

TEMPLATE 4: ACTION PLAN

Case number: 2021ES590430

Name Organisation under review: INSTITUTO DE INVESTIGACIÓN SANITARIA DEL PRINCIPADO DE ASTURIAS (ISPA)

**Organisation's contact details: Av/ Hospital Universitario s/n. 33011. Oviedo (Asturias). España
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SUBMISSION DATE:

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	843
<i>Of whom are international (i.e. foreign nationality)</i>	18
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	11
<i>Of whom are women</i>	501
<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>	178
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	325
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	142
<i>Total number of students (if relevant)</i>	30
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	92
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	4,765,612.53
<i>Annual organisational direct government funding (designated for research)</i>	2,826,938.32
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	2,163,255.21
<i>Annual funding from private, non-government sources, designated for research</i>	1,938,674.21
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Health Research Institute of Asturias (ISPA) was created in 2016 with the main objective of performing cutting-edge work in research and innovation through interdisciplinary collaboration within the biomedical sciences and with technology sector. To achieve this aim, ISPA has a range of research groups that make an international-level impact in their subject area. It is currently comprised of over eight hundred researchers and nine research divisions, focusing on some of the most concerning health issues from different points of view. The Foundation for Biomedical Research and Innovation in Asturias (FINBA) is its managing organisation and provides the Institute with legal personality and public-private financing.</p>	

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.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>STRENGTHS</p> <p>Highly qualified and committed professionals. High-profile & internationally renowned researchers. Multidisciplinary collaborative environment to promote translational/applied research and the rapid transfer of results to clinic/companies. Biomedicine is one of the most prominent research areas joining a remarkable number of internationally reputed research groups taking into consideration that Asturias is such a small and peripheral region in Spain.</p> <p>A number of Commissions and Working Groups have already been created to assure and monitor specifically various fundamental aspects of HRSR4 Code, regarding ethical and legal principles, non-discrimination policies, Good Practice Code, Gender Equality and Diversity, Harassment Complaints Committee, Communication & Public Engagement, Innovation Support Unit...</p> <p>These organizational actions are strongly encouraged and promoted at ISPA, which involve the participation of ISPA researchers from different groups, categories, and forming institutions, with a good gender balance.</p> <p>WEAKNESSES</p> <p>ISPA comprises research groups and staff from different forming institutions. Hence, there is some heterogeneity in contractual terms and evaluation/appraisal systems, career prospects.</p> <p>Unavailability of a back-up system to secure data from technological disasters.</p>
Recruitment and selection	<p>STRENGTHS</p> <p>Recruitment and selection procedures are open, accessible, and well defined. Job offers explicitly describe eligibility and evaluation criteria. Job offers are widely published in Euraxess as well as in the websites of FINBA, ISPA, Central University Hospital of Asturias (HUCA), Foundation for the Promotion of Applied Scientific Research and Technology in</p>

	<p>Asturias –FICYT, the network of clinical research management entities (REGIC) and social networks (Twitter and LinkedIn). Qualifications (especially in the case of PhD calls) and stays in foreign and prestigious national centers and are duly valued. Merits are evaluated quantitatively and qualitatively by in-person interviews.</p> <p>The selection process takes into consideration the whole range of experience of the candidates. Interruptions (maternal / paternal leave, care of dependents and volunteering) are not negatively evaluated, granting the corresponding extension periods.</p> <p>Personnel to be hired within public grants is evaluated by a specific selection panel that will assure unbiased evaluation.</p> <p>WEAKNESSES</p> <p>The main problem underlying all the principles of this block is that the scientific career is not defined. It is proposed to use other institutes as a guide.</p> <p>Job offers are not always translated into English.</p> <p>There is no plan for postdoctoral researchers who are not part of a public program even if they lead research projects as PI or supervise staff.</p> <p>-The evaluation criteria and requirements should be less specialized, more general and completely objective. Prospects for professional development should be indicated. Members of both public and private sectors as well as from other national or foreign centers should be included in those committees evaluating senior positions and group leaders.</p>
Working conditions	<p>STRENGTHS</p> <p>ISPA has all the necessary committees to properly regulate the working conditions of its staff. These committees have drawn up plans that regulate aspects related to the administration of human resources, equality and harassment, innovation, etc. These plans recognize the value of mobility, co-authorship and teaching, the relevance of keeping an appropriate gender balance, the protocols to deal with complains/appeals or the participation in decision making-bodies. In addition, there are specific plans and calls for the training of researchers, to promote mobility & internationalization and to support emerging groups.</p> <p>WEAKNESSES</p> <p>The main weakness of our center in terms of the regulation of working</p>

