

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: **2021ES590430**

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

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SUBMISSION DATE: 23/08/2021

DATE ENDORSEMENT CHARTER AND CODE: 05/02/2021

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

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| <p>Status: to what extent does this organisation meet the following principles?</p> | <p>Implementation : ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented</p> | <p>In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation</p> | <p>Initiatives undertaken and/or suggestions for improvement:</p> |
| <h3>Ethical and Professional Aspects</h3> | | | |
| <p>1. Research freedom</p> | <p>++</p> | <p>ISPA comprises different research groups joining collaborative efforts and a multidisciplinary focus on basic, translational and clinical biomedical research. Several priority research areas have been outlined at ISPA, according to a strategic plan. Nevertheless, researchers maintain full</p> | <p>Undertaken initiatives:</p> <p>1. Available at ISPA website Spanish & English versions for Mission, Vision and Values of our Institute (https://www.ispasturias.es/el-instituto-eng/mision/?lang=en), Organizational</p> |

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| | | <p>freedom to define their own lines of research and specific aims, or expand them according to emerging diseases or urgent health needs (e.g. new projects on COVID-19). The work plan is entirely a researcher's decision as well as the choice of the most adequate methodology to successfully accomplish it, which is generally restricted/adjusted to budgetary and infrastructural constraints.</p> <p>There is also an external scientific committee formed by international experts in various Biomedical research fields, who regularly evaluate the research activities/achievements at ISPA and provide advice for future recommendations/improvements.</p> | <p>Structure (https://www.ispasturias.es/el-instituto-eng/estructura-eng/?lang=en), Research Divisions/Areas (https://www.ispasturias.es/investigacion-eng/?lang=en), Services and Platforms (https://www.ispasturias.es/servicios-y-plataformas-eng/?lang=en)</p> <p>2. The composition of the main bodies responsible for governance and management (i.e. Board of Governors, Internal Scientific Committee, External Scientific Committee, Scientific Director, and Technical Coordination Office) is also fully available at the link (https://www.ispasturias.es/el-instituto-eng/estructura-eng/?lang=en).</p> |
| 2. Ethical principles | ++ | <p>ISPA-FINBA acts according to the EU and national legislation regarding to ethical principles in research. Ethical aspects related to research such as antiplagiarism, authorship, intellectual property norms and respect confidentiality and privacy are pursued by the researchers.</p> <p>The research projects undertaken at ISPA frequently involve clinical studies with patients and/or experimental work using animal models. It is therefore mandatory to obtain previous approval by the Institutional Ethics Committee of the Principado de Asturias, when involving patient samples/clinical data to supervise and warrant data protection and confidentiality. Moreover, written informed consent is also required from each patient enrolled in the study. Similarly, all experimental procedures with animals will be performed in accordance with the Welfare Ethics</p> | <p>Undertaken initiatives:</p> <p>1. Ethical and legal principles are summarized in the Guide to Good Research Practice, which is available at ISPA website (https://www.ispasturias.es/el-instituto-eng/documentacion/?lang=en).</p> <p>Currently, there is only a Spanish version of this document.</p> <p>https://www.ispasturias.es/wp-content/uploads/2021/03/Guia-de-buenas-practicas-en-investigacion-ISPA-v.2.pdf</p> <p>An English version should also be available shortly.</p> |

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| | | <p>Committee and institutional guidelines of the University of Oviedo, and will be approved by the Animal Research Ethical Committee of the University of Oviedo prior to the study.</p> <p>The ISPA Guide to Good Research Practice states that any investigation protocol directly or indirectly involving the participation of patients, clinical data or biological samples requires previous submission and approval by the Research Ethics Committee of the Principality of Asturias.</p> | |
| 3. Professional responsibility | ++ | <p>To avoid the duplication of the research, the ISPA trusts in the knowledge and scientific criteria of the researchers. ISPA researchers are aware to avoid plagiarism.</p> <p>ISPA has a Scientific Plan that includes aims and lines of action that emphasize the importance of applied research, a translational 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. As a biomedical research institute, to address and improve health population needs is one of the priority objectives of ISPA.</p> | <p>Undertaken initiatives:</p> <p>1. There are various documents and Plans already available at the ISPA website:</p> <p>Mission, Vision and Values https://www.ispasturias.es/el-instituto-eng/mision/?lang=en</p> <p>ISPA Strategic Plan https://www.ispasturias.es/el-instituto-eng/documentacion/planes/plan-estrategico/?lang=en</p> <p>Scientific Cooperation Plan https://www.ispasturias.es/wp-content/uploads/2019/03/Plan-Cient%C3%ADfico-Cooperativo-ISPA.pdf</p> <p>Pdf files should be soon available in English version.</p> |
| 4. Professional attitude | ++ | <p>Most of the ISPA financing is provided by competitive funding projects. The rules and regulations that must be complied to attain the</p> | <p>Undertaken initiatives:</p> <p>1. The ISPA Strategic Plan (2018-2022) is</p> |

