



FUNDACIÓN
INSTITUTO DE INVESTIGACIÓN SANITARIA
SANTIAGO DE COMPOSTELA

Implementation of the HRS4R Initiative

PROCESS DESCRIPTION

8th December 2020

Index

PRELIMINARY NOTE.....	3
PROCESS DESCRIPTION	3
Approach and Organisation.....	3
The Board of Trustees	4
General Management	4
The process at FIDIS	5
Preliminary phase.....	5
Creation of the steering Committee	6
Technical secretariat	7
Appointment of the Working Group in charge of the Gap Analysis	8
Gap Analysis and OTM-R Checklist	9
Action Plan.....	10
Participation.....	11

PRELIMINARY NOTE

This report contains the documentation required to qualify for the Human Resources Excellence in Research accreditation, drawn up following the guidelines provided in the evaluation report (Consensus Report). Considering that the result of the evaluation was received in september 2020, on top of the recommendations made at the assessment, the plan has been rescheduled for being developed between 2021 and 2024.

PROCESS DESCRIPTION

Approach and Organisation

The Instituto de Investigación Sanitaria de Santiago de Compostela (IDIS) has been accredited by the **Instituto de Salud Carlos III as a research entity of excellence in the biosanitary field**. This recognition implies **having a strategy for managing human resources for research in accordance with the standards of research institutions of international reference**. The objective of its managing body, the Fundación Instituto de Investigación Sanitaria de Santiago de Compostela (FIDIS), with this process is **to obtain the HR Excellence in Research seal, which accredits that the institute's human resources policy complies with the guidelines established by the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers** (hereinafter "Charter&Code").

The proposed **approach to the** development of this initiative relies on the following characteristics:

- **STRATEGIC:** as it derives from the objective pursued by FIDIS with the obtaining of the seal, the need to prove that it has a human resources research strategy in accordance with the standards of research institutions of international reference, **the implementation of the HRS4R is a strategic issue for the foundation** so its objectives and actions will be framed within the planning of the institution in the short, medium and long term. To ensure this characteristic, the **highest decision-making bodies** of the institution were informed at all times of the process, thus validating its methodology and results in order to **ensure its consistency with the overall strategy of the foundation and its long-term viability**.
- **INTEGRATING:** we have taken into account the needs, demands, expectations, wishes, opinions... of **all the stakeholders around the FIDIS R&D&I system**, especially those directly affected by the establishment of a human resources research strategy.
- **ACTIVE-PARTICIPATIVE:** this has meant **directly involving** the different interest groups in the planning process, which contributes to developing a **strong sense of commitment and team spirit**, essential for the subsequent implementation and instrumentalization of the proposed plan. The application of this principle has meant postponing other methods of participation (such as surveys, participation via web, etc.) for later stages of the process, such as the implementation or updating of the plan.

- **EFFICIENT:** by allocating an amount of resources that does not hinder its operation or funding but **ensures the best possible results**, given that this is a **primary objective for the institution**.

Based on the objectives and the approach proposed for the development of the initiative, **all the stakeholders involved in the entity's research activity have been involved** in the analysis and planning process: heads and managers, research community, technical and administrative staff... The organizational structure responsible for the design of the strategy has been **headed by the board of trustees**, given the **strategic nature** of the initiative, and by **the management**, who have been responsible for setting up the **coordination and participation mechanisms** that are summarized in the following scheme: BOARD OF TRUSTEES – GENERAL MANAGEMENT - STEERING COMMITTEE - WORKING GROUPS (Preliminary Working Group and Working Groups by Thematic Area), all supported by the TECHNICAL SECRETARIAT.

The Board of Trustees

The board of trustees is the **governing, representative and administrative body** of the foundation, to which the management body of the foundation is hierarchically attached. Among its **functions** are:

- To exercise the **government, inspection, vigilance and orientation** of the foundation.
- To establish the **general lines of operation** of the institution, and the **distribution and application of the available funds** among the activities of the foundation.
- To establish the general guidelines and **strategic planning** of the foundation and to **approve the general plans**: those of total quality of the centre as well as the economic, financial, construction plans, and investment initiatives, and their accrual accounts, which will have to be included in the annual budget of the foundation.
- Approve the **personnel policy** and the remuneration system within the legal limits and, in particular, the approval of the staff, establishing the selection criteria.