	<p>conditions is the lack of a motivating career development program for researchers of all categories. The development of this professional career must be based on a fair evaluation system that, in addition to scientific production, takes into account the rest of the aspects involved in scientific activity (mobility, teaching, participation in management, etc.) and consider periods of inactivity and changes in professional activity. It is also necessary to increase employment stability as well as to improve the salary scales for researchers at all categories. Finally, although the center already takes into account aspects such as reconciliation of work and family life, disability, flexible working or teleworking, these should be included and regulated within the strategic human resources plan at ISPA/FINBA.</p> <p>There is high heterogeneity in contractual terms and evaluation/appraisal systems, career prospects among research groups and staff from different ISPA forming institutions (i.e. Univ. Oviedo, CSIC, HUCA and FINBA).</p>
<p>Training and development</p>	<p>STRENGTHS</p> <p>ISPA has a well-defined scientific hierarchy for tutoring and supervising activities within the research groups and scientific areas. Researchers in training phase have continuous interaction with their direct supervisors and group leaders, and it is expected to receive adequate feedback from them. On the other hand, senior researchers, besides their role as group leaders, usually participate in specific commissions involved in scientific management, training and mentoring tasks, as well as evaluation and monitoring activities.</p> <p>ISPA has a training plan for researchers at all career stages. This plan includes a new Master Program in Clinical Research (pending of approval) and a new PhD Program on Clinical Research (approved to be starting in 2021/2022 course) developed at ISPA and offered by the University of Oviedo. The training plan also includes several courses on biostatistics, bioinformatics, flow cytometry, scientific social communication, among others. Additionally, ISPA organizes seminars and conferences related to health and biomedical research and innovation. All activities included in the training programs (courses, seminars, etc.) are openly accessible to all ISPA personnel.</p> <p>WEAKNESS</p> <p>The offer of seminars and conferences by external speakers is limited and should be improved.</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.ispasturias.es/el-instituto/documentacion/planes/plan-de-recursos-humanos/>

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:

<i>Proposed ACTIONS</i>	<i>GAP Principle(s)</i>	<i>Timing (at least by year's quarter/s emester)</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target(s)</i>
<p>A1. Update and complete the information included in the Welcome Pack with information concerning legal regulations and accountability as part of the Good Practice Code available at the ISPA website.</p> <p>Welcome Pack will be timely distributed to all new incorporated staff members upon arrival. Any new relevant information will also be widely disseminated to all the staff through the main internal channels (i.e. Intranet, Newsletters, emails) and the latest edition of the Welcome Pack will be available through Researcher Portal/Intranet.</p>	5 and 6	<p>I1: Q1 2022</p> <p>I2: From Q1 2022 onwards</p>	<p>Human Resources Department</p> <p>Quality Committee</p>	<p>I1: Regular publication of an updated version of the Welcome Package.</p> <p>I2: Delivery and explanation of the new version of the manual to 100% of the new incorporated staff within 2 weeks after incorporation</p>
<p>A2. Implementation of a proper back-up system for data recovery in case of technology disasters.</p>	6	<p>I1: Q3 2022</p>	<p>Management Director</p> <p>Quality Committee</p>	<p>I1: Availability of this resource by ISPA staff.</p> <p>I2: Availability of an institutional guide on</p>

<p>Create and store copies of data to allow researchers to recover information from a backup in case of lost or damaged data.</p> <p>We will also implement a Data Management Plan in line with Open Science policies</p>			<p>Open Science Committee</p> <p>IT services</p>	<p>scientific data management.</p>
<p>A3. Redefinition of the recruitment process according to the OTM-R policy.</p> <p>We will work on the preparation of a new version of Human Resources Plan and a Standard Operating Procedure. We will also prepare a standardized model of job description and job specifications in English including details on the evaluation process (mainly focus on the assessment of the candidates' overall trajectory) and promotion prospects. We will work on a panel of selection committee including more objective and external members whenever possible. We will provide selection committees with a guide setting out OTM-R procedures and practices. Finally, we will implement a quality control system aimed to check the evolution of specific indicators such as: i) the number of properly formed committees, ii) the number of ads included in Euraxess and other media, iii) the percentage of candidates who are informed of the</p>	<p>12,13,14, 15 Y 21</p>	<p>I1: Q3 2022 I2: Q3 2022 I3: Q1 2022 I4: Q2 2022 I5: annual monitoring from Q1 2023</p>	<p>Management Director</p> <p>HR department</p> <p>HRS4R commission</p>	<p>I1: Redaction and approval of a new version of the HR plan. I2: Redaction and approval of a Standard Operating Procedure (SOP). I3: Preparation of a standardized model of job description. I4: Prepare and provide a guide for selection committees adjusted to the OTM-R policy. I5: Redaction of annual reports stating the situation/evolution of indicators related to the OTM-R selection policy.</p>

