote initiatives that facilitate the compatibility of working time with personal and family life. The plan contains a total of 7 main objectives, 13 secondary objectives and 46 measures to be implemented. To date, 70% of the identified measures have been implemented
- Although no formal procedure has been developed to regulate teleworking within IDIPHISA, the Royal Decree-Law 8/2020 of 17 March on extraordinary urgent measures to address the economic and social impact of COVID-19, in its article 5 (preferential nature of remote working), allowed researchers to telework during Q1 and Q2 of 2020. This exceptional procedure has been maintained for those researchers who have required it for COVID-19 related issues.

Some others C&C principles are in process to be implemented and are considered as **Weaknesses**:

- The "*create a pilot mentoring program for R1 and R2*" action could not be implemented during 2020 and is expected to resume such action during 2022.
- The "*update the manual of good practices in research*" and "*prepare a welcome manual*" actions have not been completed in the time initially planned. Preliminary drafts have been prepared for both actions, which must be approved by the corresponding committees.

Remarks (max 500 words)

IDIPHISA has developed and published in 2021 an Equality and Diversity Plan (<https://bit.ly/3BcrXuv>). A timetable has been established for the following initiatives:

- Set a flexible time interval for entry and exit of work. (Completed)
- Ensure that individuals who take advantage of any of the rights related to work-life balance do not have their career development and promotion opportunities curtailed. (Completed)
- Study measures to facilitate work-life balance for management groups and the management team so that availability does not represent an obstacle to promotion, such as digital disconnection and a range of meeting times. (Completed)
- Eliminate as far as possible the extension of the normal working day. (Completed)
- Facilitate the adaptation of the working day without having to request a reduction in the working day for those who have dependents. (Completed)
- Establish a policy on meetings, including, among other measures, holding them during working hours and calling them sufficiently in advance. (Completed)
- Use new information technologies whenever possible to information technologies should be used whenever possible in order to avoid continuous travel or commuting, so that both men and women can reconcile their work and family life. (In Progress)

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TRAINING AND DEVELOPMENT:

Some of the C&C principles are **fully implemented and considered as Strengths**:

- During 2020 and 2021, the courses offered by IDIPHISA have been maintained and mechanisms have been set up to enable them to be taken online.
- In 2021 the management of IDIPHISA courses began to be carried out through the tool that manages the courses of the staff of the Puerta de Hierro University Hospital. This enables more efficient management of these courses and access to a more extensive catalogue of courses.
- The manual of good practices in research has been updated and sent to the IDIPHISA Quality Commission for approval. Workshops for the presentation of the manual are expected to start in 2022.

Some others C&C principles are in process to be implemented and are considered as **Weaknesses**:

- Training: Researchers consider the training offered by the IDIPHISA insufficient
- Supervision: Researchers are not familiar with this principle, and demand a formal description of the supervisor's duties

Remarks (max 500 words)

The COVID-19 pandemic has been a global health emergency and has had a major impact on health institutions as their staff has been overwhelmed by the increase in admissions and emergency cases. Many of the R&D projects have been affected and have had to request additional 6-month extensions from their funding agencies due to the strict lockdown that took place in Spain during Q2 2020. As a consequence, strategic plans have been affected as new actions have had to be prioritized to ensure the correct functioning of the institutions.

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Have any of the priorities for the short and medium term changed? (max 500 words)

The approval of the new collective agreement in 2020 and its application in January 2021 has required the relocation of all contracted research staff to the new professional categories defined in the agreement. This has required a negotiation process between IDIPHISA and the researchers, which ended in Q2 of 2021 with the official communication to the researchers of their new categories. This process has required the implementation of new tools that allow better management of staff contracts. To this end, two new actions have been defined:

- Design and implementation of the new employee portal. It allows IDIPHISA researchers to have online access to their salaries, permissions, contracts, ...
- Implementation of a new HR management tool. It allows a better control of the current personnel contracts.

This laborious process has meant that some of the C&C and OTM-R recommendations that were scheduled to be covered during 2020 have had to be postponed.

