

## GAP ANALYSIS IDIVAL

Name Organisation under review: **IDIVAL – FUNDACIÓN INSTITUTO DE INVESTIGACIÓN MARQUÉS DE VALDECILLA**

Organisation’s contact details: **CALLE CARDENAL HERRERA ORIA, S/N, 39011 SANTANDER, CANTABRIA. SPAIN**

IDIVAL’s HRS4R has been coordinated by a Technical Committee led by the Management and Scientific Directors and the Head of the Human Resources Unit.

The Technical Committee was created on March 24, 2017, a multidisciplinary team formed by different area managers and researchers: Director of Management; Scientific Director; Head of Administration; Responsible for Technology Services; Responsible for Human Resources; European Projects Technician and two postdoctoral researchers.

A space is created in Dropbox to facilitate communication and coordination of progress.

On March 28, the GAP Analysis start session is performed. It was decided to distribute the C&C requirements among the members of the Committee, according to their technical competence and responsibility, in order to deepen the meaning of the requisite and make an initial assessment of their compliance by IDIVAL.

On April 10 and 11, a presentation of conclusions is made to the rest of the members.

With the most critical issues decided by all professionals of the Committee an on line survey was developed. It was sent to a total of 635 professionals, 100% of the Institute. The survey remained open until May 30. To ensure the success of this step, it was important to inform all practitioners about the importance of their participation in the survey.

In parallel, meetings and interviews are held with professionals in the first half of May, a total of 3 group meetings and 10 individual interviews in which a total of 22 research professionals participated.

On July 12, the conclusions of individual interviews, focus groups and surveys are presented to the Technical Committee. With all this information, and after several working sessions, the GAP Analysis and the Action Plan were definitively elaborated.

### **HRS4R Technical Committee**

<b>Position</b>	<b>Name</b>
Management Director	Galo Peralta
Scientific Director	Benedicto Crespo
Head of Human Resources Unit	Aroa Sanz
Administration Coordinator	Julio Muela
Technological Services Coordinator	M <sup>a</sup> José Marín
European Projects Unit	Paloma González
Miguel Servet Investigator	Raquel López
Miguel Servet Investigator	José Ramos

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

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<b>Ethical and Professional Aspects</b>			
1. Research freedom	+/-	<p>In IDIVAL, as a Biomedical Research Institute, the approach to patient by the professionals is never lost.</p> <p>The Lines of Research are defined and justified in the Scientific Plan of IDIVAL. The Strategic Plan prioritizes the Lines of Research. The Institute has a clear methodology for the definition and opening of new lines of research.</p> <p>Within that framework no one influences what each researcher wants to do. There is freedom of investigation, limited only by economic and structural issues.</p>	<p><b>A1. New Welcome Pack:</b> Re-design of the Welcome Manual, which specifies to the research staff the information related to the following aspects and where to look it on the website, in the most practical and visual possible way:</p> <ol style="list-style-type: none"> <li>a. Code of Good Practices, principles and ethical standards.</li> <li>b. Committees and their functioning (in particular Ethics Committee).</li> <li>c. Basic aspects of project management.</li> <li>d. Information about the research career.</li> </ol> <p>Reading acceptance and understanding basic concepts may be included.</p> <p><b>A1B. Welcome Pack- Afiliated Staff:</b> Elaborate a similar Welcome Manual for the research staff of the working groups that are not IDIVAL staff, in order to group together many necessary issues that are currently dispersed (admission and abandonment of groups, access to aids, project management, economic management, ... ). The information will be online, based on the intranet.</p> <p>Reading acceptance and understanding basic concepts may</p>

