

HR Excellence in Research

Internal Review

Internal Review

Case number

2018ES352871

Name Organisation under review

INCLIVA Biomedical Research Institute

Organisation's contact details

Av Blasco Ibañex, 17, Valencia, 46010, Spain

Submission date to the European Commission

15/03/2021

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 *	433
Of whom are international (i.e. foreign nationality) *	20
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	327
Of whom are women *	240
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	111
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	94
Of whom are stage R1 = in most organisations corresponding with doctoral level *	64
Total number of students (if relevant) *	0
Total number of staff (including management, administrative, teaching and research staff) *	460
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	9832908
Annual organisational direct government funding (designated for research)	150000

RESEARCH FUNDING (figures for most recent fiscal year)**€**

Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	3759763
Annual funding from private, non-government sources, designated for research	5532625

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

INCLIVA Health Research Institute was founded 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 several scientific excellence groups from Faculty of Medicine at Valencia University and FIGENOMIX.

The Institute develops important international projects, and participates in European Research Networks. Its important contribution to International Clinical Trials and the Phase I Oncological Clinical Trials Unit are particularly notable in this respect.

2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the 4 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.

Note: Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

Ethical and professional aspects*

**Strengths and Weaknesses (Initial Phase)****STRENGTHS:**

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).

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.

WEAKNESSES:

Privacy Ethical Code containing data protection issues should be elaborated, and research personnel must adhere to it.

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.

It has been identified the need to improve the patient and society communication forms and channels.

INCLIVA should be adapted to the provisions and initiatives promoted by European Union Open Access policy.

It has been identified the need of developing an internal monitoring process for projects without economic content, such doctoral thesis, master final projects, etc.

Strengths and Weaknesses (Interim Assessment)**STRENGTHS**

The strengths stated in the initial application have been maintained.

THREATS

The following threats declared in the initial application remain:

There is no specific employment agreement for INCLIVA workers, so the general Spanish employment regulations (Workers' Statute) apply. Salary scales still await definition.

There is a detected need to improve the communication channels with patients and society in general.

INCLIVA must adapt to the provisions and initiatives promoted by the European Union in Open Access policy.

Remarks (max 500 words)

STRENGTHS

During this period, the certified quality of management structure has been maintained and the units have been expanded. The communication unit has also been strengthened during this period by contracting the services of an external company in charge of managing social media and press releases. The INCLIVA website has been redesigned to include relevant institutional information, as well as information on research group activity.

WEAKNESSES

We have made the following progress regarding previously identified weaknesses:

A Code of Conduct on Data Privacy to enhance data protection has been drawn up and approved by governing bodies.

Despite the lack of a specific employment agreement or our own salary scales, in 2020 the institutional Job Structure (JS) evaluation was approved, to be expanded progressively over successive years, in accordance with the salary differentials (salary increases) allocated annually. Likewise, a draft of the Statute for Research and Management Staff in the Valencian Community has been drawn up under the coordination of the Ministry of Health Directorate General of Research and is pending approval.

Dissemination and communication activities have been carried out with patients and society in general through the Patronage Plan and through outreach and dissemination activities (Conecta INCLIVA), although the panorama of the COVID pandemic has made it impossible to carry out many planned activities.

An INCLIVA Open Access Policy has been developed and was approved by the governing bodies in December 2020.

A procedure for monitoring projects with no financial content has been developed and launched under the supervision of the Research Commission. Through a specific call, the management of the final master's and undergraduate projects has been coordinated.

Recruitment and selection*



Strengths and Weaknesses (Initial Phase)

STRENGTHS:

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.

INCLIVA establishes that candidate selection has to be done by an evaluation court composed of equal numbers of men and women.

WEAKNESSES:

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.

Strengths and Weaknesses (Interim Assessment)

STRENGTHS

The strengths stated in the initial application have been maintained.

THREATS

During this period, candidate feedback procedures have been modified and the selection committee have received recommendations on qualitative criteria assessment.

Remarks (max 500 words)

STRENGTHS

Quantitative assessment of applicants' merits has been outlined more thoroughly, specifying the scores awarded for each merit listed in the job advertised.