<p>resolution, iv) the number of external / foreign / underrepresented candidates who apply and those hired, v) the number of complaints resolved / feedback reported, and vi) the number of revisions of the SOP and selection process guide.</p>				
<p>A4. Define a career development program including researchers, technicians and management staff. This plan will include a clear route for postdoctoral researchers with different types of contracts and/or holding different tenure-track programs to gain stable positions.</p>	<p>13, 17, 20, 21, 22, 25, 26, 28, 30, 33</p>	<p>I1: Q2 2023 I2-I5: annual monitoring from Q1 2024</p>	<p>Scientific direction Managing direction Human Resources Department HRS4R commission Collective consultation with employee representatives from all R1-R4 categories</p>	<p>I1: Plan approved by the Governing bodies and published in the institute's web. I2: Number of employees enrolled in the new program. I3: Number of employees awarded with promotions within their career path. I4: Number of Co-IP appointments I5: Number of external and internal researchers applying for newly created positions and National Calls (especially Miguel Servet, Ramon y Cajal and AECC tenure track programs). This will allow to measure the impact of the new career program on the attraction/retention of talent.</p>
<p>A5. Implement an internationalization support program.</p>	<p>23</p>	<p>I1: Q1 2024 I2: Q3 2024 I3: Q2 2024</p>	<p>Scientific direction Managing direction Projects management department</p>	<p>I1: Hire personnel specialized in application / management of EU grants. I2: Development of a guide aimed to provide researchers support for EU grants</p>

				applications. I3: Establish agreements with internalization offices of other institutions of our research environment (e.g. University of Oviedo)
A6. Establish a procedure to collect and process the needs of researchers in terms of equipment	23	I1: Q3 2022	Scientific direction Managing direction scientific platforms commission	I1: Publication of a guide establishing the procedure to collect, evaluate and process researchers' needs.
A7. Revise the Human Resources Plan to include specific instructions aimed to facilitate the reconciliation of family and work, flexible working, tele-working, sabbatical leaves and to ensure adequate working conditions for disable staff.	24, 27	I1: Q4 2022	Managing direction Human Resources department HRS4R commission Equality and diversity commission	I1: Approval and publication in the institutional web of a revised version of the RH plan including those instructions.
A8. Define a fair evaluation / appraisal system which must take into account accordingly the available resources and the needs/limitations faced by the researchers. Evaluation criteria should extend beyond scientific production to other contributions such as management activities, teaching/mentoring, mobility, involvement in institutional organizational Units and Working Groups.	11, 25, 26, 28, 29, 33	I1: Q3 2022 I2: annual monitoring from Q1 2023	Scientific direction Managing direction Coordinators of scientific areas Group leaders HRS4R commission	I1: Approval and publication of re-defined evaluation / appraisal system adequate for R1-R4 staff. I2: Record of evaluations performed and rate of positive outcomes reflected in the perception of salary incentives and/or career promotions.
A9. Design a plan for the future to support research groups with stable positions for researchers and technicians, especially for groups not associated with other institutions that already have a	25	I1: Q3 2023 I2: Q4 2023 I3: annual monitoring from Q1 2024	Scientific direction Managing direction Human Resources department HRS4R commission	I1: Evaluation of the groups to define their strengths and needs. I2: Publication of a first call to provide groups with stable positions. I3: Number of stable positions provided to