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			<p>be included.</p> <p><b>A2. Touch screen:</b> Installation and maintenance of a touch screen in the reception area for consultation related to relevant up-to-date information from IDIVAL.</p> <p><b>A3. Organization chart:</b> Have an organization chart (poster type) with photos, positions and functions, in order to visualize IDIVAL professionals. Make a similar organization chart with the Research Groups. Exhibition of both posters in common area.</p>
2. Ethical principles	<span style="font-size: 2em; color: green;">+ / -</span>	<p>In general, there is information on the website, but people do not know it in depth. The information on the IDIVAL website does not seem to reach the research staff. Most of them say they know the practices, principles and ethical standards related to their job by common sense or previous experience.</p> <p>In the interviews conducted and in the survey, a lack of good practice courses is identified.</p> <p>Basically only Principal Investigators know the functioning of the Ethics Committee.</p> <p>Group leaders have good knowledge of ethical and legal aspects, an so on, do not.</p>	<p><b>A1. New Welcome Pack</b></p> <p><b>A2. Touch screen</b></p> <p><b>A3. Organization chart</b></p> <p><b>A4. Annual meeting at the Hospital:</b> Year-end annual meetings held at IDIVAL, every year. Specific session for IDIVAL professionals. The objective is to present results, conclusions and strategies to all Hospital professionals, whether or not they are research personnel. The purpose is to strengthen the sense of belonging, linking the professionals of the HUMV to IDIVAL. Transparency.</p> <p><b>A4B. Annual meeting at IDIVAL:</b> Holding of informative lectures or seminars about the fundamental practices and principles, as well as the ethical standards to be complied for</p>

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			<p>the research staff who are part of the staff of the institution. A minimum meeting can be made once a year for new additions during that year and as refreshment for the rest. The objective is to talk about how the Institution is growing, who are the new incorporations, etc.</p> <p><b>A5. Good Practice Courses:</b> Implementation of good practice courses (eg. in clinical trials, animal testing, ...). Research training that includes aspects of management and related to the ethics of research.</p> <p>Possibility of support in University of Cantabria and the Hospital for accredited courses.</p> <p><b>A6. Security Committee Review:</b> Improve the presence of researchers in the Security Committee. Enhance its surveillance function</p>
3. Professional responsibility	+	In general, we work for the good of society. The research model is translational. It is necessary to work more in the return, not only economic, but of utility.	
4. Professional attitude	+/-	There are internal regulations in IDIVAL related to this requirement: -IN-GNR-02. Instructions for management of research	<b>A1. New Welcome Pack</b>

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		<p>projects.</p> <p>-RE-GNR-01. Rules of organization and operation.</p> <p>-MA-GNR-02. Guide of quality, ethic and good scientific research practice.</p> <p>The information on the IDIVAL website does not seem to reach the research staff.</p> <p>Disinformation of new researchers by the institution.</p> <p>The importance of reporting changes in the execution time of the research project seems to be gained from experience.</p> <p>Unknown sources and financing mechanisms, mainly international.</p> <p>Lack of communication with Industry (as a source of funding) in some research groups.</p>	<p><b>A7. Increase knowledge of sources of funding:</b> Organization of annual talks by the Institution of the different sources of funding that can be accessed by the research staff.</p> <p><b>A8. Enhance collaboration with agents in the environment:</b> Develop strategies that encourage the contact of Research Groups with Industry.</p>
5. Contractual and legal obligations	<span style="font-size: 2em; color: orange;">-/+</span>	Legal, labor and budgetary framework of Cantabria very restrictive. Lack of legislative development in Cantabria of the Law	A recent institutional regulation has been made that has improved the contractual relationship with researchers (the trial contract).

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		<p>of Science. The framework for transfer and intellectual property at the level of the Autonomous Community has not been achieved.</p> <p>Lack of development of a "Researcher Statute" (legal area of the researcher)</p> <p>Labor context: absence of a collective agreement of its own. A recent institutional regulation has been made that has improved the contractual relationship with researchers, the trial contract. It is necessary to advance in the development of a specific labor framework of IDIVAL.</p> <p>Legislation impeding implementation:</p> <ul style="list-style-type: none"> <li>- Law of Cantabria 1/2017, February 24, on General Budgets of the Autonomous Community of Cantabria for 2017 (prohibition of increases in salary mass for 2017, limitations on labor recruitment, previous authorization of budgetary authority in administrative contracting and staff).</li> <li>- Law of Cantabria 2/2012, of May 30, on Administrative, Economic and Financial Measures for the Execution of the Plan for the Sustainability of Public Services in the Autonomous Community of Cantabria: Salary Limit in the Public Business and Foundational Sector: Article 14 : Remuneration limits in the public sector of the Government of Cantabria.</li> <li>- Law 3/2017, of June 27, of General State Budgets for the year 2017: Additional provision sixteenth Recruitment of public sector foundations in 2017</li> </ul>	<p><b>A1. New Welcome pack</b></p> <p><b>A9. Labour framework of IDIVAL:</b> Advance in the development of an specific labour framework of IDIVAL, elevating systematically this need to the Consejería.</p> <p><b>A10. Regional regulatory framework for Intellectual Property Rights Transfer:</b> Improvement of the Regional regulatory framework of Transfer. To promote the development of the Intellectual Property Rights Transfer regulations at the level of the Autonomous Community of Cantabria.</p>

