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FUNDACIÓN
INSTITUTO DE INVESTIGACIÓN SANITARIA
SANTIAGO DE COMPOSTELA

Implementation of the HRS4R Initiative

GAP ANALYSIS

8th December 2020

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Gap Analysis

I. Ethical and Professional Aspects

1. Research freedom

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented	There is freedom of research within the framework of the research areas of the groups and the fields that determine the calls for funding.	Strategic plan and expenditure guide.	18. Improving the web as a strategic communication tool

2. Ethical principles

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	Legality is enforced; there are ethics committees, and procedures are followed. Researchers' lack of knowledge about ethical issues.	Courses on good clinical research practices.	8. Updating the Guide of Good Research Practices 13. Revision of the Training Plan

3. Professional responsibility

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	It is not considered a problem as there have been no cases. Doctoral training is developed with the USC, which has an anti-plagiarism tool. FIDIS policies are aligned with European Code of Conduct for Research Integrity. This will be reflected in the revision of the guide to good research practice.		8. Updating the Guide of Good Research Practices

4. Professional attitude

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/+ partially implemented	Strategic objectives: there is a prioritization of research areas, but they are not widely known. Information from governance bodies does not reach investigators.	Set in relation to financing mechanisms: section of the website on project management and expenditure guide.	17. Design of a comprehensive communication plan 18. Improving the web as a strategic communication tool

5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	Legality is complied with. Need for improvement regarding information on responsibilities and rights in certain roles, such as principal Investigator and promoter.	Welcome guide	13. Revision of the training Plan 18. Improving the web as a strategic communication tool

6. Accountability

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented	There is no gap; conditions are established in the calls and the requirements for good project management are always met. Investigators are advised and informed. The transparency portal includes all the information on activity reports, agreements, subsidies and grants, action plans, annual accounts and internal recruitment instructions	Expenditure guide Permanent updating of the transparency portal https://www.idisantiago.es/en/transparency-portal/	18. Improving the web as a strategic communication tool

7. Good practice in research

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented			8. Updating the Guide of Good Research Practices 13. Revision of the training Plan

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/+ partially implemented	Researchers disseminate their work through scientific channels (publications, congresses, etc.). There is no systematic proactive dissemination work aimed at targets that may be recipients (users or customers) of the results. Advisory services are provided to transfer of knowledge, but there is room for improvement regarding researcher's awareness on this subject		13. Revision of the training Plan 16. Training in supervision and managerial duties 17. Design of a comprehensive communication plan 19. Dissemination of OTRI services to research staff

9. Public engagement

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	Public engagement activities are carried out occasionally or at the initiative of specific groups such as Oncomet's crowdfunding campaign on liquid biopsy, etc. The planned communication plan will include society among its target audiences and will include public engagement actions: talks at schools, open days, etc.		17. Design of a comprehensive communication plan 11. Design of the equality plan

10. Non discrimination

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	Most of the staff are women. There is no record of discrimination but there are no plans or protocols about this: there is no equality plan, there is no non-discrimination plan, and there are no protocols on sexual harassment.		11. Design of the equality plan

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented			

II. Recruitment and Selection

12. Recruitment

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	The problem underlying all the principles of this block is that the scientific career is not defined. When R1s are incorporated into a doctoral program, there are different types of access, contact and/or prior interview with the group, and from there, access to the doctoral program. If funded by call, standards are set by each call. There is an IDIS call for predoctoral grants. As for R2s and R3s, when they access through public programs, standards are set by the calls. In those contracted directly by the groups, each group defines the evaluation criteria, the process is	Job Definition Tabs	1. Definition of a career plan 2. Design of the scientific career path 4. Formalization of recruitment and selection protocols and procedures aligned with the OTM-R 5. Definition of the OTM-R policy 13. Revision of the training Plan

set according to law. There are no overall standards at the institute level, but most groups seek a profile that can be assimilated to the calls, in order to apply to them and attract resources. GAPS: - As for R1s: beyond the conditions set by the calls, there are different situations depending on the programs and the groups. Lack of protocols defining access conditions and standards in different cases. -In the step from R1 to R2, the contract is modified but there are usually no changes in conditions or functions. - As for R2s and R3s, calls are used as a reference, but again there is no manual or protocol where recruitment issues are collected.		