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| | | <p>funds are detailed in the basis of each goal. Researchers are aware that they must inform employers, funders or supervisors about any relevant changes/delays in the development of research projects.</p> <p>The ISPA Strategic Plan (2018-2022) identifies a series of common goals and defining the mission of the institute. This document can be found at the ISPA website https://www.ispasturias.es/el-instituto/documentacion/</p> | <p>available at the following link: (https://www.ispasturias.es/wp-content/uploads/2019/03/Desarrollo-Estrat%C3%A9gico.pdf)</p> <p>The ISPA Strategy involves specific plans for Integration, Formation, Human Resources, Quality & Good Practice, Equality & Diversity, Open Science, RRI Strategy, Communication and Innovation. These documents can be found at https://www.ispasturias.es/el-instituto/documentacion/planes/</p> <p>Links for other related documents, which have already been uploaded:</p> <p>Incorporation Plan (https://www.ispasturias.es/wp-content/uploads/2019/01/Plan-de-integraci%C3%B3n.pdf)</p> <p>Internal Organisational Structure & Rules of Procedure (https://www.ispasturias.es/wp-content/uploads/2020/02/Reglamento-de-Regimen-Interno-vigente-V13-26122019.pdf)</p> <p>Pdf files for all these documents should also be available in English version.</p> |
| 5. Contractual and legal obligations | -/+ | <p>Researchers are aware of their contractual and legal obligations and institutional regulations regarding Intellectual Property Rights and delivery of results. Information on contractual and legal obligations are available at ISPA website for workers and researchers at all HR categories (R1-R4).</p> <p>Welcome Pack will be regularly edited to include updated information concerning legal regulations</p> | <p>Undertaken initiatives:</p> <p>1. The Guide to Good Research Practice is available at the following link: https://www.ispasturias.es/wp-content/uploads/2021/03/Guia-de-buenas-practicas-en-investigacion-ISPA-v.2.pdf</p> <p>Link for the current version of the Welcome Guide for Researchers:</p> |

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| | | <p>as part of the Good Practice Code available at the ISPA website</p> | <p>https://www.ispasturias.es/wp-content/uploads/2019/11/Gu%C3%ADa-acogida-a-investigadores.pdf</p> <p>Suggestions for Improvement:</p> <ol style="list-style-type: none"> 1. The Welcome Guide for Researchers will be regularly edited to include updated information concerning legal regulations and accountability as part of the Guide to Good Research Practice. 2. These documents will be updated and Spanish and English versions will be both made available in the web. |
| 6. Accountability | +/- | <p>ISPA is fully committed to the principles of transparent and efficient management of public funds. Researchers at the ISPA are familiar with the national and institutional regulations governing training or working conditions.</p> <p>To assure the correct execution of the budgetary allocations of the projects, ISPA has a computerized system (FUNDANET) for economic monitoring and administrative management which includes modules for managing grants, animal experimentation, research projects and human resources. However, ISPA-FINBA currently lacks proper back-up strategies for recovery information in case of technology disasters.</p> <p>ISPA supports transparency in research by encouraging data and other output to be made available for scrutiny. Spanish law 19/2013, on Transparency, Access to public information and</p> | <p>Undertaken initiatives:</p> <ol style="list-style-type: none"> 1. Full information regarding Management Policies & Transparency can be found in the FINBA (ISPA Managing Foundation) website https://finba.es/quienes-somos/transparencia/ <p>Link for access to FUNDANET system: https://finba.fundanetsuite.com/IFundanet/Identificacion/IdentificacionFrw.aspx?ReturnUrl=%2fIFundanet%2f</p> <p>Suggestions for Improvement:</p> <ol style="list-style-type: none"> 1. Implementation of a back-up data system 2. The Welcome Guide for Researchers will be regularly edited to include updated information concerning accountability as part |