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		<p>- Law 3/2017, of June 27, of General State Budgets for the year 2017. Article 18 Salary Limit in the Public Business and Foundational Sector.</p> <p>Lack of competitiveness of the Institute in front of other institutes of national and international scope.</p> <p>Few "arguments" to attract new talent and professionals of national and international prestige.</p>	
6. Accountability	+/-	<p>Complex labour framework.</p> <p>Increasing requirements for legal and economic fulfillment of projects towards the financing entities.</p> <p>Insufficient monitoring of individual activity.</p> <p>Culture of excellence in research unconsolidated.</p> <p>Limited presence of both Bioethic Committee and Ethical Committee for Clinical Research.</p>	<p>Recent incorporation of a new Scientific Director of the Institute.</p> <p><b>A11. Public information:</b> Maintain individualized information of the production and projects of each researcher on the web of IDIVAL.</p> <p><b>A12. Travel platform:</b> Implementation the travel purchasing platform that allows to streamline the process without excessive costs, and to avoid money advances by the professional. Training in its use to all the professionals of the Institute.</p> <p><b>A13. New "Guía de Calidad, ética y Buenas Prácticas Científicas":</b> Update of document MA-GNR-02. Guide of Quality, Ethics and Good Scientific research practice in IDIVAL, consulting with the main participants. Dissemination and training to the entire Scientific Community.</p>

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			<p><b>A14. Instructions for Research Projects Management:</b>                      Update of document IN-GNR-02. Management Instructions for IDIVAL research projects (economic examples of auditing, fulfillment of call requirements, grant law, ...), clarifying critical concepts, and dissemination through mailing and specific formation of changes.                      Deliver it to each new project.</p> <p><b>A5. Good Practice Courses</b></p> <p><b>A15. Advertising of co-financed projects:</b> Placement of advertising posters in each laboratory in relation to the National Plan projects developed for projects co-financed by Europe (in compliance with the communication and publicity measures of the projects).                      It generates motivation and pride in professionals. It is a way of spreading what is being investigated.                      Poster A3 minimum size, in a place visible to the public, with information about the project, which should mention the financial assistance of the European Union and the Spanish Government.</p> <p><b>A16. Dissemination of project management requirements:</b>                      Dissemination of the requirements of project management taking advantage of the various training events developed by the University of Cantabria (Master of Health Management, Presentation of Strategic Health Action, Methodology Course, etc.). And annual periodic reporting of results (according to</p>



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			action A4).  <b>A4. Annual meeting at the Hospital</b>
7. Good practice in research	+		IDIVAL places great emphasis on training in Occupational Hazard Prevention, emergency drills, etc. Compliance with data protection legislation.  <b>A17. Training in data protection and prevention of occupational hazards:</b> Systematize the necessary basic training to all personnel related to the Data Protection Law and additional aspects of Occupational Hazard Prevention. Inclusion of thid training in the Catalog of courses in transversal skills.
8. Dissemination, exploitation of results	-/+	Poor relationship with Companies. Lack of visibility of the Innovation Area (communication support agents) Transfer is the pending subject. Little presence of managers in events. Insufficient staff. Lack of time to publish. Concept too theoretical for clinicians. Lack of motivation.	The Transfer Office has a high professionalism. The obligation to include a dissemination section in the projects helps. There is a high awareness of the researchers to publish their results, in dissemination. A major effort is made in scientific outreach activities.  <b>A8. Enhance collaboration with agents in the environment</b>  <b>A18. Promotion of the culture of innovation in the environment Valdecilla:</b> It is a specific objective of the Innovation Unit. Constitute an Innovation Forum as one of the epicenters of Health Innovation in our environment. Maintaining motivational activities (Workshops for the