13. Recruitment (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/+ partially implemented	Recruitment procedures are carried out both for the recruitment of researchers, for the groups and for the detection of candidates so they can apply to public calls. The selection procedure is defined: the call is published on the website of the foundation and the institute, and is kept open during the legal period; documents are collected via e-mail in a single and specific mail address. Once the deadline is over, documents are sent to the IP that organizes the selection committee and notifies the candidate (for time reasons, discarded candidates are not notified) If required, a personal interview can be conducted. There are no guidelines on the composition of the selection committee. Rejected applicants are sent an e-mail informing them of the decision on the offered position. Considering the recommendations of the consensus report, this procedure has been reviewed and includes now the negative outcome of their application. Anyway, recruitment and selection protocols and procedures will be		4. Formalization of recruitment and selection protocols and procedures aligned with the OTM-R 5. Definition of the OTM-R policy 13. Revision of the training Plan

reviewed completely as part of action 5.

GAPS:

Improve the transparency of procedures.

It is important to include information on career development perspectives.

To reduce the variability of the selection criteria so they will not change from year to year.

14. Selection (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	Recruitment is closely linked to public calls, and so the selection committee is defined by the rules of the program. In internal calls there is no selection committee. It is the group that decides.		4. Formalization of recruitment and selection protocols and procedures aligned with the OTM-R 5. Definition of the OTM-R policy 13. Revision of the training Plan

15. Transparency (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/- insufficiently implemented	See principle 13: procedures are not standardised and there is a need to improve information to candidates on selection processes.		4. Formalization of recruitment and selection protocols and procedures aligned with the OTM-R 5. Definition of the OTM-R policy

16. Judging merit (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/- insufficiently implemented	In so far as most of recruitment depends on the public calls, merits are already defined. The margin for revision would be in the hiring of researchers; here the evaluation of merits is fixed by the group. No governance body is addressing the adequacy of the selection criteria to the job profile.		1. Definition of a career plan 4. Formalization of recruitment and selection protocols and procedures aligned with the OTM-R 5. Definition of the OTM-R policy

17. Variations in the chronological order of CVs (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented			8. Updating the Guide of Good Research Practices

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented			8. Updating the Guide of Good Research Practices

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented			8. Updating the Guide of Good Research Practices

20. Seniority (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented			8. Updating the Guide of Good Research Practices

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	The hiring rules are clear because the hiring of postdoctoral candidates occurs mainly through public calls. The administration is promoting more Rio Ortega type calls. Difficulties to recruit due to not having expectations for the development of scientific careers.		1. Definition of a career plan

III. Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/- Insuficiently implemented	The professional career is not defined. Within the framework of the institute, the research function is recognized, but not in the hospital. The management does not recognize neither the research function nor the services. The perception is that social recognition is in general greater than internally. Internal lack of knowledge among the researchers of the institute; the visible face is the group leader, who is the clinical researcher.	Welcome manual Web-based information about the groups	1. Definition of a career plan 2. Design of the scientific career path 7. Welcome manual and mentor 17. Design of a comprehensive communication plan 18. Improving the web as a strategic communication tool

23. Research environment

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/- Insufficiently implemented	As mentioned in Principle 7, the institute is located in the hospital facilities, and the security competencies of the facilities are managed by the hospital, not by foundation. The needs of researchers are not always taken into account. This situation gives rise to numerous situations of uncertainty. The risks to which researchers are subjected are high because of the materials with which they are in contact. As for security plans, given the diversity of employers (FIDIS, SERGAS, USC), neither procedures nor coverage are always clear in case of accidents. The same applies to risk assessment and safety and training plans. There are no workplace harassment protocols, though it's considered a risk. No information on risks. Lack of coordination with peripheral units (Lugo). There is an inventory of equipment but it has not been disseminated. Ignorance of existing equipment and conditions of	Equipment Inventory Risk management courses Risk assessment plan and emergency plan in coordination with the hospital	3. Coordination with the USC for the deployment of the plan 7. Welcome manual and mentor 9. Definition of an information protocol on risk coverage 10. Elaboration of an equipment catalogue 18. Improving the web as a strategic communication tool

use.

Ignorance of procedures for carrying out in-vivo tests.

24. Working conditions

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/+ partially implemented	Work-life balance is promoted, but there are no written rules. The collective labour agreement of the Galician research foundations is currently being drafted. The foundation staff has participated in the negotiation roundtables.	Works Council since April 2018 Web improvement: dissemination of the collective agreement	11. Gender equality plan 12. Study of work climate 13. Revision of the training Plan

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	Legality is complied with; the framework for the stability of recruitment is fixed by the calls. The stabilization of research employment is a national problem that exceeds the scope of action of the foundation. In the negotiation tables of the collective labour agreement of the research foundations of Galicia, the problem of stability is being dealt with. The performance of researchers is affected by stability.		