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| | | Good Governance includes the right of access to public information that will begin with the presentation of the corresponding request. | of the Guide to Good Research Practice available at the ISPA website |
| 7. Good practice in research | ++ | <p>There is an external occupational risks prevention service that performs an independent assessment.</p> <p>It is mandatory that all ISPA-FINBA workers pass a specific course for Prevention of Occupational Hazards. In addition, basic instructions on Security, Biosafety are given upon arrival before starting scientific work at ISPA laboratories/facilities.</p> <p>In accordance with the provisions of Regulation (EU) 2016/679, ISPA/FINBA undertake the necessary steps to fulfill the legal requirements regarding data protection. More information about this matter is available at the following link http://finba.es/politica-de-privacidad-y-proteccion-de-datos/.</p> <p>Research projects that involve biological samples must guarantee the confidentiality of donors, regardless of the degree of identification in which the samples are stored.</p> | <p>Undertaken initiatives:</p> <p>1. The Guide to Good Research Practice is available at the following link https://www.ispasturias.es/wp-content/uploads/2021/03/Guia-de-buenas-practicas-en-investigacion-ISPA-v.2.pdf</p> <p>Protection Manual https://www.ispasturias.es/wp-content/uploads/2019/05/Plan-de-autoproteccion-de-datos.pdf</p> <p>Specific information regarding Data Protection Policy at this link: http://finba.es/politica-de-privacidad-y-proteccion-de-datos/</p> |
| 8. Dissemination, exploitation of results | ++ | <p>Researchers work to promote a culture of innovation by ensuring the protection of research results so that they are used in a way that adds value to society and made accessible to the public in the form of publications or reports. ISPA manages the protection and transfer of the research results generated within its scope through the Innovation Support Unit, an operational structure responsible for promoting</p> | <p>Undertaken initiatives:</p> <p>1. Link for the ISPA Communication Plan (https://www.ispasturias.es/el-instituto/documentacion/plan-comunicacion/)</p> <p>Link for the Plan for Translation and Transfer of Research Results (https://www.ispasturias.es/wp-content/uploads/2020/07/2020_PLAN-DE-</p> |

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| | | <p>and capturing the generation of new ideas as well as the search and evaluation of technological solutions. When needed transfer of results is carried out in coordination with the Office for the Transfer of Research Results (OTRI) of the University of Oviedo and the CSIC. Details on Research Transfer and Intellectual Property Regulations are included in Research Translation and Transfer Plan and the Code of Good Research Practice available at the ISPA website.</p> <p>ISPA has a Communication Unit that aim to disseminate research results through the organization and coordination of several activities (seminars, talks, school visits, press releases, etc). An institutional Communication Plan is available at the following link: https://www.ispasturias.es/wp-content/uploads/2021/03/2021_COMUNICACION_ISPA_V3.0.pdf</p> | <p>TRASLACION-Y-TRANSFERENCIA -ISPA V.0.pdf) Specific link to the ISPA Innovation Unit and data on patents and transferable results to the clinic https://www.ispasturias.es/innovacion-y-transferencia/</p> <p>This information should also be made available in English.</p> |
| 9. Public engagement | ++ | <p>Researchers take part into public communication activities to improve the understanding of their line of research for non-specialist public. ISPA annually organizes jointly with the University of Oviedo, a 2-month training course directed to biomedical researchers to receive recognition as Experts in Public Communication of Science. ISPA has recently created a Communication Unit aimed to establish more efficient mechanisms to improve internal and external communication, and develop the following lines of action. This Unit will contribute to strengthen the ISPA brand at the regional and national level and enhance the institute visibility through the development of</p> | <p>Undertaken initiatives:</p> <p>1. Links for the Course for Experts in Public Communication of Science https://finba.es/wp-content/uploads/2018/09/Curso-Comunicaci%C3%B3n-Ciencia.pdf https://www.uniovi.es/-/experto-universitario-en-comunicacion-social-de-la-ciencia ISPA Communication Plan (https://www.ispasturias.es/wp-content/uploads/2021/02/2020_COMUNICACION_ISPA_V3.0.pdf). As shown schematically on page 18, different actions are</p> |

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| | | actions to disseminate ISPA capabilities, services and activities. Finally, the participation of key non-scientific actors will be encouraged. | <p>undertaken for internal and external communication of ISPA activities. This information is also publicly available through the ISPA website into three different categories:</p> <p>News https://www.ispasturias.es/category/noticias/</p> <p>Publications https://www.ispasturias.es/category/publicaciones/</p> <p>Agenda https://www.ispasturias.es/category/agenda/</p> <p>This information should also be made available in English.</p> |
| 10. Non discrimination | ++ | <p>The Equality Plan (2020-2024) has as its fundamental objective to achieve equal treatment and opportunities at all levels within the scope of ISPA, to achieve an environment free from discrimination based on gender, sexual orientation, nationality, race, opinion or any other personal or social condition or circumstance.</p> <p>A Gender Equality and Diversity Plan has been recently introduced at ISPA and a specific team work has been created with the mission of seeking non-discrimination policies/principles.</p> | <p>Undertaken initiatives:</p> <p>1.Link for the ISPA Gender Equality and Diversity Plan https://www.ispasturias.es/wp-content/uploads/2021/03/I-PLAN-DE-IGUALDAD-Y-DIVERSIDAD-21-22_ISPA-V1-050321-1.pdf</p> <p>Composition of the ISPA Gender Equality Committee detailed at https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/</p> <p>Specific institutional contact email has been created Email igualdad@ispasturias.es</p> <p>Information should be made available in English.</p> |

