

TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: **2018ES352871**

Name Organisation under review: **INSTITUTO DE INVESTIGACIÓN SANITARIA FUNDACIÓN PARA LA INVESTIGACIÓN DEL HOSPITAL CLÍNICO DE VALENCIA-INCLIVA.**

Organisation's contact details: PhD. Marta Peiró (Scientific Sub-directorate of the Institute), Avda. Menéndez Pelayo 4 acc. 46010 Valencia

SUBMISSION DATE: **6TH NOVEMBER 2018**

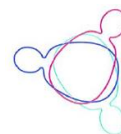
DATE ENDORSEMENT CHARTER AND CODE: **7TH MARCH 2018**

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues.¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Management line/ Department
Mr. Vicente de Juan Martín	Financial Director	Financial Management
Mrs. Ruth Cano	Human Resources Manager	Human Resources and Equality Unit
Mr. Justo Giner	Scientific and innovative Culture Manager	Scientific and innovative Culture Unit
Mrs. Ana Ferrer	Internationalisation Manager	Internationalisation Unit
Mrs. Maite Sáez	General Secretariat	General Secretariat
Mr. Rafael Barajas	Data Protection officer	Quality and Data Protection Unit
Mrs. Marta Peiró	Scientific Sub-directorate	Scientific Sub-directorate
Mrs. Carmen Gómez	Researcher	Aging and physical exercise research group



Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4³, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

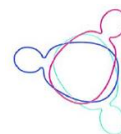
*The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.*

For a description of R1-R4, see

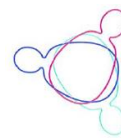
<https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors>

Provide information on how the above groups were involved in the GAP-analysis:

*Stakeholder group	*Consultation format	Outcomes
Advisory Committee and Working Group.	Face-to-face meetings.	<p>The advisory committee is represented by all Administration Departments, directly or indirectly, responsible of researcher's Human Resources issues. The responsible members of this Advisory Committee were designated as working group members, where each member was in charge of carrying out an analysis of the starting situation on the C&C principles and OTM-R policy compliance in his area receiving feedback from all Research staff through the conducted survey.</p> <p>The working group in charge of its development and implementation and led by the Scientific Management (Mrs. Marta Peiró) performed an analysis of the 40 C&C principles and the OTM-R policy to assess the degree of current accomplishment by the institute.</p> <p>The C&C principles were analysed based on INCLIVA current accomplishment and main improvement areas were detected. These activities were written on a basis document.</p>
Advisory Committee and Working Group.	Online meetings and email	<p>Together with the face-to-face working groups, several online meetings have been held between members of the working group and a constant contact has been maintained via email.</p> <p>The advisory committee is represented by all Administration Departments, directly or indirectly, responsible of researcher's Human Resources issues. The responsible members of this Advisory Committee were designated as working group members, where each member was in charge of carrying out an analysis of the starting situation on the C&C</p>



		<p>principles and OTM-R policy compliance in his area receiving feedback from all Research staff through the conducted survey.</p> <p>The working group in charge of its development and implementation and led by the Scientific Management performed an analysis of the 40 C&C principles and the OTM-R policy to assess the degree of current accomplishment by the institute.</p> <p>The C&C principles were analysed based on INCLIVA current accomplishment and main improvement areas were detected. These activities were written on a basis document.</p>
Research staff of the Institute.	Online survey.	<p>The research community has been taken into account during the process of developing the HRS4R. Different participation proposals were considered for the research staff to be an active part in the elaboration of the strategy and finally it was decided that an anonymous survey sent by email and with periodic reminders (reminders were sent every 15 days during the entire time the survey was operative) was the most appropriate method for all the research staff who wished to do so could provide their observations, main problems encountered and improvement proposals, additionally, in the same email information was provided an email where they could contribute comments and additional information.</p> <p>With the main goal of obtaining the participation of all the research staff of the Institute, an online survey on the HRS4R Strategy was carried out and remained available during the months of July, August and September 2018.</p> <p>The survey not only collected the data of the 40 principles of C&C, but included the following sections: gender, age, nationality, professional category, type of contract, service centers included, research areas, time in the current place and international stays. These data allowed us to analyse the needs of the different professional profiles.</p> <p>In the survey, improvement proposals identified by the working group were included so that they were known by the research staff and additional comments could be provided on them to improve the proposals in the case that was necessary, also, it was included in the surveys specific to add new proposals for improvement proposed directly by the research staff. Below are some of the main contributions of the research staff:</p>



- It is necessary to improve the dissemination of the training plan.
- Improvement of the professional career of the research staff. High priority for young research staff.
- It is necessary to improve the diffusion of the services offered by INCLIVA.
- Improvement of professional advice actions.
- It is necessary to improve reception procedures for research staff.
- It is necessary to improve the evaluation indicators.
- Update salary tables.

The survey has considered the opinions of the research staff and their perceptions of the compliance with the 40 C&C principles and the OTM-R policy. Several improvements detected during the analysis itself have also been proposed and have been assessed by all the research staff. This survey is aimed not only at a consultative participation of all the research staff at INCLIVA but also as an active part of the design and development of its HRS4R Strategy.