Have any of the circumstances in which your organization operates changed and as such have had an impact on your HR strategy? (max 500 words)

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Are any strategic decisions under way that may influence the action plan? (max 500 words)

A process is currently open for the recruitment of a new director in Q3 2021 to manage the current IDIPHISA Strategic Plan.

3. Actions

Please consult the list of all actions you have submitted as part of your HR Strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also select new objectives.

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicators /Target(s)	Current Status	Remarks
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.	COMPLETED	In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force (https://bit.ly/2Ws8mYh). The agreement includes the classification and organization of professional groups, categories and areas, as well as an explicit regulation of the rights and duties of all employees of these foundations and their health and safety conditions at work. It also regulates the working day, leave and leave of absence and the remuneration system, setting the minimum salaries for each professional group and category.
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	12. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code), 17. Variations in the	Q1 2020-Q4 2022	Human Resources Department	- Definition of IDIPHISA recruitment scales. - IDIPHISA. Selection scores performed - Revision of the manual's draft. - Management approval of the manual.	EXTENDED	- IDIPHISA's recruitment procedure has been updated to align it with the new Collective Agreement for Biomedical Research Foundations that came into force in the Community of Madrid in 2021 and with the Equality Plan. The rest of the C&C criteria are scheduled to be implemented during 2022. - Implementation of an employee portal (https://bit.ly/3yilpXS) so

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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. 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.	chronological order of CVs (Code), 18. Recognition of mobility experience (Code), 20. Seniority (Code) 21. Postdoctoral appointments (Code)			100% of selection and contracting procedures follows new procedures 100% of offers posted at international portals 100% of lists of candidates with scores published		that contracted researchers can carry out their employment procedures electronically: i) Wages consult ii) Consult and request for leave and holidays iii) Notification of sick leave iv) Access to the directory of contracted researchers. v) Access to employment contract documentation - Implementation of a HR management module within IDIPHISA's ERP system. The HR module will include the following functionalities: i) Management of labour contracts ii) Management of leaves and absences iii) Management of labour agreements iv) Management of labour categories The integration of these functionalities within the ERP will allow the implementation of the new professional categories defined in the new labour agreement.
3. INCLUDE AN EVALUATION SYSTEM FOR RESEARCHERS FUNDED BY RESEARCH	11. Evaluation/appraisal systems, 21.	Q1 2022- Q2 2022	Human Resources Department	Design of an evaluation template and design the procedure of	IN PROGRESS	In Q2 of 2021, a working group has been formed by representatives of several biomedical research foundations of the Community of

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicators /Target(s)	Current Status	Remarks
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.	Postdoctoral appointments (Code), 26. Funding and salaries, 28. Career development			delivering the certificate including the responsible unit of signing the certificates. • System approval • 100% of post doctorals certificates delivered.		Madrid to define the Career Plan to be applied to researchers contracted by these foundations. The Career Plan will contemplate both vertical promotion (promotion to a higher category) and horizontal promotion (promotion within the same category). It is expected to be approved during 2022.
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.). iv) Create a communication channel so that researchers can transmit their opinions to the board, for example through the research commission.	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 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.	IN PROGRESS	Work is in progress to update IDIPHISA's communication plan with the aim of strengthening internal communication. The person in charge of IDIPHISA's communication plan has been defined.
5. IMPROVE ACCESS TO TRAINING.	39. Access to research	Q3 2019 - Q3 2021	Training Commission	• Results of the survey for	IN	During 2020 and 2021, the courses

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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.	training and continuous development			identifying training needs. • Increase the number of trained researchers at least 20% annually. • Increase the number of trained researchers at the University least 10%.	PROGRESS	offered by IDIPHISA have been maintained and mechanisms have been set up to enable them to be taken online. In 2021 the management of IDIPHISA courses began to be carried out through the tool that manages the courses of the staff of the Puerta de Hierro University Hospital. This enables more efficient management of these courses and access to a more extensive catalogue of courses.
6. ESTABLISH A CAREER DEVELOPMENT FRAMEWORK. This framework will be aligned with the definition of professional career provided 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	11. Evaluation/appraisal systems, 21. Postdoctoral appointments (Code), 26. Funding and salaries, 28. Career development 30. Access to career advice	Q1 2020-Q4 2022	Management / Human Resources Department	• Meeting with the management to discuss professional career options at IDIPHISA • New professional categories defined. • Design of a professional career framework. • Approval of the framework of professional career.	EXTENDED	In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force. The agreement includes the classification and organization of professional groups, categories and areas. It also regulates the remuneration system, setting the minimum salaries for each professional group and category. In Q2 of 2021, a working group has been formed by representatives of several biomedical research foundations of the Community of Madrid to define the Career Plan to be applied to researchers contracted by these foundations. The Career