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			<p>promotion of scientific vocations, patent workshop, IDIVAL sessions dedicated to the field of innovation, lectures in different courses such as the Master of Administration and Health Management of the UC.</p> <p><b>A19. Visibility of the Innovation Unit:</b> Increased promotion and visibility of the Innovation Unit in the official presentations of IDIVAL. Meetings scheduled individually or with services, with the aim of disseminating the area of personalized innovation.</p> <p><b>A20. Recognition of dissemination activities:</b> Consider the evaluation of dissemination activities as an additional scoring aspect in the recognition of the Suport Program (aids to groups production).</p>
9. Public engagement	-/+	<p>Complicated language and difficult to understand by non-experts.</p> <p>A certain individualism when it comes to investigating.</p> <p>Low presence of interested agents in the laboratories.</p> <p>The researchers' habit of using their own technical language</p> <p>Reticence to hear opinions from non-expert staff.</p>	<p>Existence of programs to approach students closer to the Research Institute.</p> <p>Scientific dissemination activities realized.</p> <p>Much of the future of our activity will be based on social support, so it is really important to foresee this aspect.</p> <p><b>A21. Visibility:</b> Give more visibility of who is who in IDIVAL, and what each one does at the level of teaching and dissemination. (Impact at social level).</p> <p><b>A22. Scheduled visits to the Institute:</b> Encourage the participation of the general public through scheduled visits to the Institute, in which results are presented and the needs or</p>

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			<p>observations of the participants are heard.</p> <p><b>A23. Interactive meetings with new researchers:</b> Interactive meetings with new researchers through short presentations (10 minutes, similar to CIBER), making it compatible with the Progress Report, to improve the convening power.</p> <p><b>A24. Promotion of dissemination activities:</b> Promote from the Institution that researchers "go out to the street": encourage researchers to participate in the Researcher's Night; the participation in the Scientific Coffee; ... activities for the general public.</p> <p><b>A25. Presence in Media:</b> Get weekly presence on radio to talk about Research.</p> <p><b>A26. Weekly brochure:</b> Weekly edition (one page, quick reading) with news and information about IDIVAL and Research, appealing to the general public, distributed in the HUMV cafeteria.</p>
10. Non discrimination	+/-	<p>There is no discrimination in this regard.</p> <p>In the area of disability: There has been no opportunity to recruit staff with a degree of disability. There is a working group at Cantabria level that is preparing procurement rules at the public level. Difficulty finding it by specialization.</p>	<p><b>A27. Gender balance:</b> Elaborate the Gender Balance Plan.</p> <p><b>A28. Workplace harassment:</b> Dissemination and monitoring of the Workplace Harassment Protocol. Establish formally the procedure of action in situations that could constitute workplace harassment, with a focus on prevention, detection</p>

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			and solution of those situations.
11. Evaluation/ appraisal systems	+/-	Complex labour framework. Insufficient monitoring of individual activity Culture of excellence in research unconsolidated.	There are established performance standards for Groups. A periodic evaluation of the research groups is carried out. There is a prestigious External Council. There is registration and quantification of the research activity. Public information on the activity of the groups is available on the IDIVAL website.  <b>A29. Periodic evaluation of researchers:</b> Improve the execution of a periodic evaluation program for researchers. Clarify the consequences according to the evaluation. The final part of the cycle is not defined. (For example: one more point in the application evaluation submitted, etc.). This evaluation should be public.  <b>A13. New Guía de Calidad, ética y Buenas Prácticas Científicas</b>
Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. <b>In addition</b> , your organisation also needs to complete the checklist on <b>Open, Transparent and Merit-Based Recruitment</b> included below, which focuses on the operationalization of these principles.			
12. Recruitment	+/-	In matters related to contracting there is a GAP, but very limited solutions due to legal regulation that greatly limits the possibilities. There are regulations that limits our freedom of action in recruitment:	There are related lines in the Strategic Plan: P3.1. Generational relief. P3.2. Attracting talent. Pe 3.5 Prioritization of research, open to new lines such as bioinformatics, biotechnologies, primary care and maternal

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		Law 14/2011, of 1 June, on Science, Technology and Innovation. Article 16. Selection criteria for research personnel Law 3/2017, of June 27, of General State Budgets for the year 2017: Additional provision sixteenth Recruitment of public sector foundations in 2017	health.  <b>A30. Code of Good Practice for the Recruitment</b>
13. Recruitment (Code)	+/-	In matters related to contracting there is a GAP, but very limited solutions due to legal regulation that greatly limits the possibilities. There are regulations that limits our freedom of action in recruitment: Law 14/2011, of 1 June, on Science, Technology and Innovation. Article 16. Selection criteria for research personnel Law 3/2017, of June 27, of General State Budgets for the year 2017: Additional provision sixteenth Recruitment of public sector foundations in 2017	<b>A1. New Welcome Pack</b>
14. Selection (Code)	+/-	Personnel selection processes with public offers. Co-funded research teams with competitive selection. Mixed teams of researchers and managers are involved in the selection procedures. Solid External Scientific Council that supports the selections. The processes are conducted in accordance with the rules and including the merits cited in the C&C. Maybe they are not formally documented in all their aspects	There are internal regulations in IDIVAL related to this requirement: IDIVAL Statutes; RE-GNR-01. Regulation of organization and functioning IDIVAL; MA-GNR-02. Guide of Quality, Ethic and Good Scientific Practice in Research IDIVAL, .. However, it is considered necessary to clearly document it as a process.  <b>A31. Human Resources Process:</b> Documentation of Human Resources processes, from the detection of needs,