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| 11. Evaluation/ appraisal systems | -/+ | <p>ISPA has implemented an evaluation system for research groups every 5 years, which includes diversified indicators such as bibliometric quality of publications, patents, grant funding, supervision capacity (Thesis, Master). A similar evaluation system has been developed for senior researchers (R3 and R4) who reach a permanent position at ISPA and to determine/decide their continuity every 5 years.</p> <p>This system does not take into account management activities, teaching/mentoring, involvement in institutional organizational Units and Work Groups.</p> <p>An evaluation/appraisal system has not been fully developed for all the research categories (R1-R4), and to build a proper and transparent tenure track system and a well-defined research track career path with clear criteria for progression opportunities.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Define a fair evaluation / appraisal system which must take into account the available resources and the needs of the researchers, the value of mobility and the participation in management, supervision and teaching activities 2. Develop of a fully defined and motivating career development program including researchers, technicians and management staff. |
| Recruitment and Selection | | | |
| 12. Recruitment | ++ | <p>Recruitment and selection procedures are open and accessible. The selection procedures are well defined: the call is published on the website of the ISPA, FINBA, FICYT, REGIC, social media and the Euraxess platform.</p> | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Requirements for the vacancies are listed in job announcements. 2. Applicants informed via email for (all) the stages in the recruitment process 3. R1 – R4 vacancies advertised in Euraxess and other webs or advertising tools. Some of offers previously published in Euraxess were offered |

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| | | | <p>in the FINBA profile of Euraxess (instead ISPA), since FINBA is the managing body of ISPA. To avoid confusion future job offers will be announce in ISPA profile of Euraxess.</p> <p>link to current job offers published at ISPA website :</p> <p>https://www.ispasturias.es/el-instituto/empleo/ofertas-de-contratacion/</p> <p>link to the OTM-R policy document:</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> |
| 13. Recruitment (Code) | +/- | <p>The selection procedures are open and accessible. The merits and requirements are described in detail and the deadlines are deemed adequate. However, some offers include too specialized candidate's profile. Besides, prospects for professional development are not specified.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. The requirements should be less specialized. A standardized template of job description will be prepared (English and Spanish versions). As far as possible the aspects of professional career development applicable will be |

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| | | | included. |
| 14. Selection (Code) | +/- | <p>Selection committees are mostly composed by senior researchers who are specialist in different research areas and/or disciplines. However, these committees also often include less experienced researchers working in the same research area. The committees always comply meet the gender parity parameters. Face-to-face interviews and external expert assessment are always encouraged.</p> <p>Clear recommendations about the constitution of selection committees and the selection process will be included in the ISPA-FINBA HR plan.</p> | <p>Suggestions for improvement:</p> <p>1.Elaborate recommendations regarding the optimal constitution of selection committees (inclusion of members of different disciplines and/or sectors) and the selection process (inclusion of face-to-face interviews and external expert assessment whenever possible) to be included in the ISPA-FINBA HR plan.</p> <p>link to the OTM-R policy:</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> |
| 15. Transparency (Code) | +/- | <p>Candidates are informed about the recruitment process, the selection criteria and the number of available positions in job advertisements. Candidates are kept informed above the different steps of selection process by e-mail and through institutional webs. At the end of the process the scores of all candidates are published in the institutional web and they are also informed about the result of the process via e-mail.</p> | <p>Suggestions for improvement:</p> <p>1. Develop of a fully defined and motivating career development program including researchers, technicians and management staff.</p> <p>2. Include career development prospects in job descriptions.</p> |

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| | | <p>Complaints are answered in detail upon request.</p> <p>However, aspects of professional development opportunities in the institution are not currently included in job descriptions.</p> | |
| 16. Judging merit (Code) | ++ | <p>The selection process takes into consideration the whole range of experience of the candidates. While focusing on the achievements and merits as researchers, concepts such as creativity, capacity for teamwork, and problem-solving skills are assessed with in-person interviews. This allows us to jointly evaluate merits qualitatively and quantitatively. Different phases of the research track require different performance criteria. Bibliometric indices are not as relevant for early-stage researchers as for principal investigators. The experience in teaching, supervision, management of research and transfer of results usually constitute relevant evaluation criteria.</p> | <p>Initiatives undertaken:</p> <p>Full details have been included in the OTM-R policy available at this link:</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> |
| 17. Variations in the chronological order of CVs (Code) | +/- | <p>Interruptions (maternal / paternal leave, care of dependents and volunteering) are not negatively evaluated. In any case, a new version of the ISPA/FINBA HR plan will include guidelines and specific statements on not to penalise career breaks and instead to consider multidimensional career tracks and evidence-based CVs in job</p> | <p>Suggestions for improvement:</p> <p>1. Elaborate recommendations regarding the evaluation of candidates with career breaks to be included in the ISPA/FINBA HR plan.</p> |