The Board of Trustees is therefore the **main governing body of FIDIS** and is primarily **responsible for setting the institution's strategy** and, specifically, the plans and actions related to the staff.

The board of trustees, within the framework of the strategic planning process undertaken throughout 2019, **has validated and approved the implementation of the process. The final Action Plan of the HRS4R has been validated and approved by the presidency and the permanent commission and will be validated at the time of the next call for the full board of trustees.**

General Management

The general management has competencies in the **running and administration of the foundation** and extensive functions and responsibilities that make it necessary for it to have a strategic role in the process of designing and implementing the HRS4R. Among those functions, we may cite...

- **Execute and enforce the agreements of the board of trustees** and the instructions of the President given within the framework of their attributions.

- **Propose and execute the strategies and policies** of the foundation.
- **Establish, approve and enforce the internal operating rules** of the foundation, adopting the necessary measures for their application in each of its organizational units.
- To prepare and propose to the Board of Trustees the draft of the **annual budget of expenses and income** and its revisions, subject to legal regulations.
- **To manage the patrimony in accordance with** the laws and attributions conferred by the board of trustees.
- To propose to the board of trustees the **appointment and removal of the directors** of the foundation.
- **To develop the personnel policy** designed by the board of trustees and, to this end, to agree on or terminate employment relations, to select personnel, to agree on sanctions and to execute the agreements of the board of trustees on the remuneration system.

The **general management**, within its attributions, provides **leadership and assumes the executive direction of the HRS4R**. In addition, within its responsibilities, it has developed, among other actions, the following:

- Interlocution with the board of trustees
- Participation as a member of the steering committee
- Direction and supervision of the technical secretariat

The process at FIDIS

As part of the initial phase, once the foundation has notified its commitment to adhere to the Charter&Code, it has developed the process of **Gap Analysis, i.e. diagnosis of policies and human resource management system of research in FIDIS** in relation to the requirements set out in the Charter&Code. On the basis of the conclusions of this analysis, which already include a first proposal for improvement actions, an **Action Plan on** human resources for research has been drawn up, including the strategy and improvement actions to cover the "gaps" identified in relation to the community framework.

Given that there was already a **significant amount of work previously carried out by the Preliminary Working Group** and in the proposed methodology, much emphasis was placed on the **direct participation of the existing stakeholders**; this process was greatly streamlined, making it possible to have a definitive Gap Analysis and an action plan to be implemented from next year (2020) in little more than four months after sending the Commitment of Adhesion to the Charter&Code.

With the approval of the board of trustees and the approval of the governing and management bodies, the process has developed as follows:

Preliminary phase

Under the coordination of the management, the objective of the Preliminary Working Group was the preparation of the methodology for the development of the preparation process of the accreditation after sending of the letter of adherence.

The activities carried out were:

1.- Informing the management bodies about the objectives of the process and the activities for its development.

Preparation of a methodological kit for the development of the discussion sessions.

Organization of preparatory sessions for the discussion of the principles of the Charter&Code with the elaboration of a preliminary Gap Analysis and proposals for actions for the Action Plan. The purpose of these sessions was:

- Focus the principles on the specific case of FIDIS-IDIS.
- Discuss the institution's situation with respect to each principle to generate the preliminary Gap Analysis.
- Propose new actions or improvements over existing actions in relation to the gaps identified.
- As a result of this exercise, dossiers were created for each set of principles. These dossiers were used to focus the discussions in the working groups.

4.- Presentation to the management bodies of the results of the process and generation of a document repository with the methodology.

This working group consisted of the following members:

- Pestonit Freire, Rut (Manager - Human Resources Department)
- Rodríguez Fernández, Ricardo Julio (Manager - IDIS Technical Secretariat)
- Pardo Pérez, María (Researcher R4 - Obesidomics Research Group)
- Rodríguez Núñez, Antonio (Researcher R4 - Life Support and Medical Simulation Research Group)
- Gómez Bahamonde, Rodolfo (Researcher R4 - Musculoskeletal Pathology Research Group)
- Barrada Beiras, María Jesús (External Advisor)

Creation of the steering Committee

Based on the recommendations and results of the Preliminary Working Group, **the steering committee was constituted** and the process was set in motion.