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formalizing a professional career framework and a professional development strategy.						Plan will contemplate both vertical promotion (promotion to a higher category) and horizontal promotion (promotion within the same category). It is expected to be approved during 2022.
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.	COMPLETED	The IDIPHISA publishes on its website and disseminates to its researchers the latest versions of the "Researcher career path in Spain at a glance!" with European, national and regional opportunities for researchers (https://bit.ly/3DjSyHL). This is a complete and updated diagram of the different stages of the research career, which identifies the different grants that researchers can apply for at any given time. In addition, the document contains links to further information on each of the calls for applications. The reference to this document is included in the welcome manual and is disseminated in the different seminars for the presentation of calls for proposals that take place within IDIPHISA.
8. CREATE A PILOT MENTORING PROGRAM FOR R1 AND R2.	28. Career development	Q2 2022-Q3 2022	Training Commission	Mentorship plan approved and published.	EXTENDED	This action could not be implemented during 2020 as initially planned for the following reasons:

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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 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.				- Number of associated mentors. - Number of researchers mentored		- The COVID-19 pandemic has been a global health emergency and has had a major impact on health institutions as their staff has been overwhelmed by the increase in admissions and emergency cases - A process is currently open for the recruitment of a new director in Q3 2021 to manage the current IDIPHISA Strategic Plan. It is expected to resume such action during 2022.
9. UPDATE THE MANUAL OF GOOD PRACTICES IN RESEARCH: It should be understood as a collective self-regulation instrument, based in European standards 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	7. Good practice in research 32. Co-authorship 40. Supervision	Q1 2020- Q1-2022	Research Commission	- Manual approved and published. - At least 2 Workshops annually for the presentation of the manual performed.	EXTENDED	The manual of good practices in research has been updated and sent to the IDIPHISA Quality Commission for approval. Workshops for the presentation of the manual are expected to start in 2022.

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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.						
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:	5. Contractual and legal obligations 7. Good practice in research 8. Dissemination, exploitation of results 31. Intellectual Property Rights 35. Participation in decision-making bodies	Q3 2019-Q1 2022	Innovation Commission	- Manual approved and published. - At least 2 Workshops annually for the presentation of the welcome manual to new comers.	EXTENDED	A first version of the welcome manual is awaiting approval by IDIPHISA management. Workshops for the presentation of the manual are expected to start in 2022.

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicators /Target(s)	Current Status	Remarks
ethics, quality etc.						
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	IN PROGRESS	We are working on the elaboration of a prioritized list of common equipment and infrastructure needs.
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. Complaints/ 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	IN PROGRESS	The action is planned for 2022. However, work is already in progress on defining the roles and obligations of the figure of the investigator's defender
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	24. Working conditions	Q1 2023 - Q4 2023	Human Resources Department	• Approval by the management and publication. • Diffusion among researchers.	IN PROGRESS	IDIPHISA has developed and published in 2021 an Equality and Diversity Plan (https://bit.ly/3BcrXuv). One of the measures of this Plan is to promote measures that facilitate the compatibility of working time with personal and family life. A timetable has been established for the following initiatives: • Set a flexible time interval for entry and exit of work. (Completed)

