

## TEMPLATE 4: ACTION PLAN

Case number: **2018ES352871**

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

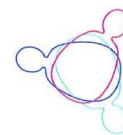
Organisation's contact details: PhD. Marta Peiró (Scientific Sub-directorate of the Institute), Avda. Menéndez Pelayo 4 acc. 46010 Valencia

**SUBMISSION DATE: 6TH NOVEMBER 2018**

### 1. ORGANISATIONAL INFORMATION

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

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	433
<i>Of whom are international (i.e. foreign nationality)</i>	20
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	37
<i>Of whom are women</i>	240
<i>Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	111
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	94
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	64
<i>Total number of students (if relevant)</i>	
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	460
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
<i>Total annual organisational budget</i>	9.832.908
<i>Annual organisational direct government funding (designated for research)</i>	150.000
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	3.759.763
<i>Annual funding from private, non-government sources, designated for research</i>	5.532.625
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
INCLIVA Health Research Institute was constituted in 2000, and was certified as a Health Research Institute by Carlos III Health Institute in 2011. INCLIVA manages Biomedical research in Valencia Clinic University Hospital and its Health Department, as well as some scientific excellence groups from Medicine Faculty of Valencia University and FIGENOMIX.	



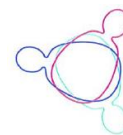
## **INCLIVA | VLC** Instituto de Investigación Sanitaria

Institute develops important international projects, and participates in European Research Networks. It should be noted its important contribution to International Clinical Trials, Phase I Oncological Clinical Trials Unit.

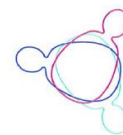
### **2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:**

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

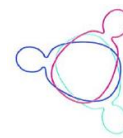
<b>Thematic heading of the Charter and Code</b>	<b>STRENGTHS and WEAKNESSES</b>
Ethical and professional aspects	<p><b>STRENGTHS:</b></p> <p>INCLIVA research activity is always developed within budgetary limits, with ethical committee/research commission prior approval and further monitoring following standardised procedures required in order to ensure ethical compliance in the research activity (INCLIVA has an Internal Ethical Committee, an External Scientific Committee, a Drugs Research Ethical Committee, an Animal Experimentation Ethical Committee, an Innovation Commission and a Research Commission).</p> <p>Scientific Annual report is published by INCLIVA. Moreover, INCLIVA also has a procedure to ensure the results obtained dissemination and exploitation. It has a Communication Unit which is responsible of research activity carried out dissemination. INCLIVA also have an Equality plan.</p> <p><b>WEAKNESSES:</b></p> <p>Privacy Ethical Code containing data protection issues should be elaborated, and research personnel must adhere to it.</p> <p>There is no specific labour agreement for INCLIVA staff currently, consequently Spanish general labour legislation is applied (Statute of Workers Rights). It is necessary to define salary scales.</p> <p>It has been identified the need to improve the patient and society communication forms and channels.</p> <p>INCLIVA should be adapted to the provisions and initiatives promoted</p>



	<p>by European Union Open Access policy.</p> <p>It has been identified the need of developing an internal monitoring process for projects without economic content, such doctoral thesis, master final projects, etc.</p>
Recruitment and selection	<p><b>STRENGTHS:</b></p> <p>INCLIVA management processes are certified by ISO regulation including HHRR resources (public employment offers, selection, reception, recruitment). INCLIVA has defined, public and accessible recruitment selection processes based on specific vacancy prerequisites established and merits of application assessment. INCLIVA foundation hiring is in line with principles of advertising, competition, transparency, confidentiality, equality and non-discrimination.</p> <p>INCLIVA establishes that candidate selection has to be done by an evaluation court composed of equal numbers of men and women.</p> <p><b>WEAKNESSES:</b></p> <p>INCLIVA has a Human Resources procedure regulated which assess adequately the candidate relevant merits for the job offered performance, however, it is necessary to adapt the OTM-R policy to HRS4R Strategy recommendations. It is necessary to improve the procedures related to personnel recruitment, establishing improvements in applications submitted feedback processes and guidelines for qualitative aspects better assessment in the candidate personal interviews.</p>
Working conditions	<p><b>STRENGTHS:</b></p> <p>INCLIVA has a defined scientific structure and provides research personnel with various support platforms and central services such animal Housing Unit and Experimental Operating Rooms, Cell Cultures Unit, Personal Autonomy, dependence and serious mental disorders Unit, Bioinformatics and Biobank. INCLIVA encourage their research personnel to participate in national and international platforms and networks.</p> <p>Human Resources and equality Unit promotes research personnel reconciliation of working, family and private life.</p> <p><b>WEAKNESSES:</b></p> <p>It is necessary to introduce professional career elements under the current National and Regional regulation regarding social security. Institute professional categories should be defined.</p>