stable research career.			Coordinators of scientific areas Group leaders	research groups.
A10. Implementation of salary incentives based on performance evaluation through a fair appraisal system for R1-R4 researchers.	26	I1: Q2 2022 I2: annual monitoring from Q1 2023	Scientific direction Managing direction Human Resources department HRS4R commission	I1: Setting reasonable targets for the achievement of incentives for each position. I2: Number of employees receiving incentives.
A11. Promote the presentation of female candidatures to management structures with representation in the ISPA Internal/External Scientific Committees, Ethical Committees and other making decision body as way to improve women representation.	27	I1: annual monitoring from Q1 2022	Gender balance & equality commission	I1: Annual evaluation of the female/male proportion in making decision bodies
A12. Implementation a Counsellor Committee to offer career advice and job place assistance to all researcher categories.	30	I1: Q3 2023 I2: annual monitoring from Q1 2024	Human Resources department Training Unit	I1: Appointment of a Counsellor Committee. I2: Number of requests for advice attended by the committee
A13. Modify the Human Resources and Innovation Plans to specify precisely what rights derived from the protection of intellectual property belong to researchers, to their employers or to other parties.	31	I1: Q3 2022	Innovation committee Human Resources department	I1: Approval and publication of a revised version of the HR Plan including this information.
A14. Create the figure of the Ombudsman for researchers	34	I1: Q3 2023 I2: annual monitoring from Q1 2024	Human Resources department	I1: Appointment of the Ombudsman I2: Number of complaints/appeals attended.
A15: Hold an annual institutional meeting open to all the staff at ISPA aimed to jointly	35	I1: annually starting in Q4 2022	Scientific direction Managing direction	I1: Annual ISPA meetings organized and held.

report/discuss scientific and management activities and future strategic plan.				
A16. Increase the number of seminars, with special focus on external speakers trying to cover topics related to all scientific areas of the institute.	38	I1: annual monitoring from Q1 2022	Training Unit	I1: Number of imparted seminars at ISPA, including speakers' affiliation, related scientific area and record of public attendance.
A17. Improve the offer of workshops and training courses at ISPA.	38, 39	I1: annual monitoring from Q1 2022	Training Unit Communication Commission	I1: Number of courses and workshops organized, attendance rate and participants' survey.

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.

The preferred recruitment system for the filling of vacancies at ISPA is the public merit-based selection process. The recruitment strategy at ISPA is administratively managed by the FINBA and carried out in accordance to the principles of equality, merit, ability and publicity.

The HR Plan contemplates a selection system of candidates through evaluation committees specifically designated for each call. The Principal Investigator responsible for the job vacancy will be in charge of the selection Committee appointment, which should involve a minimum of three researchers/members, all of them with academic degrees/qualifications equal to or higher than those to be selected and hired.

All the calls for vacancies are public and widely advertised and disseminated through national and international channels, including full description of the position offered as well as clear specifications on the purpose of the call, job functions, candidate requirements, working conditions, composition of the selection committee, scale, etc.). Candidates are timely informed along the different phases/steps of the selection process. Each decision is open and published and a period of allegations appropriately granted. The final resolution is communicated to all the applicants.

According to the weaknesses herein identified, the selection procedure will be improved to the requirements established by the C&C and the OTM-R policy by applying the following actions:

- Definition of a career development program including researchers, technicians and management staff.
- Redaction of a new version of the strategic HR Plan
- Development of OTM-R policy
- Training activities in the area of OTM-R
- Redaction of a Standard Operating Procedure (SOP):
 - Use templates in English
 - Preparation of a OTM-R guide for selection committees
 - Preparation of a standardized model of job description and position specifications including details on the evaluation process (mainly focus on the assessment of the candidates' overall trajectory) and promotion/career prospects.
 - A quality control system will be developed for OTM-R through annual reports and measurement of specific indicators.

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:

4. IMPLEMENTATION

General overview of the expected implementation process:

(free text, 1000 words maximum)

A Working Group has been specifically created to elaborate an internal analysis and to develop a detailed Action plan aimed at accomplishing the HRS4R Charter & Code principles. This Working Group will also be in charge of monitoring the implementation process thereby running quarterly meetings (in March, June, September and December) and collecting/receiving timely reports/feedback from the specific Commissions and Units primarily responsible for each proposed action as well as GAP the degree of implementation according to the expected deliverables and indicators herein described. The Working Group is jointly composed by representatives from all R1-R4 researcher categories and management staff. All this information is publicly available at the ISPA website. (<https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/>)

- René Rodríguez González (Team Leader, R4)
- Juana María García Pedrero (Senior Researcher, R3)
- Sara Panizo García (Senior Researcher, R3)
- Mónica Álvarez Fernández (Postdoctoral Researcher, R2)
- Cristina Martín Martín (Laboratory Manager , R2)
- Verónica Rey Vázquez (Predoctoral Researcher, R1)
- Lucía Fernández Ortiz (Administrative Staff, Human Resources)
- Roberto Fernández Pérez (Administrative Staff, Scientific Direction Office)

The Working Group will keep regularly informed on the progress of the HRS4R implementation strategy to the ISPA Steering Committee headed by the Scientific Director and the Management Director, as the body having the ultimate decision power, which will supervise and provide the necessary resources and support to successfully accomplish the proposed actions/measures on the agreed time schedule or to assist in case any change or recommended correction is needed.