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicators /Target(s)	Current Status	Remarks
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 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.						• Ensure that individuals who take advantage of any of the rights related to work-life balance do not have their career development and promotion opportunities curtailed. (Completed) • Study measures to facilitate work-life balance for management groups and the management team so that availability does not represent an obstacle to promotion, such as digital disconnection and a range of meeting times. (Completed) • Eliminate as far as possible the extension of the normal working day. (Completed) • Facilitate the adaptation of the working day without having to request a reduction in the working day for those who have dependents. (Completed) • Establish a policy on meetings, including, among other measures, holding them during working hours and calling them sufficiently in advance. (Completed) • Use new information technologies whenever possible to information technologies should be used whenever possible in order to avoid continuous travel or commuting, so that both men and women can reconcile their work and family life. (In Progress) Although no formal procedure has been developed to regulate teleworking within IDIPHISA, the Royal Decree-Law 8/2020 of 17 March on extraordinary urgent measures to address the economic and social impact of COVID-19, in its article 5 (preferential nature of remote working), allowed researchers to telework during Q1 and Q2 of 2020. This exceptional procedure has been

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicators /Target(s)	Current Status	Remarks
						maintained for those researchers who have required it for COVID-19 related issues.
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 HRS4R constituted - WG OTMR constituted - Number of attendants to seminars - Surveys to address the awareness	IN PROGRESS	New surveys are planned for 2022 to review the degree of awareness of the actions implemented.
15. MAKE INFORMATION MORE ACCESIBLE. An entry will be created at the IDIPHISA's Website, providing links for searching information customized	5. Contractual and legal obligations 7. Good practice in research 9. Public engagement 11, Evaluation	Q4 2021 Q2 2022	Human Resources Department	New web page with information organized	NEW	Work on the new portal will begin in Q4 2021.

Proposed ACTIONS	GAP Principle(s)	Timing	Responsible Unit	Indicators /Target(s)	Current Status	Remarks
by R profile. In this way, access to the services of interest to researchers will be facilitated according to their professional profile. Actively promote the knowledge about the website: Announcement in the general IDIPHISA website, include in welcome pack, workshops if appropriate	25. Stability and permanence of employment 26. funding and salaries 28 Career development 30. Access to career advice 31. Intellectual property rights					

Note: Add as many actions are needed.

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website. Please provide the link to the dedicated webpage(s) on your organisation's web site *:

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

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles

In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force. The agreement includes the classification and organization of professional groups, categories and areas, as well as an explicit regulation of the rights and duties of all employees of these foundations and their health and safety conditions at work. It also regulates the working day, leave and leave of absence and the remuneration system, setting the minimum salaries for each professional group and category. For this reason, the changes introduced by the new collective agreement have been prioritized when updating the collective agreement procedure.

IDIPHISA's recruitment procedure has been updated to align it with the new Collective Agreement for Biomedical Research Foundations that came into force in the Community of Madrid in 2021 and with the Equality Plan. These new procedures provide:

- Evaluation criteria and assessment methods are defined.
- The recruitment of researchers belonging to disadvantaged groups (minorities) is facilitated, according to the present national legislation.
- All information concerning calls and every step of selection process managed by IDIPHISA is centralized at IDIPHISA website adapted to Spanish Transparency framework (<https://bit.ly/3Be3JQG>)
- In general terms, the announcements for R1 and R2 positions provide a description of the qualifications and competences required and the career opportunities.

The COVID-19 pandemic has been a global health emergency and has had a major impact on health institutions as their staff has been overwhelmed by the increase in admissions and emergency cases. Many of the R&D projects have been affected and have had to request additional 6-month extensions from their funding agencies due to the strict lockdown that took place in Spain during Q2 2020. As a consequence, strategic plans have been affected as new actions have had to be prioritized to ensure the correct functioning of the institutions.

In addition, IDIPHISA is immersed in an internal organizational change as a consequence of the departure of the previous director of the Foundation in 2020. A new director was appointed in September 2020 but left her position in Q2 of 2021. A process is currently open for the recruitment of a new director in Q3 2021 to manage the current IDIPHISA Strategic Plan.

IDIPHISA's goal is to develop and fulfil actions that will enable the institution to follow an OTM-R recruitment policy, which includes the requirements covered in the Checklist, before the end of the implementation phase (Q2 2024).

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL: no web

4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

During the initial two years of the implementation phase, there have been several changes in IDIPHISA's management board that have affected the composition of the Steering Committee:

- Julio García Pondal is the new manager of the hospital since November 2020, position he has held on an interim position since September 2019.
- The director of the FIBHUPHM resigned in August 2020. Although a new director was recruited in September 2020, she also resigned in March 2021. The position of director of the FIB is currently vacant although a recruitment process is ongoing. It is expected that the vacancy will be covered on September 2021. That is why the Steering Committee (SC) is led by the FIBHUPHM Patronage President, Javier Cortés Urbán.