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| | | selection processes. | |
| 18. Recognition of mobility experience (Code) | ++ | Stays in prestigious foreign and national centers are duly valued. | <p>Initiatives undertaken:</p> <p>Full details have been included in the OTM-R policy available at this link:</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> |
| 19. Recognition of qualifications (Code) | ++ | Qualifications are important in the evaluation of the applications, the process is not biased in terms of recognition of qualifications obtained in other countries, all being assessed on an equal basis. | <p>Initiatives undertaken:</p> <p>Full details have been included in the OTM-R policy available at this link:</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> |
| 20. Seniority (Code) | ++ | <p>Majority of calls on available positions at the ISPA do not set out deadline barriers for obtaining qualifications required to the different positions. The lifelong professional career is always considered.</p> <p>Other Calls from public funding bodies may consider only the last five years of CV in the selections procedures. In any case, these Calls are</p> | <p>Initiatives undertaken:</p> <p>Full details have been included in the OTM-R policy available at this link:</p> <p>https://www.ispasturias.es/wp-content/uploads/2022/01/ISPA-FINBA-OTM-R-policy.21-01-22.english.pdf</p> |

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| | | out of the scope of ISPA. | |
| 21. Postdoctoral appointments (Code) | -/+ | <p>The institute stabilizes senior researchers hired through National tenure track calls such as Miguel Servet (MS) and Ramon y Cajal (RC) programs in case of a positive evaluation at the end of the program. For other postdoctoral positions is specified the duration and objective of the appointment.</p> <p>The institute has an internal call that allows postdoctoral researchers to improve their options to be eligible for a RC or MS contract.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Develop of a fully defined and motivating career development program including researchers, technicians and management staff. This scientific career should promote/encourage the participation of most promising postdoctoral researchers as PIs in project applications as a way to enable/facilitate their career development. 2. Increase the number of internal calls to facilitate the access of postdoctoral researchers to the RC or MS programs. |
| Working Conditions and Social Security | | | |
| 22. Recognition of the profession | +/- | <p>Basic principles regarding the recognition of the professional activity of researchers are established in the Spanish Law of Science. ISPA also recognizes the category of the researcher to all professionals dedicated to research & innovation with independence of their category. Nevertheless, there is no a specific career development strategy for researchers at ISPA, and its development has been identified as key to improve the feeling of the research staff about their professional recognition.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Develop of a fully defined and motivating career development program including researchers, technicians and management staff. |