Working conditions*

**Strengths and Weaknesses (Initial Phase)****STRENGTHS:**

INCLIVA has a defined scientific structure and provides research personnel with various support platforms and central services such as 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.

Human Resources and equality Unit promotes research personnel reconciliation of working, family and private life.

WEAKNESSES:

It is necessary to introduce professional career elements under the current National and Regional regulation regarding social security. Institute professional categories should be defined.

INCLIVA do not have formal mechanisms to provide a career guidance, especially for research trainees.

Strengths and Weaknesses (Interim Assessment)**STRENGTHS**

The strengths stated in the initial application have been maintained.

WEAKNESSES

The weaknesses declared in the initial application are maintained.

Remarks (max 500 words)**STRENGTHS**

During this period, the II Equality Plan has been drawn up and approved. Additionally, family-friendly initiatives proposed to INCLIVA management have been approved and implemented through the Equality Commission.

WEAKNESSES

Despite the fact that there is no approved professional career path, the institute has participated in the working group constituted by the Ministry of Health DG of Research to develop the Statute for Research and Management Staff. The statute has been completed, made accessible to the public, and is pending final approval.

Training and development*

**Strengths and Weaknesses (Initial Phase)****STRENGTHS:**

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.

WEAKNESSES:

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.

Strengths and Weaknesses (Interim Assessment)**STRENGTHS**

The strengths stated in the initial application have been maintained.

WEAKNESSES

A new Integration Plan has been drawn up defining the different components of INCLIVA Health Research Institute, including researchers and emerging groups. A Support Plan for Emerging Groups has also been drawn up, pending implementation.

Remarks (max 500 words)

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

During this period, the INCLIVA 2020 job structure (JS) evaluation has been approved. This JS is currently limited to personnel from the management area, but it is expected that the rises in salary and consequently in JS will attract researchers and staff from research support platforms. An increase of 151,913 euros in the wage bill has been authorized. This increase will be used to create 4 additional positions, one as a stabilized researcher, and three as a platform manager.

Likewise, Ministry of Health approval of the Statute for Research and Management Staff will facilitate recognition of research as a professional career path within the entity.

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

During this period, INCLIVA Management has prepared a draft collective agreement together with an economic study of salary structures for current positions. During the first quarter of 2021 this will be sent for review by the Works Council for negotiation.

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

Of the actions envisaged in the action plan, the following actions have been significantly delayed:

ACTION N°6: Improve dissemination of calls for intramural funding.

ACTION N°8: Work on drawing up salary scales.

ACTION N°18: Mentoring 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 add new objectives.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS

Action 1

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.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 9. Public engagement		Y1(Q3) to Y5(Q20)	M. Saenz (R. Communication)	- N° of activities carried out with patient Associations, civil Society and Companies
Current Status	Remarks			
IN PROGRESS	Summary to date: A database of Valencian Community Associations has been set up, and invitations were sent out for promotional INCLIVA events held in 2019 and 2020. INCLIVA gave presentations to civic organisations and signed collaborative agreements (Valencia Club de Futbol, Chamber of Commerce and Navigation of the Valencian Community, Bancaja Foundation, AVA-ASAJA Association of Valencian Farmers) and with patients' associations. Incorporation of the FERRO Foundation to the INCLIVA Board. At the international projects unit, we have prepared a study of the regional, national and international environment related to companies, patients' associations and universities and other research organizations, prioritizing institutions that can achieve greater international impact for our research groups (Deliverables from networks and managers). At our international projects unit, we are preparing a SOP for communication and dissemination of European projects to define the necessary activities within the framework of European projects (Deliverable from networks and managers) Indicators N° of activities carried out with patients' associations, civil society and companies 19 activities carried out involving patients' associations, civic organisations and companies			

Proposed ACTIONS

Action 2

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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 1. Research freedom	Y1(Q3) to Y1 (Q4)	R. Cano (HH.RR Unit) and M. Peiró (Scientific Sub-directorate)	- Welcome procedure elaborated - Welcome Research personnel handbook reviewed and updated.
(+/-) 2. Ethical principles			
(+/-) 3. Professional responsibility			
(-/+) 4. Professional attitude			
(+/-) 12. Recruitment			
(+/-) 32. Co-authorship			
Current Status	Remarks		
COMPLETED	Summary to date: The Research Staff handbook was approved at the start of 2019 and disseminated among all INCLIVA personnel. The content of the handbook was reviewed and updated at the end of 2020, and this updated version was approved in December 2020 and disseminated in early 2021. Indicators: - Welcome procedure completed: 2019 version - Welcome Research staff handbook reviewed and updated - Welcome procedure: Dec 2020 Version		