In the second year of implementation (two years after receiving HRS4R Recognition and starting of the implementation of the Action Plan), an interim evaluation will be carried out, consisting of:

- an internal review to see compliance with the proposed action plan, and for its updating.
- an external review by external experts contracted by the European Commission.

When conducting internal audits and external audits by both management systems, most of the actions contained in the HRS4R Action Plan will be reviewed.

The conduction of a survey, among ISPA staff to collect their opinion after the second year of implementation is also suggested. The survey should include the level of implementation and satisfaction regarding the Human Resources Strategy.

It is worth to mention that a number of specific organizational Commissions and Working Groups have already been created to assure and monitor compliance of major aspects of HRSR4 Strategy, such as seeking ethical and legal policies, non-discrimination, Good Practice Code, Gender Equality and Diversity, Harassment Complaints Committee, Communication and Public Engagement and Innovation Support. These actions are strongly encouraged and promoted at ISPA, as well as a Scientific Plan that includes aims and lines of action that emphasize the importance of applied research, a translational and innovative model of research thereof, creating multidisciplinary collaborative environments aimed at improving the rapid transfer of scientific knowledge to the clinical practice to benefit patients care and public health for the good of the society. Accordingly, the ISPA Strategic Plan 2018-2022 is therefore well-aligned and fully supports the HRSR4 principles & policies, as it is also highly encouraged and recommended by the Instituto de Salud Carlos III, main Funding Agency from the Spanish Ministry of Science and Innovation for Health Research Institutes as ours aimed at receiving an Excellence Recognition Award.

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?	The ISPA Steering Committee will be initially composed by the members of the Working Group responsible of the HRS4R process. This steering group will be in close contact with all the parties mainly responsible for the implementation of the proposed actions, which will report on the progress made to achieve the different objectives associated with each action. Advances in the implementation of the Action Plan will be regularly monitored through quarterly review meetings by the Steering Committee.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	The action plan will be firstly reviewed and approved by the governing bodies and published on the institutional websites and a channel will be set up to collect proposals and suggestions from

	<p>the different groups of the scientific community about the plan for implementation. It is also proposed to collect the opinion of the ISPA researcher community through a biannual survey, in which the degree of implementation and satisfaction by all ISPA staff is identified in relation to the Human Resources strategy. Beyond this, it will also be our strong commitment to greatly and widely disseminate information on the HRS4R award principles and benefits to both the scientific community and also public society, through informative talks and publications in press and social media. Moreover, all the public presentations of the HSR4R Process will highlight the multiple benefits that the implementation of a Human Resources Plan aligned to HRS4R Charter & Code principles will bring to researchers and their institutions, in line with the recommendations by the European Union and also the main Public and Private Research Funding Agencies in Spain. The development of this Plan will undoubtedly result in a greater motivation for researchers, a better attraction, selection and retention of internal/external talent, improvement of scientific productivity & institutional visibility and reputation.</p>
<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>	<p>The ISPA research strategy and the Human Resources Plan will be revised to include all the necessary changes/adjustments according to HRS4R guidelines. New versions of these documents will be approved by ISPA and FINBA governing bodies.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>Any difficulties, deviations or delays identified by the units responsible for the implementation of the different actions of the Plan will be communicated to the Steering Committee. This group will evaluate the best way to solve the problem.</p> <p>The adhesion to the HRS4R process is also highly encouraged by the main National Health Research Funding Agency (Instituto de Salud Carlos III). This Agency grants an excellence in research award for Centers that credit a high level of development in</p>

	all facets associated with the research activity including alignment to the HRS4R policies. Our Center is currently applying to obtain this award. This will therefore act as an extra-motivating factor for all actors involved in the implementation of the HRS4R process.
How will you monitor progress (timeline)?	The Steering Committee will require and revise information from the pertinent responsible units on a quarterly basis. Additional meetings of the Group could be scheduled if required to deal with specific issues.
How will you measure progress (indicators) in view of the next assessment?	The Steering Committee will collect information from the responsible units about the progress made in the different aforementioned indicators defined for each action on a quarterly basis. The percentage of accomplishment in each period will be registered.

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)