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| 23. Research environment | +/- | <p>ISPA offers a wide range of scientific equipment and platforms to support the scientific activity of its researchers. Access to these facilities is regulated in the “map of scientific platforms” included in the ISPA Quality and Improvement Plan.</p> <p>ISPA has established a Training Plan for researchers at all levels, paying special attention to researchers at the beginning of their career. In addition, there is also a Plan for supporting Emergent Research groups. Both Plans include regular Calls for applying to different formation activities and stays.</p> <p>ISPA also promotes the scientific collaboration, both internal and inter-center. Participation in research networks and their level of internationalization is adequate, however, it is highly dependent on the individual efforts of the researchers. Therefore, it would be convenient to start institutional programs aimed at facilitating the work of researchers in internalization and / or participation in European projects. Equipment funding applications to implement core units at our Institute should be better coordinated and planned according to the research priorities/needs.</p> | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Information about the scientific platforms available for ISPA researchers can be found at: https://www.ispasturias.es/servicios-y-plataformas/ 2. ISPA Training Plan can be found at: https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/ 3. The Plan for supporting Emergent Research groups can be found at: https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/ <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Development of an internalization support program to improve FINBA search/support for identifying opportunities to join EU Consortia and as partners for international grant applications, and/or potential collaborations with industry 2. Establish a regular procedure to collect and process the needs of researchers in terms of equipment and training. 3. An English version of these documents will be made available in the web. |
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| 24. Working conditions | +/- | <p>Conditions of the workers hired by ISPA-FINBA in terms of reconciliation of family and work, disability, flexible working, tele-working and sabbatical leaves, are not clearly regulated either in the legislation applied (Spanish Law 2/2015, Statute of Workers Rights), or in the ISPA-FINBA HR Plan. Therefore, the implementation of provisions/instructions allowing these working conditions highly depends on decisions taken by the corresponding Principal Researcher/Group leader. Steps have to be taken to ensure the correct regulation of this working conditions.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Revise the ISPA-FINBA HR Plan to include instructions aimed to facilitate the reconciliation of family and work, flexible working, tele-working, sabbatical leaves and to improve the working conditions of disable staff. |
| 25. Stability and permanence of employment | -/+ | <p>This is the concept worst valued by ISPA workers according to the survey carried out as a support document for this gap analysis. Research staff often work temporariness and project-related contracts, which are subject to urgent and imperative necessity. This unstable job framework is shared in local and national R&D activities, in which research employers are reluctant to make more stable contracts, beyond those supported by research grants. This is a complex vicious circle that needs a paradigm change in which, funding institutions and research centers, including ISPA, consider research as a continuous effort of research groups and not as a succession of non-connected projects. To switch the current model based in unstable positions, the groups should be provided with stable positions according to a balanced evaluation of their needs and merits. By proceeding this way, groups will not be forced to renew their teams every 3-4 years, thus making them more efficient and competitive. Overall, this</p> | <p>Initiatives undertaken: Link to the results of the survey: https://www.ispasturias.es/wp-content/uploads/2022/01/Encuesta-HRS4R-traducida.pdf</p> <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Develop of a fully defined and motivating career development program including researchers, technicians and management staff. This scientific career should promote/encourage the participation of most promising postdoctoral researchers as PIs in project applications as a way to enable/facilitate their career development. 2. Design a plan to provide groups with stable positions, both on a scientific and technical level, especially for groups not associated with |

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| | | <p>would result in achieving more/better research grants and more relevant results, thus closing a circle that would offer benefits for all sectors involved: researchers, research centers and funding agencies.</p> <p>In particular, there is not a stabilization plan for postdoctoral/senior researchers who are not part of the <i>Miguel Servet</i> or <i>Ramón y Cajal</i> programs, even if they lead research projects or are supervising early stage researchers and/or technical staff. Moreover, even if they lead research projects granted in competitive calls, their contract is not always ensured at least by the duration of the project.</p> <p>Current situation, discourage the attraction/retention of talent. The development of well-structured local career development program will help to solve the of stability of researchers.</p> | <p>other institutions that already have a stable research career.</p> <p>3. Design a clear stabilization plan (upon evaluation) for postdoctoral/senior researchers holding, not only MS and RC contracts, but also other equivalent grants or research positions.</p> |
| 26. Funding and salaries | -/+ | <p>Besides the lack of stability, salaries are non-competitive, especially for technicians, pre-doctoral and early postdoctoral researchers.</p> <p>Again, the development of a well-structured career development program will contribute to reach more competitive salaries.</p> <p>ISPA human resources plan contain a salary table which comprises ranges of fixed remunerations and incentives for each group. However, the incentives are not currently being applied, thus resulting in lower salaries. The periodic evaluation of researchers' performance must be reflected in the addition of the appropriate incentives to the current salary.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Develop of a fully defined and motivating career development program including researchers, technicians and management staff. 2. implementation of salary incentives based on performance evaluation though a fair appraisal system. 3. Design a clear stabilization plan (upon evaluation) for postdoctoral/senior researchers holding, not only MS and RC contracts, but also other equivalent grants or research |

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| | | Social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) are in accordance with existing national legislation. | positions. |
| 27. Gender balance | +/- | <p>ISPA has a Gender Balance Plan, in which the current situation is analysed and various actions have been proposed to improve/preserve gender equality.</p> <p>ISPA has a proportion of female/male workers of 59% and 41% respectively. No gender discrimination has been identified regarding the type of contract (full time vs part time / stable vs temporary). Most government bodies comply with the minimum percentages of gender representation (40% -60%). However, relevant decision-making bodies such as the internal Scientific Committee are mainly made up of men (80%).</p> <p>In addition, the proportion of female (38%) and male (62%) group leaders is close to comply with the 40% -60% rule.</p> | <p>Initiatives undertaken:</p> <p>1. ISPA Gender Balance Plan can be found at: https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/</p> <p>Suggestions for improvement:</p> <p>1. Promote the presentation of female candidatures to management structures with representation in the internal Scientific Committee as a way to improve women representation in this making decision body. Noteworthy, the new Scientific Director recently elected is the first woman to head up the ISPA.</p> <p>2. Revise the ISPA-FINBA HR Plan to include instructions aimed to promote actions (facilitate the reconciliation of family and work, flexible working, tele-working, sabbatical leaves) that may facilitate the access of women to supervisory/managerial positions.</p> <p>3. An English version of the Gender Balance Plan will be made available in the web.</p> |
| 28. Career development | -/+ | This is an important issue and as that is perceived by researchers working at ISPA. The Spanish professional career path is only partially defined, | <p>Suggestions for improvement:</p> <p>1. Develop of a fully defined and motivating</p> |