Proposed ACTIONS

Action 3

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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 2. Ethical principles	Y1(Q3) to Y1 (Q4)	R. Barajas (Data Protection Officer)	- Ethical Code of Privacy elaborated. - Disseminated to 100% of research personnel.
(+/-) 7. Good practice in research			
Current Status	Remarks		
COMPLETED	Summary to date: The Data Privacy Code was approved in March 2020 and disseminated to staff. Research staff have received training on data protection. Indicators: -- Code of Conduct on Data Privacy completed: approved March 2020 - Disseminated to all research staff: published on Incliva website.		

Proposed ACTIONS

Action 4

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.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 3. Professional responsibility		Y2(Q5) to Y2 (Q8)	M. Peiró (Scientific Sub-directorate)	- Prioritization of research lines of INCLIVA reviewed.
Current Status		Remarks		
COMPLETED		Summary to date: INCLIVA Strategic Plan 2020-2024, which carried out an analysis of INCLIVA's environment and situation was drawn up in 2019, and approved in 2020. 2020 also saw completion of the Cooperative Scientific Plan, which includes the design of seven transversal programs. The international projects unit has analysed national and international financing policies, strategies and programs and has made a correlation matrix of the research lines within the institute and of emerging researchers. This matrix was presented to the research staff in a conference organized on 12/11/2020 as part of a conference on H2020 and the paradigm shift towards Horizon Europe. Indicators: Review prioritization of INCLIVA research lines: Done.		

Proposed ACTIONS

Action 5

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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(-/+) 4. Professional attitude	Y2(Q8) to Y3 (Q10)	M. Peiró (Scientific	- Follow-up process for projects without economic content carried out. - 100% of projects where IP is asked for the follow-up.
(+/-) 6. Accountability		Sub-directorate)	
Current Status	Remarks		
COMPLETED	Summary to date: A SOP for Research Commission activities has been drawn up indicating the procedure for monitoring projects without financial resources. Findings from this monitoring are reported to the Research Commission. Indicators: - Follow-up process for projects without economic content: completed - Percentage of projects where PI is asked for follow-up: from 2019 projects, 138 projects have been consulted and 136 responses have been received		

Proposed ACTIONS

Action 6	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Intramural funding calls dissemination improvement. Improve the dissemination of intramural funding calls. An announcement of the intramural funding activities approved by the board of trustees the will be published at the end of the year.	(-/+) 4. Professional attitude	Y1(Q4);Y2(Q8);Y3(Q12);Y4(Q16);Y5(Q20)	M. Saenz (General Secretariat)	- Annual activities announcement done.
	Current Status	Remarks		
	IN PROGRESS	Summary to date: The management has agreed to carry out dissemination of news regarding the institution's situation reported in board meetings. Indicators: - Annual activity announcements done: communication by general management (January 2021) Status of the action: action in progress, significantly behind schedule		

Proposed ACTIONS

Action 7	GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
<p>Training plan review. Training course for all INCLIVA new personnel about Ethical and Good Scientific Practices Code will be scheduled. If deemed appropriate, on-site format minimum twice a year could be appropriate.</p> <p>Activities on Good Scientific Practices, intellectual and industrial property, internationalisation, team management and evaluation procedures for groups and platforms responsible matters will be included. Establish contacts with the national network of EURAXESS to encourage the continuous development of researchers.</p>	(-/+) 5. Contractual and legal obligations			J. Giner	- Training plan reviewed. -
	(+/-) 39. Access to research training and continuous development		Y1(Q4);Y2(Q8);Y3(Q12);Y4(Q16);Y5(Q20)	(Training Unit)	Number of training activities carried out.
	Current Status	Remarks			
	IN PROGRESS	<p>Summary to date: INCLIVA developed the 2018-2019 Training Plan and in December approved the Training Plan for 2020-2021, which includes training activities on good practices, intellectual and industrial property and internationalization. Dissemination of the platforms and scientific-technical equipment available is also planned. Indicators: - Training plan reviewed. - Number of training activities carried out: 38</p>			