The **steering committee** has been the body responsible for leading the execution of the process. It is made up of FIDIS management and by those people responsible for areas related to the issues included in the C&C principles. Its composition has sought to combine decision-making capacity, operational agility and knowledge of the HRS4R process. Its members have been:

- Gómez-Reino Garrido, María (until August 2019) Lista García, Isabel (from September 2019) (Managing Director - Direction)
- Sampedro Parada, Mabel (Manager - Technology Transfer and Innovation Department)
- Pestonit Freire, Rut (Manager - Human Resources Department)

- Barrada Beiras, María Jesús (External Advisor)

The **steering committee** has worked through regular meetings (fortnightly or monthly) to make decisions of greater relevance, and through e-mail and telephone contacts for the most operational issues.

Its functions focused on establishing the guidelines at the strategic level of the process, approving the methodological approach, prioritizing the actions of the plan and validating the results obtained.

Technical secretariat

In order to speed up the development of the process, three members of the **steering committee** and two external advisors formed the **technical secretariat**. It is a task-force that was in charge of the technical execution of the process (methodological design, organization of working groups, preparation of documents, etc.). Its members are:

- Sampedro Parada, Mabel (Manager - Technology Transfer and Innovation Department)
- Pestonit Freire, Rut (Manager - Human Resources Department)
- Barrada Beira, María Jesús (External Advisor)
- Crespo Campello, Oscar (External Advisor)
- Varela Pernas, Patricia (External Advisor)

Appointment of the Working Group in charge of the Gap Analysis

As a result of the work carried out by the preliminary working group and the steering committee, it was decided to create **four specialized working groups in each of the areas** into which the 40 principles of the Charter&Code are divided.

The **steering committee** was in charge of appointing the members of the different working groups on the basis of their experience, responsibility and knowledge, trying to ensure the maximum participation of the different stakeholders but with a size that guaranteed an agile and efficient operation in the achievement of its objectives.

These working groups were responsible for **analyzing the current situation** of the institution in relation to the principles linked to **each of the four thematic areas** (ethical and professional aspects; selection and hiring; working conditions; training) both from the point of view of the **strengths detected** (current situation; actions carried out, underway or planned...) and of the **existing weaknesses or limitations** (current situation, internal and external regulations...). It has also been in charge of making an **initial proposal for actions** aimed at alleviating the shortcomings detected throughout the analysis.

The list of members of each working group is here below:

- **Working Group on Ethical and Professional Aspects:**
 - Seoane Mosteiro, Carlos (Anatomical pathology technician - Cellular Endocrinology Research Group)
 - Dosil Santiago, María (Administrative staff - Financial Department - Lugo)
 - Estany Gestal, Ana (Manager - Epidemiology Department; Ethical Committee)
 - Cabaleiro Ocampo, M^a Teresa (Manager - Clinical Research Support Unit)
 - Sampedro Parada, Mabel (Manager - Technology Transfer and Innovation Department)
- **Working Group on Selection and Hiring:**
 - Sánchez Costa, Victoria (Project manager - Project Management Department)
 - Mosquera Pérez, Belén (Project manager - Genetics, Vaccines, Infections and Paediatrics Research Group (GENVIP))
 - Álvarez González, Víctor (Researcher R2 - Metabolic Disorders Research Group)
 - Iglesias Rey, Ramón (Researcher R2; Responsible for the Magnetic Resonance Platform - Neurosciences Research Group)
 - Serén Trasorras, Cristina (Project manager - Genetics, Vaccines, Infections and Paediatrics Research Group (GENVIP))

- **Working Group on Working Conditions:**
 - Franco Trepát, Eloi (Researcher R1 - Musculoskeletal Pathology Research Group)
 - Balsa Otero, José Luis (Support technician - General facilities)
 - Grande Sellera, Carlos (Project manager - Technology Transfer and Innovation Department)
 - Alonso López, Eva (Project manager - Project Management Department (Lugo))
 - Otero Fraga, María José (Laboratory technician - Immunohistochemistry platform)
 - Piñeiro Cid, Roberto (Researcher R2 - Roche-CHUS Joint Unit)
 - Pestonit Freire, Rut (Manager - Human Resources Department)
- **Working Group on Training:**
 - Ramos Luis, Eva (Researcher R2 - Cardiovascular Genetics Research Group)
 - Seijas Amigo, José (Clinical trials Coordinator - Cardiology Research Group)
 - García López, Gloria (Project manager - Roche-CHUS Joint Unit)
 - Carrera Cachaza, Noa (Researcher R2 - Genetics and Developmental Biology of Kidney Diseases Research Group)
 - Martínez Pena, Inés (Researcher R1 - Roche-CHUS Joint Unit)
 - Hita Millán, Jesús (Researcher R1 - Genetics Research Group)