	INCLIVA do not has formal mechanisms to provide a career guidance, especially for research trainees.
Training and development	<p><b>STRENGTHS:</b></p> <p>INCLIVA has its own R+D+i Training Plan and Emerging Groups Support Plan, which include actions aimed at all profiles existing in the Institute, junior research personnel training as well as senior research personnel continuous training.</p> <p><b>WEAKNESSES:</b></p> <p>INCLIVA do not has any procedure to evaluate the research personnel on a continuous basis. Although INCLIVA has an Emerging Groups Support Plan, it does not reflect a mentor or scientific personnel responsible appointment.</p>



### 3. 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):

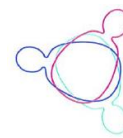
\*URL: <https://www.incliva.es/Human%20Resources%20Strategy>

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:

C&C/ OTM- R	ACTIONS	RESPONSIBLE	TIMING																				INDICATOR
			Y1				Y2				Y3				Y4				Y5				
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
C&C 9	Linking with Health sector companies, patient associations, civil society and other sector companies. Encourage forums with Health sector companies organisation to enable collaboration opportunities identification in terms of products and/or services development responding to population needs. Set agreements with patient associations for the development of forums that allow the society to express their needs and worries to INCLIVA researchers. To establish and communicate a communication procedure addressed to civil society and which involves the institution research personnel, allowing a greater dissemination of the activity and results of the institute. Implement Open Days.	M. Saenz (R. Communication)																					- Nº of activities carried out with patient Associations, civil Society and Companies
C&C 1;2;3; 4;12; 32	Elaborate a welcome procedure for INCLIVA personnel and update the Research personnel handbook. Stablish a welcome policy including the Research personnel handbook update, transforming it into a Welcome handbook containing relevant information related with the institution, objectives, programmes, means and procedures. Implement necessary procedure's changes to ensure the proper dissemination among all INCLIVA employees. Include the review of the current regulation regarding Data Protection and Research Ethical and Good Practices Code. This instrument will contribute to enhance the internal knowledge of available means and services to develop R+D+I activities among INCLIVA members.	R. Cano (HH.RR Unit) M. Peiró (Scientific Sub-directorate)																					- Welcome procedure elaborated  - Welcome Research personnel handbook reviewed and updated.
C&C 2;7	Elaboration of an Ethical Code of Privacy related to data protection. In light of new Data Protection regulation, it is necessary to adapt the existing procedures developed in INCLIVA scope. Ethical Code of privacy related to data protection will be elaborated and its dissemination will be promoted, furthermore the research personnel must be adhered to it.	R. Barajas (Data Protection Officer)																					- Ethical Code of Privacy elaborated. - Disseminated to 100% of research personnel.
C&C 3	Prioritization of research lines of the institute review. Prioritization of research lines of the institute will be examined coinciding with the next Strategic Plan 2019 elaboration.	M. Peiró (Scientific Sub-directorate)																					- Prioritization of research lines of INCLIVA reviewed.
C&C 4;6	Internal monitoring regulated process for projects without economic content. Stablish an internal monitoring process for projects without economic content, (thesis, master final projects, degree final projects) which allow the responsible to inform of projects status.	M. Peiró (Scientific Sub-directorate)																					- Follow-up process for projects without economic content carried out.  - 100% projects where IP is asked for the follow-up

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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.

INCLIVA has defined, public and accessible recruitment selection processes based on specific vacancy prerequisites and merits of application assessment. In the employment announcements the opening and closing dates for applications with a minimum of 15 days, type of call, vacancy offered, contracting conditions, prerequisites, merits and their scoring, job functions to be performed, selective system description, evaluation court composition, deadline for submitting the application and documentation to be submitted are specified.

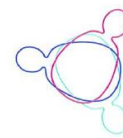
Candidate selection has to be done by an evaluation court in which comprises Foundation Director, Foundation Scientific Management Assistant Director, Head of HR section and Area Responsible where the candidate activity will be performed. Initial evaluation of applicant's merits is done considering the submitted documentation and occasionally (where applicable, to clarify any doubts) previous telephone interview. After this assessment, the court determine which applications go on the following personal interview phase. Resolution of recruitment procedure minutes are elaborated.

In order to comply with the recommendations, adjusting INCLIVA Human Resource procedure to C&C and OTM-R policy, the following actions have been planned:

1. Selection processes dissemination improvement.
2. Professional career elements introduction.
3. Improvement of processes related with personnel recruitment.
4. To develop a personal interview procedure linked to personnel recruitment which includes qualitative aspects assessment.
5. Human Resources Strategy implementing measures for INCLIVA research personnel.