Proposed ACTIONS

Action 8

To work on the development of salary scales. The development of INCLIVA personnel salary scales with annual reviews will be carried out.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(-/+) 5. Contractual and legal obligations		Y1(Q3) to Y1 (Q4)	V. de Juan (Financial Management)	- Salary scales elaborated and approved by the board of trustees.
(-/+) 26. Funding and salaries				
Current Status	Remarks			
IN PROGRESS	Summary to date: An analysis has been carried out of current INCLIVA staff salaries by professional category. Indicators: Salary scales elaborated and approved by the board of trustees: not available Status of the action: action in progress, significantly behind schedule			

Proposed ACTIONS

Action 9

Developing of a follow-up and evaluation procedure for European calls Projects.
Developing of a follow-up and evaluation of scientific activities procedure specific for projects funded with European calls.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 6. Accountability		Y2(Q8) to Y3 (Q10)	A. Ferrer Internationalisation Unit)	- Follow-up and evaluation procedure for European calls Projects developed. - Follow-up undertaken in 100% of the projects.
Current Status	Remarks			
IN PROGRESS	Summary to date: SOPs have been drawn up for the international area on preparing European proposals, as well as management, monitoring, evaluation and economic justification of European projects. A SOP is also being finalized specifically for communication and dissemination of European projects. A review has also been carried out of SOPs operational in other units that affect the international area to evaluate whether they need modifying, passing on improvement suggestions to the people responsible for SOPs to include aspects relevant to international projects. Indicators: - Follow-up and evaluation procedure for European project calls developed: available. - Follow-up undertaken in 100% of the projects.			

Proposed ACTIONS

Action 10

To prepare procedures for actions carried out by the Research Commission. Procedures for actions carried out by the Research Commission will be prepared. Initial analysis of each project (when appropriate) will be performed and appropriate measures to adopt for each project will be proposed. Elaboration of a standard form to facilitate such review will be elaborated.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 7. Good practice in research		Y1(Q3) to Y1 (Q4)	M. Peiró (Scientific Sub-directorate)	- Procedures for actions carried out specifically by the Research Commission prepared.
Current Status	Remarks			
COMPLETED	Summary to date: The SOP for the work of the Research Commission has been updated. Project monitoring reports are evaluated by the assessor who carried out the initial proposal evaluation. Indicators: Procedures for actions carried out specifically by the Research Commission: procedures available			

Proposed ACTIONS

Action 11

Development of a defined policy of Open Access (OA). Adaptation to provisions and initiatives promoted by the European Union. Development of a defined policy of Open Access (OA) publications in INCLIVA.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 8. Dissemination, exploitation of results	Y2(Q7) to Y2 (Q8)	M. Peiró (Scientific Sub-directorate)	- Policy of Open Access (OA) developed and implemented.

Current Status	Remarks
COMPLETED	Summary to date: The Open Access Policy has been written and approved by the governing bodies and disseminated among researchers. Indicators: Open Access (OA) policy developed and implemented: available

Proposed ACTIONS

Action 12

Assessment indicators improvement. Assessment indicators improvement for research staff as well as for emerging groups is proposed. Activity assessment indicators not only for research groups but also for research staff will be included.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 11. Evaluation/appraisal systems		Y2(Q7) to Y2 (Q8)	M. Peiró (Scientific Sub-directorate)	- Assessment indicators established. - 100% Evaluations undertaken according to established indicators.
Current Status	Remarks			
IN PROGRESS	Summary to date: The integration plan that classifies research groups and their requirements has been updated. Research results will be evaluated within the framework of the transversal programs of the Cooperative Scientific Plan. Research staff activity is evaluated within the framework of public calls for funding. Prepared by the Ministry for Health (DG of Research), the Statute for Research and Management Staff defines the classification of research, platform and management staff and access requirements (professional career). Indicators: - Assessment indicators established: available. - Evaluations undertaken according to established indicators: not done.			