Gap Analysis and OTM-R Checklist

Gap Analysis is an assessment of institutional norms and practices in relation to the principles set out in the Charter&Code, taking also into account that, in order to provide maximum transparency, **all key actors** (i.e. government team, human resources managers, research managers, researchers, etc.) should be **involved as much as possible**.

The basis for completing this phase was the organization of the four **working groups** corresponding to the principles of the Charter&Code. The dynamics of the work consisted in sending to its members the informative dossiers resulting from the preliminary phase for review during the holding of discussion meetings. The dossiers prepared by the Preliminary Working Group were based on the standard template provided by Euraxess, which groups the 40 principles into four areas ("Ethical and professional aspects", "Recruitment", "Working Conditions and Social Security" and "Training").

As a result of the discussion of the working groups, these dossiers were completed with the contributions of the participants in the working groups and with information provided by the **technical secretariat**. In addition, at the meeting of the working group focused on the "Recruitment" area, a specific session focused on the OTM-R checklist was held. In the dynamics of the meetings, consensus was sought on the aspects dealing with generating a shared vision. In this way, it was ensured that the whole result of the **internal analysis was fully shared by all areas of FIDIS and reflected the different sensitivities**.

In order to support and reinforce this work dynamic, a **survey of FIDIS researchers** was designed, which will be used throughout the implementation of the plan as part of one of the actions included: the carrying out of a work climate survey. For the design of this survey, intense work was carried out by the **steering committee** and the **technical secretariat** through the meetings held which dealt with issues of scheduling, coding, sending and receiving, process, analysis, dissemination of results, LOPD.... During these meetings, other tasks were carried out, such as analyzing the processes, ensuring adequacy, coherence and synchronization with other existing plans in FIDIS, and planning and carrying out the necessary communication actions (such as the design of a web page).

The result of this phase was the elaboration of the Gap Analysis that includes **strong points** (those issues that are considered to be already being done in a correct way) and some **areas for improvement** (those issues where it is believed that it can be done better in view of what the Charter&Code includes), in addition to the OTM-R Checklist completed in its entirety.

Action Plan

The main objective of this phase was the definition of the strategy for FIDIS human resources that is summarized in the Action Plan. The **working groups and the steering committee**, coordinated by the **technical secretariat**, participated in its preparation.

This work had as its starting point the elaboration of the **conclusions drawn from the different working sessions that were analyzed by the steering committee**. A large number of **corrective actions** emerged from this work, which were classified into large areas for improvement and concentrated to facilitate their implementation and maximize their impact. Once this work was done, a **prioritization process** was developed by **the steering committee**, and always with the support and coordination of the technical secretariat, based on various criteria (expected impact, feasibility, fit into the overall strategy, cost...).

The outcome of this process was reflected in the **Action Plan**, including for each action:

- **CODE:** identifying a code for each project that facilitates its implementation and monitoring.
- **TITLE:** name of the project
- **DESCRIPTION:** brief description with the main actions included in the project.
- **GAP PRINCIPLE(S):** the most important principles of the Charter&Code on which improvement actions have an impact.
- **TIMING:** period in which the development and completion of the project is foreseen at a half-yearly level.
- **UNIT RESPONSIBLE:** FIDIS area responsible for the execution of the project.
- **INDICATOR(S) / TARGET(S):** proposed monitoring indicators, as well as the proposed objectives (as the case may be) regarding the execution and/or results of the project.