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			recruitment and selection, integration and development, clearly based on the principles of OTM-R.
15. Transparency (Code)	+		<p>We have a labor recruitment procedure of IDIVAL's staff, and the Statutes of the foundation.                      Fully managed selection processes with Fundanet platform.                      Advertising of the selection calls in the web portal: <a href="http://www.idival.org/es/empleo">http://www.idival.org/es/empleo</a>, in all its phases.                      Specific internal recruitment procedure, which can be improved.</p> <p>It's all pretty well defined and totally transparent. It can be improved:</p> <p><b>A31. Human Resources Process.</b>  <b>A32. Technological improvements:</b></p> <p>The implementation of the HRS4R will also improve this aspect.</p>
16. Judging merit (Code)	+		<p>No new action is defined other than documenting the HR process (A31).  <b>A31. Human Resources Process.</b></p>
17. Variations in the chronological order of CVs (Code)	+		<p>No new action is defined other than documenting the HR process (A31).  <b>A31. Human Resources Process.</b></p>

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18. Recognition of mobility experience (Code)	+		No new action is defined other than documenting the HR process (A31). <b>A31. Human Resources Process</b> (Should include clarity in how the mobility experience is valued)
19. Recognition of qualifications (Code)	+		No new action is defined other than documenting the HR process (A31). <b>A31. Human Resources Process</b> (must include clarity in the homologation and equalization of titles).
20. Seniority (Code)	+		No new action is defined other than documenting the HR process (A31). <b>A31. Human Resources Process.</b>
21. Postdoctoral appointments (Code)	-/+	There are no clear and explicit rules for the recruitment of postdocs, since the ways of arrival are diverse . There is no policy of attraction for powerful postdocs. Legal and budget limitations play an important role to stablish high salaries for postdocs positions.	
Working Conditions and Social Security			
22. Recognition of the profession	-/+	Recognition of the profession is based on a set of principles that are already in the Law of Science. There is lack of strategies to let the institution know if researchers involved in a research career are recognized as such.	<b>A13. New Guía de Calidad, ética y Buenas Prácticas Científicas:</b> - Include it and emphasize it in the ethic Guide. Author and acknowledgments / presence in research work/ acknowledgments / co-authorship

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		This situation depends on the corresponding Principal Researcher. It is a question of ethic and good practices that could be enhanced.	<p><b>A33. Institutional presence level actions:</b> Make the people involved more visible; highlight authorship in particular the team, not just the main actor. Assess at what level this can be done.</p> <p><b>A34. Somos Valdecilla:</b> Recover the presence in "Somos Valdecilla", the communication platform that brings together information from HUMV, HvV and IDIVAL.</p> <p><b>A35. Motivation through training</b></p> <p><b>A36. Benchmarking:</b> in order to get ideas for improvement in in the field of motivation and recognition.</p>
23. Research environment	+		<p>An enormous effort is being made to get people formed, and have contacts with other centers in particular in the field of management, creating networks.</p> <p>Within internationalization there are clear objectives.</p> <p>There are programs to help internationalization</p> <p>It is strongly committed to European projects.</p> <p>Making Progress Reports successful.</p>