In addition to this, The COVID-19 pandemic has been a global health emergency and has had a major impact on health institutions as their staff has been overwhelmed by the increase in admissions and emergency cases. Many of the R&D projects have been affected and have had to request additional 6-month extensions from their funding agencies due to the strict lockdown that took place in Spain during Q2 2020. As a consequence, strategic plans have been affected as new actions have had to be prioritized to ensure the correct functioning of the institutions.

With all these problems, IDIPHISA has tried, as far as possible, to maintain the initial action plan and implement the actions that were defined. The following are the main measures that have been implemented in these two years:

- The manual of good practices in research has been updated and sent to the IDIPHISA Quality Commission for approval during the first half of 2021. Workshops for the presentation of the manual are expected to start in 2022.
- A first version of the welcome manual is awaiting approval by IDIPHISA management. Workshops for the presentation of the manual are expected to start in 2022.
- IDIPHISA has implemented and published during the first half of 2021 a Protocol against workplace, sexual and gender-based harassment (<https://bit.ly/3kofqxb>) and an Equality Plan (<https://bit.ly/3BcrXuv>)
- Work is in progress to update IDIPHISA's communication plan with the aim of strengthening internal communication. The person in charge of IDIPHISA's communication plan has been defined.
- IDIPHISA has externalized the figure of the Data Protection Officer (DPO) to a company specialized in providing Information Security services to comply with the General Data Protection Regulation (GDPR). This service, among other functions, sends a weekly newsletter on data protection and information security.
- In January 2021, the collective agreement for the Group of Companies of the Biomedical Research Foundations of the Health Institutions attached to the Madrid Health Service came into force. The agreement includes the classification and organization of professional groups, categories and areas. It also regulates the remuneration system, setting the minimum salaries for each professional group and category. (<https://bit.ly/2Ws8mYh>).
- Following the approval of the collective agreement, in Q2 of 2021, a working group has been formed by representatives of several biomedical research foundations of the Community of Madrid to define the Career Plan to be applied to researchers contracted by these foundations. The Career Plan will contemplate both vertical promotion (promotion to a higher category) and horizontal promotion (promotion within the same category). It is expected to be approved during 2022.
- IDIPHISA's recruitment procedure has been updated to align it with the new Collective Agreement and with the Equality Plan.
- Implementation of an employee portal (<https://bit.ly/3yjlpXS>) so that contracted researchers can carry out their employment procedures electronically:
 - Wages consult

- Consult and request for leave and holidays
 - Notification of sick leave
 - Access to the directory of contracted researchers.
 - Access to employment contract documentation
- Implementation of a HR management module within IDIPHISA's ERP system. The HR module will include the following functionalities:
 - Management of labour contracts
 - Management of leaves and absences
 - Management of labour agreements
 - Management of labour categories
 - The IDIPHISA publishes on its website and disseminates to its researchers the latest versions of the "Researcher career path in Spain at a glance!" with European, national and regional opportunities for researchers (<https://bit.ly/3DjSyHL>). This is a complete and updated diagram of the different stages of the research career, which identifies the different grants that researchers can apply for at any given time. In addition, the document contains links to further information on each of the calls for applications. The reference to this document is included in the welcome manual and is disseminated in the different seminars for the presentation of calls for proposals that take place within IDIPHISA.
 - Although no formal procedure has been developed to regulate teleworking within IDIPHISA, the Royal Decree-Law 8/2020 of 17 March on extraordinary urgent measures to address the economic and social impact of COVID-19, in its article 5 (preferential nature of remote working), allowed researchers to telework during Q1 and Q2 of 2020. This exceptional procedure has been maintained for those researchers who have required it for COVID-19 related issues.
 - During 2020 and 2021, the courses offered by IDIPHISA have been maintained and mechanisms have been set up to enable them to be taken online.
 - In 2021 the management of IDIPHISA courses began to be carried out through the tool that manages the courses of the staff of the Puerta de Hierro University Hospital. This enables more efficient management of these courses and access to a more extensive catalogue of courses.