Participation

Name	Position	Steering Committee	Working Group	Management line/ Department
Seoane Mosteiro, Carlos	Anatomical pathology technician		x	Cellular Endocrinology Research Group
Dosil Santiago, María	Administrative staff		x	Financial Department - (Lugo)
Estany Gestal, Ana	Manager		x	Epidemiology Department; Ethical Committee
Cabaleiro Ocampo, M ^a Teresa	Manager		x	Clinical Research Support Unit
Sampedro Parada, Mabel	Manager	x	x	Technology Transfer and Innovation Department
Sánchez Costa, Victoria	Project Manager		x	Project Management Department
Mosquera Pérez, Belén	Project Manager		x	Genetics, Vaccines, Infections and Paediatrics Research Group (GENVIP)
Álvarez González, Víctor	Researcher R2		x	Metabolic Disorders Research Group
Iglesias Rey, Ramón	Researcher; Responsible for the Magnetic Resonance Platform		x	Neurosciences Research Group
Serén Trasorras, Cristina	Project Manager		x	Genetics, Vaccines, Infections and Paediatrics Research Group (GENVIP)
Franco Trepát, Eloi	Researcher R1		x	Musculoskeletal Pathology Research Group
Balsa Otero, José Luis	Support technician		x	General facilities
Grande Sellera, Carlos	Project Manager		x	Technology Transfer and Innovation Department
Alonso López, Eva	Project Manager		x	Project Management Department (Lugo)
Otero Fraga, María José	Laboratory technician		x	Immunohistochemistry platform
Piñeiro Cid, Roberto	Researcher R2		x	Roche-CHUS Joint Unit
Pestonit Freire, Rut	Manager	x	x	Human Resources Department
Ramos Luis, Eva	Researcher R2		x	Cardiovascular Genetics

Name	Position	Steering Committee	Working Group	Management line/ Department
				Research Group
Seijas Amigo, José	Clinical trials Coordinator		x	Cardiology Research Group
García López, Gloria	Project Manager		x	Roche-CHUS Joint Unit
Carrera Cachaza, Noa	Researcher R2		x	Genetics and Developmental Biology of Kidney Diseases Research Group
Martínez Pena, Inés	Researcher R1		x	Roche-CHUS Joint Unit
Hita Millán, Jesus	Researcher R1		x	Genetics Research Group
List García, Isabel	Managing Director	x		Direction
Gómez-Reino Garrido, María	Managing Director	x		Direction
Pardo Pérez, María	Researcher R4		x	Obesidomics Research Group
Rodríguez Fernández, Ricardo Julio	Manager		x	IDIS Technical Secretariat
Rodríguez Núñez, Antonio	Researcher R4		x	Life Support and Medical Simulation Research Group
Gómez Bahamonde, Rodolfo	Researcher R4		x	Musculoskeletal Pathology Research Group

Stakeholder group	Consultation format	Contributions
Research	Working Groups	Methodological definition Gap Analysis Preliminary Action Plan
Project managers	Working Groups	Gap Analysis Preliminary Action Plan
Support staff	Working Groups	Gap Analysis Preliminary Action Plan
Administrative staff	Working Groups	Gap Analysis Preliminary Action Plan
Human Resources	Working Groups	Methodological definition Gap Analysis Preliminary Action Plan Prioritization of actions Definitive action plan
Economic management	Working Groups	Gap Analysis Preliminary Action Plan

Clinical Trials	Working Groups	Gap Analysis Preliminary Action Plan
Support for research	Working Groups	Gap Analysis Preliminary Action Plan
Promotion of research	Working Groups	Gap Analysis Preliminary Action Plan
Transfer and innovation	Working Groups	Methodological definition Gap Analysis Preliminary Action Plan Prioritization of actions Definitive action plan
Epidemiology and support for clinical research	Working Groups	Gap Analysis Preliminary Action Plan
Ethics Committee	Working Groups	Gap Analysis Preliminary Action Plan
Research Committee	Working Groups	Methodological definition Gap Analysis Preliminary Action Plan
Works Council	Working Groups	Methodological definition Gap Analysis Preliminary Action Plan Prioritization of actions Definitive Action Plan
Lugo Management	Working Groups	Gap Analysis Preliminary Action Plan
Santiago de Compostela Management	Working Groups	Gap Analysis Preliminary Action Plan
Direction	Working Groups	Methodological definition Gap Analysis Preliminary Action Plan Prioritization of actions Definitive Action Plan Approval of the plan
Board of Trustees	Presentation of results and validation	Methodological definition Approval of the plan