Proposed ACTIONS

Action 13

Selection processes dissemination improvement. Arbitrate open selection processes for recruiting candidates and human resources grants. Advertising on high impact websites (EURAXESS) of all vacancies depending from public funded calls. E. g. Open Calls for applicants pre-selection for Sara Borrell Grants

GAP Principle(s)

(+/-) 12. Recruitment

Timing (at least by year's quarter/semester)

Y2(Q5) to Y2 (Q6)

Responsible Unit

R. Cano (HH.RR Unit)

Indicator(s) / Target(s)

- 100% of selection processes published in EURAXESS in all vacancies depending from public funded calls

Current Status

COMPLETED

Remarks

Summary to date: Calls for jobs financed by public funds are disseminated via their own media (website) but are also posted in EURAXESS and the PROP jobs portal (https://www.gva.es/es/inicio/atencion_ciudadano/buscadores/busc_empleo_publico)
Indicators: - 100% of selection processes posted in EURAXESS in all vacancies from public funded calls: done.

Proposed ACTIONS

Action 14

Professional career elements introduction. It is proposed to work in conjunction with other Valencian Health Research Institutes and Valencia Regional Government on the Professional Career Elements introduction matter. Develop a Laboral agreement for INCLIVA itself.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 13. Recruitment (Code)	Y2(Q5) to Y5 (Q20)	V. de Juan (Financial Management)	- Number of meetings held with institutions and Valencia Regional Government. - INCLIVA own Laboral agreement approved by governing bodies.
(-/+) 15. Transparency (Code)			
(-/+) 21. Postdoctoral appointments (Code)			
(-/+) 25. Stability and permanence of employment			
(-/+) 26. Funding and salaries			
(--) 28. Career development			
(+/-) 39. Access to research training and continuous development			

Proposed ACTIONS

Current Status	Remarks
IN PROGRESS	Summary to date: During this period, we have collaborated in the working group coordinated by DG Research to create the Statute for Research and Management Staff of the Valencian Community. The draft of the Statute has already been made accessible to the public. A draft has been produced of the Incliva employment agreement, which is pending review and negotiation with the workers' representatives. Indicators: - Number of meetings held with institutions and Valencia Regional Government. - INCLIVA employment agreement approved by governing bodies: not done.

Proposed ACTIONS

Action 15

Improvement of processes related with personnel recruitment. Arbitrate procedures to give feedback to non-selected applicants. Score obtained communication will be implemented 1. The position resolution will be published with score obtained by selected candidate. 2. The e-mail sent to all candidates will indicate: a) Candidates who have not been selected to be interviewed, should be told that they have not obtained the score required to proceed to interview phase. b) To those candidates who have been interviewed but not selected in the process, should be told the position number achieved.

GAP Principle(s)

(-/+) 15. Transparency (Code)

Timing (at least by year's quarter/semester)

Y2(Q5) to Y3 (Q6);
Y2(Q8);Y3(Q12);Y4(Q16);Y5(Q20)

Responsible Unit

R. Cano
(HH.RR Unit)

Indicator(s) / Target(s)

- Human Resources procedure updated.
- Procedure followed in 100% of recruitment processes.

Current Status

COMPLETED

Remarks

Summary to date: During this period, the procedures for communicating evaluation results to candidates have been modified. Indicators: - Human Resources procedure updated: done. - Procedure followed in 100% of recruitment processes: done.

Proposed ACTIONS

Action 16	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
To develop a personal interview procedure linked to personnel recruitment. Develop a Personal interview procedure which includes PI instructions regarding qualitative evaluation criteria (teaching, staff supervisory, R+D+i management divulgation). Include these qualitative aspects assessment in the candidate personal interview established scoring.	(+/-) 14. Selection (Code)			
	(+/-) 16. Judging merit (Code)			
	(+/-) 17. Variations in the chronological order of CVs (Code)			- Personal interview procedure developed. - 100%
	(+/-) 18. Recognition of mobility experience (Code)	Y2(Q5) to Y3 (Q6); Y2(Q8);Y3(Q12);Y4(Q16);Y5(Q20)	R. Cano (HH.RR Unit)	of recruitment processes where the interview procedure has been implemented.
	(+/-) 19. Recognition of qualifications (Code)			
	(+/-) 20. Seniority (Code)			
	(+/-) 29. Value of mobility			
Current Status		Remarks		
COMPLETED		Summary to date: During this period, the SOP for human resources has been modified to include a document with instructions for the principal investigator on assessment of the interview phase of the positions advertised. Indicators: - Personal interview procedure developed: done. - Percentage of recruitment processes where the interview procedure has been implemented: 100%		