Actions proposed in the action plan that demonstrate the implementation of the OTM-R policy of INCLIVA:





1. OTM-R (6; 7; 11; 12; 13; 14) Action: Selection processes dissemination improvement.
2. OTM-R (9) Action: Professional career elements introduction.
3. OTM-R (4; 21) Action: Improvement of processes related with personnel recruitment.
4. OTM-R (3; 16; 19) Action: To develop a personal interview procedure linked to personnel recruitment.
5. OTM-R (10; 23; 1) Action: Human Resources Strategy implementing measures for INCLIVA research personnel.

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: <https://www.incliva.es/Human%20Resources%20Strategy>

## 4. IMPLEMENTATION

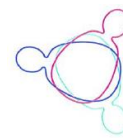
General overview of the expected implementation process:

Human Resources Strategy for INCLIVA research personnel is promoted by General Management, the Scientific Management and led by the Scientific Sub-directorate of the Institute (Mrs. Marta Peiró). A working group has been constituted and it is composed by representatives of all INCLIVA different areas 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).

Monitoring of INCLIVA HRS4R Strategy implementation will be done by the constituted working group through reviews every three months (follow-up meetings will take place in January, April, July and November) of the established goals in the action plan. Conclusions this reviews and measures to be taken in case of deviations will be communicated to General and Scientific Management and to Internal Scientific Committee Scientific of INCLIVA. The dissemination among all research personnel of the level of strategy implementation will be subsequently carried out.

Each action established in the action plan is assigned to an area manager who is in charge of performing a proper monitoring of the planning fulfilment.

To achieve the complete involvement of all research personnel two initiatives are planned: a presentation event for all personnel of HRS4R Strategy Action Plan of INCLIVA and the incorporation of a presentation of Institute Human Resources Strategy for research and its progress in INCLIVA



scientific conferences.

Additionally, a satisfaction survey to assess the level of satisfaction with the HRS4R Strategy will be conducted annually. Survey results will be evaluated by the working group constituted to implement the HRS4R Strategy in INCLIVA.

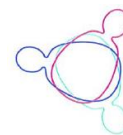
Two years after from action plan launching, an internal review of the strategy will be carried out. The working group will review C&C principles and OTM-R policy again, and will consider possible adaptations necessary in case of set objectives fulfilment deviations. Level of fulfilment of the action plan will be reviewed, detecting possible non-conformities and indicating the proposed corrective actions.

Subsequently, this report will be presented to General and Scientific management, to the external Scientific Committee and Governing Board for final validation.

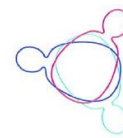
Scientific Sub-directorate will coordinate all actions, both logistical and administrative, necessary to conduct the external review of the strategy. It will manage the interviews to Institute different profiles requested.

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

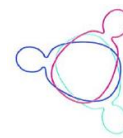
Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	<p>Each area responsible forming the working group shall periodically review the level of compliance in C&amp;C principles and OTM+R policy within their respective areas of competence, as well as the necessary adjustments to implement in case of action plan objectives deviations.</p> <p>The working group should have regular face-to-face meetings so as to share the action plan level of compliance, identifying non-conformities and suggested corrective actions will be indicated.</p> <p>INCLIVA has a standardized work procedure in which the functioning of the working group set up for the design, execution and monitoring of the Human Resources Strategy for Research Staff in the IIS INCLIVA is regulated.</p> <p>The procedure regulates the functions of the working group, the scientific sub-directorate that acts as coordinator of the working group, has as its functions the coordination, including, the convocation and preparation of the meeting minutes, as well as the</p>



	<p>preparation of follow-up documents for the plan of work. The rest of the members of the working group, among others, attend the meetings, review the generated documents, provide information and evidence of the follow-up of the actions to be carried out under their responsibility.</p> <p>The follow-up meetings will take place in January, April, July and November. Meetings for the year will be established at the first meeting of the year. Extraordinary meetings may also be convened if necessary. The communications between the work group will be done by email.</p>
How do you intend to involve the research community, your main stakeholders, in the implementation process?	<p>To achieve the complete involvement of all research personnel two initiatives are planned: a presentation event for all personnel of HRS4R Strategy Action Plan of INCLIVA and the incorporation of a presentation of Institute Human Resources Strategy for research and its progress in INCLIVA scientific conferences.</p> <p>Additionally, a satisfaction survey to assess the level of satisfaction with the HRS4R Strategy will be conducted annually. Survey results will be evaluated by the working group constituted to implement the HRS4R Strategy in INCLIVA.</p> <p>Furthermore, individual inputs and proposals made by researchers to the HRS4R Strategy responsible working group in INCLIVA will be taken into consideration.</p> <p>In addition, the working group that will follow up on the action plan, includes a representative of the research staff, Mrs. Carmen Gómez.</p>
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.	<p>All procedures approved as a consequence of actions proposed in the action plan shall be officially integrated by INCLIVA management bodies subsequent approval.</p> <p>The current Human Resources procedure of INCLIVA shall be aligned with actions developed in the action plan by periodic updates subject to approval by the competent bodies. The hiring policy is published and aligned with the HRS4R.</p> <p>In coincidence with the forthcoming INCLIVA Strategic Plan and Scientific Plan in 2019, Human Resources Strategy HRS4R will be established as INCLIVA human</p>