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| | | <p>it is based on the successive obtaining of fellowships that are scarce for the requirements of all the centers, and do not ensure stability in centers such as ISPA. In addition, there is no a specific career development strategy for researchers at ISPA, and its development is key to improve the working conditions and motivation of researchers. There is no plan to evaluate and follow the career of most promising pre- and post-positions and their guidance for the personal and professional development depend exclusively on the group leaders. Moreover, there is also a lack of a motivating professional career development for technicians, management staff or senior researchers.</p> <p>The development of such program should result in a better definition of the way to get a stable position at ISPA and also to establish a route for improving salaries and working conditions.</p> | <p>career development program including researchers, technicians and management staff.</p> <ol style="list-style-type: none"> 2. Define a fair evaluation / appraisal system. 3. Regulation of the Co-IP Group Leader position. |
| 29. Value of mobility | +/- | <p>There is an agreement at all levels (employers and researchers) about the positive impact that mobility has in the scientific performance at level of the scientific career. As such, ISPA has already implemented specific Calls for funding stays of pre-doctoral and post-doctoral researchers in other Centers. Accordingly, mobility is usual among researchers at all levels at ISPA. Future career development program should recognize the value of mobility in the progression/appraisal system. Intersectoral and inter- and trans-disciplinary mobility should also be promoted. In addition, mobility and formation of technical staff must be promoted.</p> | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. ISPA's internal calls for supporting mobility can be found at: https://finba.es/category/convocatorias/ <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Include the value of mobility, included intersectoral and inter- and trans-disciplinary mobility, in the future career development program and appraisal system. Technical staff |

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| 30. Access to career advice | -/+ | There is no formally a counsellor / mentor figure in the Research career. At this point the orientation depends on the group and above all the Principal Investigator. ISPA has a welcome package for new hires. When a career development program is available, information about career development possibilities will be provided in this guide. | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Welcome package for researchers can be found at: https://www.ispasturias.es/el-instituto/documentacion/ <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Implementation of a counselor committee. 2. An English version of the Welcome package will be made available in the web. |
| 31. Intellectual Property Rights | +/- | ISPA, has an innovation committee aimed to ensure that those findings susceptible of commercial exploitation are protected. However, current redaction of the Human Resources and Innovation Plans does not explicitly recognize any benefit from the exploitation of intellectual property to their inventors. The culture of the transfer could be improved. | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. The research results transfer plan can be found at: https://www.ispasturias.es/el-instituto/documentacion/ <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Modify the Human Resources and Innovation Plans to specify what rights derived from the protection of intellectual property belong to researchers, to their employers or to other parties. 2. An English version of the Transfer Plan will be made available in the web. |
| 32. Co-authorship | ++ | ISPA promote collaboration between researchers and, therefore, co-authorship is positively evaluated in staff evaluations. | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. The Guide of Quality, Ethics and Good Scientific research practice can be found at: |

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| | | In addition, general instructions regarding authorship as well as the procedure to follow in case of conflicts has been included in the Guide of Quality, Ethics and Good Scientific research practice. | https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/ |
| 33. Teaching | +/- | The involvement of researchers at the beginning of his/her careers in teaching is normally regulated by their fellowships and there no problems with excessive teaching responsibilities. However, teaching is not currently taken into account in evaluation systems and it should also be regulated also by internal specific regulations. | Suggestions for improvement: 1. Inclusion of teaching activities in the career development program. 2. Inclusion of teaching activities in the evaluation / appraisal system |
| 34. Complains/ appeals | +/- | ISPA has an institutional protocol to deal with workplace harassment in an impartial and regulated way. However, the institution has not implemented the figure of the ombudsman for research staff to provide all research staff with confidential and informal assistance in resolving work-related conflicts. | Initiatives undertaken: 1. The Guide of Quality, Ethics and Good Scientific research practice can be found at: https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/ Suggestions for improvement: 1. Create the figure of the ombudsman for researchers 2. This information will also be made available in English. |
| 35. Participation in decision-making bodies | +/- | Beside representatives of all organizations and scientific areas composing ISPA, Internal Scientific Committee include one representative of emergent groups and one representative of ISPA workers (researchers, technicians and management staff). | Suggestions for improvement: 1. Hold an annual meeting aimed to report/discuss scientific and management activities open to all staff. |