Proposed ACTIONS

Action 17	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Mentoring Plan. To develop and to disseminate a mentoring procedure, including continuous assessment process description, trainee satisfaction measurement procedure as well as incident handling and monitoring.	(-/+) 30. Access to career advice			
	(+/-) 36. Relation with supervisors	Y2(Q7) to	M. Peiró (Scientific	- Mentoring plan developed. -
	(+/-) 37. Supervision and managerial duties	Y2(Q8);Y3(Q12);Y4(Q16);Y5(Q20)	Sub-directorate)	Satisfaction rate over 80%.
	(+/-) 40. Supervision			
Current Status		Remarks		
IN PROGRESS		Summary to date: Mentoring Plan not started Indicators: - Mentoring plan developed: pending - 80% Satisfaction rate: pending Status of the action: action in progress, significantly behind schedule		

Proposed ACTIONS

Action 18	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Co-authorship. Include in the Annual Report co-authorships and all members participating in all activities and research results.	(+/-) 32. Co-authorship	Y1(Q4);Y2(Q8);Y3(Q12);Y4(Q16);Y5(Q20)	M. Peiró (Scientific Sub-directorate)	- 100% of activities with co-authorship.
	Current Status	Remarks		
	COMPLETED	Summary to date: The Annual Report communicates the Institutes' scientific activity including information on the authorship of research conducted. The website is being renewed (available in February 2021) to include updated information on scientific output, research projects and activities of consolidated groups, emerging groups and emerging researchers. Indicators: 100% of activities with co-authorship.		

Proposed ACTIONS

Action 19

Procedure for conflicts resolution. Develop a procedure for management and resolution of conflicts between INCLIVA personnel.

GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 34. Complains/ appeals		Y1(Q3) to Y1(Q4)	M. Peiró (Scientific Sub-directorate)	- Procedure established. - 100% of conflicts resolved.
Current Status	Remarks			
COMPLETED	Summary to date: During this period, a protocol has been drawn up in collaboration with the occupational risk prevention service. The protocol is approved and staff informed. Indicators: - Procedure established: done. - 100% of conflicts resolved: the procedure has only been activated once.			

Proposed ACTIONS**Action 20**

Research Commission representation. Include representatives of all research and technical personnel in the Research Commission.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
(+/-) 35. Participation in decision-making bodies	Y1(Q4) to Y2(Q5)	M. Peiró (Scientific Sub-directorate)	- 100% of research personnel represented in the Research Commission.

Current Status	Remarks
-----------------------	----------------

COMPLETED	Summary to date: In December 2019, the motion was approved to add new members to the Research Commission, who participated the meetings from 2020. Representation has been added of pre-doctoral, technical, primary care and nursing researchers. Indicators: 100% of research staff represented in the Research Commission: done.
-----------	---

Proposed ACTIONS

Action 21

Promote generational renewal. Deployment of Support Plan for Emerging Groups approved. The European projects unit has carried out several actions focused on emerging staff: a) surveys and personal interviews to discover training needs; b) correlation matrix between policies, priorities and international funding programs and the research lines of all researchers and emerging groups; c) information day on the paradigm shift from H2020 to Horizon Europe, the new European funded program; d) personalized advice on the focus of the research lines; d) support during the process of preparing European proposals.

GAP Principle(s)

(+/-) 3. Professional responsibility

(-/+) 5. Contractual and legal obligations

Timing (at least by year's quarter/semester)

Y3 to Y4

Responsible Unit

M. Peiró
(Scientific Sub-directorate)
R. Cano
(HH.RR Unit)

Indicator(s) / Target(s)

- Percentage implementation of Support Plan for Emerging Groups:
- N° of projects with co-PIs - N° of emerging researchers - N° of emerging groups - Percentage of emerging groups compared to total number of consolidated groups - Number of emerging researchers participating as PIs in non-funded European proposals - Number of emerging researchers participating as PIs in awarded European projects