	resources general policy framework.
How will you ensure that the proposed actions are implemented?	<p>INCLIVA Gap Analysis and Action Plan have been approved by the Institution General Manager and Governing Board, consequently, the Action Plan proposed is supported by the institution maximum representative to be implemented.</p> <p>As established, the working group is integrated by the maximum representatives of the involved units, who have enough decision-making and implementing capacity to develop the defined actions, as well as by a representative of the research staff.</p> <p>The Action Plan shows a detailed activities timeframe enabling enough monitoring of the improvement activities proposed implementation level.</p>
How will you monitor progress (timeline)?	<p>As mentioned in the previous section, this Action Plan is sufficiently detailed either in the activity description or activity planning and monitoring.</p> <p>The responsible of implementing each proposed activity shall use the planning to establish annual goals and the regular meetings with the working group necessary to implement the shown actions.</p> <p>INCLIVA has a standardized work procedure in which the functioning of the working group set up for the design, execution and monitoring of the HRS4R in the IIS INCLIVA is regulated.</p>
How will you measure progress (indicators) in view of the next assessment?	<p>Each of working group responsible will conduct a tracking and measurement of the indicators established for every action. A control panel will be established with each action planed and the associated indicators ensuring the monitoring of the implementation level and the indicator evolution.</p> <p>Every three months, a measurement of the indicators will be carried out by the working group and corrective measures will be established that would be necessary if there were any deviation in the planning of the same.</p>



Additional remarks/comments about the proposed implementation process:

The Health Research Institute INCLIVA, established in 2000 and accredited as a Health Research Institute in 2011, has the mission of fostering, promoting, coordinating and executing quality health-oriented research, integrating the basic and clinical aspects in order to improve the health and quality of life of the population.

INCLIVA manages the biomedical research of the “Hospital Clínico Universitario de Valencia” and its Health Department. It also manages the research of other outstanding scientific research groups including the “Facultad de Medicina de la Universidad de Valencia” and the “Foundation IGENOMIX”.

As described in its **vision**, INCLIVA’s objective is serve as a national and international reference institute in clinical and translational research, recognised for its healthcare innovation and excellent management.

The following **values** govern INCLIVA’s activities:

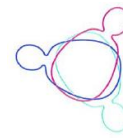
- *Seeking solutions to society’s major health problems*
- *Continuous orientation towards scientific excellence*
- *Focus on innovation and the transfer of results*
- *Integration and multidisciplinary collaboration, and development of strategic alliances*
- *Compliance with national and international bioethical research regulations*
- *Internationalization of scientific activity*
- *Continuous improvement and training of research and management staff*
- *Orientation towards excellence in management*
- *Commitment to society: transparency, environment and sustainability*

INCLIVA currently has more than 400 prestigious researchers from the international scientific community and has first-class technology for the development of quality research, strengthened since 2012 by the ISO 9001:2008 Certification in Administrative and Economic Coordination and Scientific Management areas.

INCLIVA maintains a firm commitment to quality and dedication of service to researchers, which takes the form of its strategic planning for the 2015-2019.

Specifically, the Institute has identified its principal strategic objectives as those related to **attracting talent** and **consolidating research careers** within the institution, developing its **framework of relations and HR strategy**. It also maintains and strengthens the **consolidation of research platforms** to serve the research community and provides **training** for R+D+I researchers and managers, further reinforcing its commitment to **social responsibility, transparency and environment**.

The “HRS4R” (Human Resource Strategy for Researchers)” prepared by the European Commission, is designed as a tool for the implementation of the recommendations regarding the rights and responsibilities of researchers and their employers and/or funders, listed in the “European Charter



for Researchers” and in the “Code of Conduct for the Recruitment of Researchers” (C&C).

In 2018, INCLIVA signed the C&C, accepting the values defined in it and committing itself to align its Human Resource policies and practices with the recommendations made in both documents.

In order to advance in the implementation of C&C and using as a framework the HRS4R, a process was carried out to analyse the degree of compliance with each of the 40 principles set out by the C&C, in order to detect deficiencies and areas for improvement to be implemented in the coming years, which have been transferred to INCLIVA’s **Human Resource Action Plan for R+D+I. This process is aimed at making the Institute more attractive to researchers, creating the most favourable conditions to develop their research careers.**