The remaining uncompleted actions have been planned so that they can be implemented in the 3 years remaining for the implementation of the action plan, not discarding for this purpose the contracting of specialized external consultancy services.

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

How have you prepared for the internal review? *

Detailed description and duly justification (max 500 words)

For the intermediate evaluation the following actions were carried out:

- The Technical Secretariat (TS) in coordination with the Implementation Working Group (IWG) and Implementation OTM-R Working Group (OTM-R IWG) filled in a first version of the Internal Review Template. This draft was reviewed by a team of external consultants who issued several recommendations that were included in the final version.
- The final version was sending to the Steering Committee.

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

Detailed description and duly justification (max 500 words)

- Many stakeholders were consulted at the internal review period. In particular, members of the IWG.
- A specific C&C training action has been carried out (on-line) for those researchers who are members of the contracting commissions. (C&C principles video).
- Unfortunately, an electronic survey was planned to be sent to the research community in order to assess the level of knowledge on the HRS4R, it is now re-planned for Q4 2021 – Q1 2022.

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

Detailed description and duly justification (max 500 words)

The implementation of the plan began in the Q4 2019 and is being performed through four different levels of responsibility:

- Steering Committee on HRS4R (SC), lead by JAVIER CORTÉS URBÁN (FIBHUPHM Patronage President) is the maximum office and oversee the implementation process on a regular basis. It is composed by JULIO GARCÍA PONDAL, 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 also communicates the advances to IDIPHISA's Consejo Rector.
- Implementation Working Group (IWG), lead by JESÚS REY (IDIPHISA, Scientific Coordination) is composed of 4-6 members of the Working Group and invites other research and administrative staff members to participate. It coordinates the deployment of the HRS4R Action Plan and also controls quality and follow up on indicators.
- Implementation OTM-R Working Group (OTM-R IWG), lead by BEGOÑA SAENZ DE TEJADA MADINA (IDIPHISA, Human Resources) is composed

of Human Resources staff members responsible. It coordinates the deployment of the specific OTM-R-related actions from the HRS4R Action Plan and also controls quality and follow up on indicators.

- Technical Secretariat (TS), lead by Jesús Rey (IDIPHISA, Scientific Coordination) reporting to the Steering Committee gives support to the IWT and OTM-R IWG for the preparation of deliverables, and supports the SC to follow up on indicators. The TS is 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.

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

Detailed description and duly justification (max 500 words)

IDIPHISA has already added a specific action on the current strategic plan to include the HRS4R and OTM-R commitment. The IWG is also responsible for verifying that IDIPHISA policies regarding different areas are coherent with the HRS4R and the actions developed within the Action Plan.

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

Detailed description and duly justification (max 500 words)

The SC is alerting from deviations of the timeline to the Consejo Rector, that takes the corresponding actions to add more resources to control the deviations of the original plan.

Additionally, a quality control will performed by an external reviewer and international expert on HRS4R issues.

How are you monitoring progress (timeline)? *

Detailed description and duly justification (max 500 words)

The monitoring and the follow-up of the plan is continuous, being one of the main functions of the Technical Secretariat. IWG holds 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? *

Detailed description and duly justification (max 500 words)

The previously detailed indicators will continue to be included in IDIPHISA's scorecard and will be verified quarterly to find evidence of any deviation from the HRS4R or with organizational policies

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

Detailed description and duly justification (max 500 words)

The next evaluation will be conducted by the same members of the current Committees. This will be carried out by reviewing the progress of the Project in accordance to the commitments of the Action Plan, the revision of indicators' reports, and compliance with roadmaps for each action. With this, an interim report after 12 months of activity will be drafted and a final report matching with the 5th year will be prepared, as is set in the procedures. For these reports the evaluation templates available in Euraxess will be used. In addition, an evaluator from Euraxess will perform a pre-evaluation to prepare the IDIPHISA for the onsite evaluation.

Additional remarks/comments about the proposed implementation process

Detailed description and duly justification (max 1,000 words)