26. Funding and salaries

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/- insufficiently implemented	Important salary differences between researchers working in the same hospital environment with the same level of competence; the problem derives from the lack of a strong career policy. In the case of researchers recruited through calls, the later set the wage conditions; when conditions are stable, purchasing power may be lower	Coverage of 100% of the salary in case of temporary incapacity of the foundation staff In the collective agreement currently being created, work is being done to avoid the loss of purchasing power in researchers as they stabilize.	1. Definition of a career plan

27. Gender balance

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented	The staff is mostly female and there is parity at the level of group leaders.		11. Design of the equality plan

28. Career development

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	There is no career plan and consequently there is no policy to support career development. Group leaders have a mentoring role but it is not formalized. Mentoring is done on an individual basis and is not certified.		14. Study on mentoring needs in research groups 15. Creation of the figure of the mentor 16. Training in supervision and managerial duties

29. Value of mobility

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented		Group mobility is facilitated and stimulated Management of insurance policies in mobility actions linked to calls.	18. Improving the web as a strategic communication tool

30. Access to career advice

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	Neither a career plan nor the services associated with career development are developed.		1. Definition of a career plan

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-/+ partially implemented	Regulated through the rules of the different employers: SERGAS, USC and FIDIS. Lack of knowledge of the OTRI function and the conditions of exploitation of results by researchers.	OTRI visits to groups Organisation of training activities	8. Updating the Guide of Good Research Practices 16. Training in supervision and managerial duties 18. Improving the web as a strategic communication tool

32. Co-authorship

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
+/- almost but not fully implemented	The requirements set by the calls and by the journals in terms of signature policy have improved the practices of recognition of authorship. Technical personnel are not included as authors in publications or patents.	OTRI advisory service on patent authoring	8. Updating the Guide of Good Research Practice 13. Revision of the Training Plan

33. Teaching

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	Teaching experience is not recognized. Training is provided in postgraduate programs, seminars, etc. but it is not recognised. Time spent tutoring TFGs is also not recognized. Appearing as co-tutors when in reality supervision is carried out in the laboratory; there is no return. There are no training activities for trainers.		6. Issuance of certificates of teaching experience 13. Revision of the Training Plan

34. Complains/ appeals

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	There are no procedures for making complaints and suggestions at FIDIS; USC and SERGAS personnel have their own channels.	Electronic mailbox for complaints and suggestions	7. Welcome manual and mentor 12. Conducting a work climate survey

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	Considering the recommendations of the consensus report, the policy of participation of researchers in decission-making bodies have been reviewed. All comittees will includeresearch representants covering R1 to R2 categories. In addition, at the Boad of Trustees assembly of december 2020 it will be approved the incorporation of a researchers representative to the Board of Trustees, that is the main government body. An action will be included at the plan to definie the procedure to select this representative and its functions.		12. Conducting a work climate survey 20. Increase researchers participation in decision-making bodies

IV. Training and Development

36. Relation with supervisors

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented	In the case of R1s, doctoral training is carried out within the framework of the training programmes of the USC; practices and supervision procedures are those of the USC.		

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	This aspect was partially dealt with in principle 28. Mentoring practices are addressed in the groups led by the group leaders, but there is no policy or institutional procedures in this regard. There is no career plan that defines the roles and competencies of the different categories of researchers.	Supervision within the framework of the group's activity	1. Definition of a career plan 7. Welcome manual and mentor 13. Revision of the Training Plan (including training for supervisors and person with management responsibilities, etc.) 14. Study on mentoring needs in research groups 15. Creation of the figure of the mentor 16. Training in supervision and managerial duties

Travesía da Choupana s/n. 15706 Santiago de Compostela. +34 **981 950 088** | +34 **981 955 361**

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38. Continuing Professional Development

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	There is no training plan; activities are organized at the institutional level and then each group organizes its own activities. Difficulty obtaining certificates of participation in courses. There is no adequate dissemination of the different training activities organised by the management or by the groups.	Training actions of FIDIS and the groups	13. Revision of the Training Plan 18. Improving the web as a strategic communication tool

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
-- insufficiently implemented	Discussed in Principles 28 and 37. In the absence of a career plan, no career development activities are drawn up and no services are provided. Advisory activities are carried out by the group leaders, but these are not formalised; this role is not recognised and researchers are not trained in this respect.		1. Definition of a career plan 7. Welcome manual and mentor 14. Study on mentoring needs in research groups 15. Creation of the figure of mentor 16. Training in supervision and managerial duties

40. Supervision

Implementation	GAP / Implementation impediments	INITIATIVES	
		INITIATIVES UNDERTAKEN:	NEW PROPOSALS:
++ fully implemented	In the case of R1s, doctoral training is carried out within the framework of the training programmes of the USC; practices and supervision procedures are those of the USC. Each group may have specific procedures to address supervision, for example, weekly meetings.		