A total of 133 complete answers were obtained to the survey on the total of 460 (total number of staff), the general results obtained are the following:

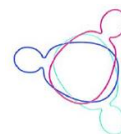
GENDER		
MAN	WOMAN	N/A
54	64	15
41%	48%	11%
133		

PROFESSIONAL CATEGORY						
STAGE (R4)	STAGE (R3)	STAGE (R2)	STAGE (R1)	ASSOCIATED RESEARCHERS	OTHERS	N/A
15	21	17	23	17	25	15
11%	16%	13%	17%	13%	19%	11%

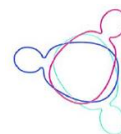
					100%	133
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AGE					
18-24	25-35	35-45	45-55	55-65	OTHERS
5	38	39	21	13	17
4%	29%	29%	16%	10%	13%

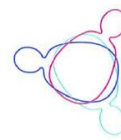
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		<p>We have obtained an adequate representation of gender and have participated with similar percentages all the research staff, with the research staff R1 being the most participatory in the contributions as shown in the results of participation.</p>
Research staff of the Institute.	Workshops.	<p>INCLIVA held a series of workshops during the development of the HRS4R elaborated in a previous accreditation process. The conclusions drawn on the basis of such participation are listed below and logically have been taken into account in the development of the current gap analysis and action plan, this information has allowed to complete the work done described in the previous sections.</p> <p>In order to ensure broad participation by different professional profiles assigned to IIS, INCLIVA focus workgroups of up to 6 members were created. These groups prioritized the identified weaknesses and the actions to be undertaken by INCLIVA. The details of the different focus groups involved are specified below:</p> <ul style="list-style-type: none"> • Head Area Researchers or head research groups researchers • Emerging researchers • Assistant researchers • Young doctors • Researchers in training • Technical profiles <p>WEAKNESS AND IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF</p> <p>1. WEAKNESS: Improved internal procedures to support and promote knowledge, ensuring the adherence and compliance with ethical principles and best scientific practices by all members of INCLIVA. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Welcome policy. Welcome manual update. This instrument will help strengthen the internal knowledge among members of INCLIVA, and the facilities and services at their disposal for the development of their R&D&i.</p> <p>2. WEAKNESS: Need to promote the development of future INCLIVA researchers. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Review clauses of INCLIVA subsidy announcement. A single announcement will be generated with enough time for researchers to know grants they can solicited. Arbitrate procedures for INCLIVA grants applicants feedback.</p> <p>3. WEAKNESS: Revision and improvement of selection procedures and internal communication. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Improvement of the procedures related to recruitment. Review calls for additional employment and contract terms. Arbitrate procedures to give feedback applicants for jobs and subsidies of INCLIVA.</p>



	<p>4. WEAKNESS: Improvement of communication and interrelation with society. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Forums with companies in the industry that will make it possible to detect opportunities for collaboration to develop products and/or services that respond to the needs of the population. Agreements with patient associations for the development of forums that allow civil society to express its needs and concerns to the researchers of INCLIVA.</p> <p>5. WEAKNESS: Collective agreement of the sector. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Promote the generation of a collective bargaining agreement for the sector, in collaboration with the other institutions in the public foundation sector of the Generalitat Valenciana.</p> <p>6. WEAKNESS: Sufficient mechanisms for evaluation and recognition of the activity of the staff and the research groups of the INCLIVA are needed. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Evaluation and assessment system of staff performance. Career development in the INCLIVA. Develop a procedure for the evaluation and assessment of the performance of the groups that make up the Institute.</p> <p>7. WEAKNESS: It is necessary to guarantee the generational change (attraction of postdoctoral personnel). IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Arbitrate a specific policy for post-doctoral recruiting.</p> <p>8. WEAKNESS: It is necessary to improve the training activity, especially in the early stages (staff in training). IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Modification of the Training Plan, including management of teams and selection processes, aimed at the supervisors of groups, platforms, and lines of research, Internationalization, intellectual and industrial property.</p> <p>9. WEAKNESS: Establish a dispute resolution procedure. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Establish the figure of the “Researcher Defender” and the procedure for handling and tracking issues.</p> <p>10. WEAKNESS: Improve aspects related to intellectual and industrial property. IMPROVEMENTS PROPOSED BY THE RESEARCH STAFF: Availability of the internal regulations in the area of intellectual and industrial property (including profit shares and company creation).</p> <p>In the elaboration of the current gap analysis and action plan, all the main weaknesses identified by the workshops as well as their improvement proposals have been taken into account.</p>
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Please describe how was appointed the Committee overseeing the process:

The Human Resources Strategy for Researchers at INCLIVA is promoted by the General Management, the Scientific Management and led by the Scientific Sub-directorate of the Institute (Mrs. Marta Peiró). An advisory committee has been constituted and it is composed by representatives of the different areas of INCLIVA directly involved in the development and implementation of the HRS4R Strategy. (Financial Management, Human Resources and Equality Unit, Scientific and innovative Culture Unit, Internationalisation Unit, General Secretariat and Quality and Data Protection Unit and representative of the research staff).

Please describe how was appointed the Working Group responsible for the implementation of the HRS4R process:

As previously mentioned, the advisory committee is represented by all Administration Departments, directly or indirectly, responsible of researcher's Human Resources issues. The responsible members of this Advisory Committee were designated as working group members, where each member was in charge of carrying out an analysis of the starting situation on the C&C principles and OTM-R policy compliance in his area receiving feedback from all Research staff through the conducted survey.

A working group has been constituted and it is composed by representatives of the different areas of INCLIVA directly involved in the development and implementation of the HRS4R Strategy. The coordinator of the working group will be Mrs. Marta Peiró, Scientific Sub-directorate, the working group is composed of: (Mr. Vicente de Juan Martín - Financial Management, Mrs. Ruth Cano - Human Resources and Equality Unit, Mr. Justo Giner - Scientific and innovative Culture Unit, Mrs. Ana Ferrer - Internationalisation Unit, Mrs. Maite Sáez - General Secretariat and Mr. Rafael Barajas - Quality and Data Protection Unit and Mrs. Carmen Gómez researcher of INCLIVA and representative of the researchers in the working group).