Current Status

Remarks

NEW

Proposed ACTIONS

Action 22	GAP Principle(s)		Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
<p>Promote female leadership. The II INCLIVA Equality Plan proposes the following activities: - Training programs in female leadership adapted to the scientific and research sector. - Study aimed at identifying potential barriers to professional promotion - Promote and support projects in which women are promoted as principal investigators via a female sex tie-breaker clause for PI when calls have to be submitted with a limited number of projects. - Promote a Women's Network for health research through a specific work group or commission, where women join together and drawn up proposals to promote female talent in health research.</p>	(+/-) 3. Professional responsibility		Y4(Q13);Y4(Q15);Y5(Q17);Y5(Q18)	M. Peiró (Scientific Sub-directorate)	- N° of women leaders of a consolidated or emerging group - N° of female PIs from European or national research projects (National Plan)
	Current Status	Remarks			
	NEW				

Unselected principles:

(++)10. Non discrimination (++)22. Recognition of the profession (++)23. Research environment (++)24. Working conditions

(++)27. Gender balance (++)31. Intellectual Property Rights (++)33. Teaching (++)38. Continuing Professional Development

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://www.incliva.es/rrhh/human-resources-strategy/> (<https://www.incliva.es/rrhh/human-resources-strategy/>)

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 (Initial Phase)

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.** Presentation event of INCLIVA HRS4R action plan for all Institute personnel. To develop an annual satisfaction survey to assess the level of satisfaction with the Human Resources Strategy among research personnel. To incorporate a presentation of Institute Human Resources Strategy for research and its progress in INCLIVA scientific conferences. Annual review of outcomes.

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

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:

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

4. Implementation

General overview of the implementation process: (max. 1000 words)

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, which you will need to describe in detail:

Note: Click on each question of the checklist to open the editor.

How have you prepared the internal review?*



Detailed description and duly justification (max. 500 words)

The HRS4R working group meets quarterly and prepares an annual report (each October) with information on the progress of each action. The 2019 and 2020 reports have been submitted and approved by the Internal and External Scientific Committee, as well as by the Governing Board.

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



Detailed description and duly justification (max. 500 words)

INCLIVA has a Strategic Plan for the period 2020-2024 which includes the actions proposed in the action plan. The INCLIVA scientific community, advisory bodies, and management staff have all participated in developing the Strategic Plan.

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



Detailed description and duly justification (max. 500 words)

INCLIVA has a working group coordinated by INCLIVA's Scientific Sub-Directorate, with participation from those in charge of each different action in the action plan. Dr. Carmen Gómez has joined the working group as a representative of the researchers.

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)

INCLIVA has a Strategic Plan for the period 2020-2024 including actions in the HRS4R action plan. In this strategic plan, six strategic areas have been defined: Transfer, institutional positioning, governance and management, talent, innovation and institutional relations and alliances. The actions of the HRS4R are aligned with the areas of talent and governance and management.

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



Detailed description and duly justification (max. 500 words)

The actions proposed in the HRS4R action plan have been monitored on a quarterly basis to assess their implementation.

How are you monitoring progress (timeline)?*



Detailed description and duly justification (max. 500 words)

As previously indicated, quarterly monitoring of action plan progress is being carried out, and additionally INCLIVA management perform an annual review via a report sent to both internal and external scientific committees, as well as to the governing board.

How will you measure progress (indicators) in view of the next assessment?*



Detailed description and duly justification (max. 500 words)

We conduct an annual review of the HRS4R strategy. In the 2019 annual report, 28.6% of actions were completed (6), 38% were in progress (8), 4.8% had not started according to schedule (1), 23.8% were significantly behind the planned schedule (5) and 4.8 % were behind schedule (1).

In 2020, 47% of the actions have been completed (10), 38% were in progress (8) and 15% were significantly behind schedule (3).

Two new actions were defined in the midterm evaluation.

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



Detailed description and duly justification (max. 500 words)

The annual evaluation report prepared by INCLIVA's HRS4R working group will be submitted for evaluation and approval by the External Scientific Committee, which is made up of respected researchers in the biomedical field and which functions as an advisory committee to INCLIVA management.

Additional remarks/comments about the proposed implementation process: (max. 1000 words)

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.**