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| | | <p>The Center has set up a mailbox to receive input from researchers.</p> <p>The participation of researchers can be encouraged through other initiatives, for example, holding an annual meeting open to all staff.</p> | |
| Training and Development | | | |
| 36. Relation with supervisors | ++ | <p>Most researchers in training phase have continuous interaction with their direct supervisors and group leaders, and it is expected they receive feedback from them.</p> <p>In case of PhD students, his/her Supervisor/s and the Tutor from the University of Oviedo sign their commitment to supervise the tasks to be carried out during the completion of the doctoral thesis. Moreover, the work carried out by the student is regularly evaluated by the Doctoral Academic Commission of the University of Oviedo.</p> <p>In most cases, researchers must submit, on request of the funding agencies, progress reports, which must be approved by his/her direct supervisor.</p> | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. In the ISPA guide for good research practice in research it is included the responsibility of supervision for group leaders and senior researchers (https://www.ispasturias.es/wp-content/uploads/2021/03/Guia-de-buenas-practicas-en-investigacion-ISPA-v.2.pdf section 3.1.1 2. There is also a specific mentoring plan for emerging groups published in the ISPA website of the institute (https://www.ispasturias.es/wp-content/uploads/2020/07/2020_PLAN-DE-TUTELA_ISPA-V2.0.pdf) <p>An English version of these documents should also be available shortly.</p> |
| 37. Supervision and managerial duties | ++ | <p>Senior researchers lead research groups and also occupy positions of coordinators of the scientific areas of the ISPA. According to the internal</p> | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. In the ISPA Guide to Good Research Practice, |

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| | | <p>regulations of the institute, they also must participate in specific commissions involved in several aspects of scientific management, including training and mentoring tasks, as well as evaluation and monitoring activities.</p> | <p>it is precisely mentioned the responsibility of supervision for group leaders and senior researchers (https://www.ispasturias.es/wp-content/uploads/2021/03/Guia-de-buenas-practicas-en-investigacion-ISPА-v.2.pdf section 3.1.1</p> <p>2. There is also a specific mentoring plan for emerging groups published in the website of the institute (https://www.ispasturias.es/wp-content/uploads/2020/07/2020_PLAN-DE-TUTELA_ISPA-V2.0.pdf)</p> <p>An English version of these documents should also be available shortly.</p> |
| 38. Continuing Professional Development | +/- | <p>The ISPA has designed and recently revised a training plan for researchers at all career stages to be fully implemented by 2022. Moreover, the specific activities of the training program are regularly annually revised. 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.</p> | <p>Suggestions for improvement:</p> <ol style="list-style-type: none"> 1. Improve and increase the offer of seminars, focusing both on external speakers as well as internal ISPA meetings. |

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| | | Additionally, ISPA organizes seminars and conferences related to health and biomedical research and innovation addressed to all personnel of the institute and the hospital. | |
| 39. Access to research training and continuous development | ++ | All training programs, courses and seminars are accessible to all ISPA personnel. | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. ISPA has a training unit committed to the development of a training plan including courses and seminars for all ISPA staff. This training offer is revised and updated every year (https://www.ispasturias.es/wp-content/uploads/2021/02/Plan-de-actividades-de-formaci%C3%B3n-2021.pdf). 2. Training plan is published each year in the ISPA website. Moreover, all courses and seminars are regularly announced through ISPA website https://www.ispasturias.es/category/agenda/, and ISPA bulletins, which are weekly sent by e-mail to all ISPA personnel. <p>An English version of these documents should also be available shortly.</p> |
| 40. Supervision | ++ | ISPA has a well-defined scientific hierarchy for tutoring and supervising activities within the research groups and scientific areas. | <p>Initiatives undertaken:</p> <ol style="list-style-type: none"> 1. Each early stage researcher is engaged by a PI / Group Leader responsible for supervising |

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| | | | <p>his/her PhD or mentoring early postdoctoral training. Regulations of Doctorate Programs include the procedures and capacitation to perform the tutorship of a doctoral thesis.</p> <p>2. A Commission has been created at ISPA specifically dedicated to mentor starting group leaders (https://www.ispasturias.es/el-instituto/estructura/comites-comisiones/)</p> <p>3. There is also a Scientific Area Coordinator responsible for coordinating all the activities performance by the ISPA research groups composing each specific strategic research area. Details on their functions are specified in the ISPA internal regulation guide https://www.ispasturias.es/wp-content/uploads/2020/08/REGLAMENTO-R%C3%89GIMEN-INTERNO-ISPA-V14-julio-2020.pdf</p> <p>An English version of these documents should also be available shortly.</p> |
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