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			Training in English.  Participation in networks.
24. Working conditions	-/+	<p>Legal, labor and budgetary framework of Cantabria very restrictive.</p> <p>Lack of legislative development in Cantabria of the Law of Science and the framework for transfer and intellectual property.</p> <p>Lack of development of a "Researcher Statute" (legal basis of the researcher)</p> <p>It is necessary to advance in the development of a specific labor framework of IDIVAL.</p> <p>Legislation impeding implementation:</p> <ul style="list-style-type: none"> <li>- Law of Cantabria 1/2017, February 24, on General Budgets of the Autonomous Community of Cantabria for 2017 (prohibition of increases in salary mass for 2017, limitations on labor recruitment, previous authorization of budgetary authority in administrative contracting and staff).</li> <li>- Law of Cantabria 2/2012, of May 30, on Administrative, Economic and Financial Measures for the Execution of the Plan for the Sustainability of Public Services in the Autonomous Community of Cantabria: Salary Limit in the Public Business and Foundational Sector: Article 14 : Remuneration limits in the public sector of the Government of Cantabria.</li> </ul>	<p><b>A27. Gender balance Pain:</b> Elaborate the Gender Balance Plan (Special attention to measures to reconcile work and family life)</p>

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		- Law 3/2017, of June 27, of General State Budgets for the year 2017: Additional provision sixteenth Recruitment of public sector foundations in 2017 - Law 3/2017, of June 27, of General State Budgets for the year 2017. Article 18 Salary Limit in the Public Business and Foundational Sector.	
25. Stability and permanence of employment	-/+	Due to legislative limitations we can not make permanent contracts. Temporary contracting is subject to the urgent and imperative necessity. European judgment on interim matters. Indefinition of the labor framework and the research career. Limited salary scales.  Gender disbalance in the positions of responsibility of the Institute.  Difficulties in attracting new talent. There are no new research staff positions planned.	There are several action plans in the Strategic Plan aimed at improving this aspect: - PLAN OF ACTION 1.6: Empowerment linked places HUMV-UC - ACTION PLAN 3.1: Generational Replacement - PLAN OF ACTION 3.2: Promotion of the creation of new research groups and emergent empowerment.  <b>A37. European directive of Fixed Work:</b> Study the EU Fixed Work Directive (Council Directive 1999/70/EC of 28 June 1999 concerning the framework agreement on fixed-term work concluded by ETUC, UNICE and CEEP) in order to discern any requirements not sufficiently covered.
26. Funding and salaries	-/+	Non-Competitive salaries. Lack of stability in project contracts Small Professional research sector in IDIVAL Complex labour framework. Work conditions negotiations. The model is not defined in IDIVAL.	The issue of adapting the salarial scales is a very worked issue, not yet solved. Payment has been achieve for complementary research activity. At the institutional level it is in continuous work.  <b>A29. Periodic evaluation of researchers</b>

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			<b>A27. Gender balance Plan</b>
27. Gender balance	-/+		<b>A27. Gender balance Plan</b>
28. Career development	-/+	<p>The Spanish professional career path is followed.                      It is not possible to set up a professional development plan by type of hiring and projects dependent on funds.                      There is no IDIVAL professional development plan.</p> <p>The orientation depends on the group and in particular on the Principal Researcher and supervisors.</p>	<p><b>A1. New Welcome Pack:</b> include in the manual the explanation of the itinerary of the research career.</p> <p><b>A38. Analysis of the progress of research professionals after leaving IDIVAL::</b> Possibility of follow-up each graduate to see the ability of each Principal Investigator to generate valid scientists.</p> <p><b>A39. Counselor:</b> Analyze the creation of the figure of the professional advisor in the research career (analogy to the figure of mentoring with clinical professionals), which facilitates orientation in a research career.</p>
29. Value of mobility	-/+	<p>Discomfort of workers leaving their usual environment                      Difficulties with language                      Lack of a regulation of these exchanges.</p>	<p>The Institution should focus on this important issue.</p> <p><b>A40. Motivation to mobility:</b> Encourage motivation, through more proactive and specific information on possible aids to the exchange, in addition to the dissemination that is already done through the IDIVAL weekly Newsletter.</p> <p><b>A41. Agreements with other Centers</b></p> <p><b>A42. Real mobility of IDIVAL professionals:</b> Follow-up to</p>

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			know the real mobility of the professionals of the organization.  <b>A43. Regulation of additional workplaces</b>  <b>A44. Increase mobility possibilities:</b> Analyze the possibility of IDIVAL scholarships' and predoctoral programs' include mobility being financed.
30. Access to career advice	-/+	There is no formally a counselor / mentor figure in the Research career. At this point the orientation depends on the group and above all the Principal Investigator and their degree of involvement.	<b>A1. New Welcome Pack:</b> Include in the manual the explanation of the itinerary of the research career.  <b>A38. Analysis of the progress of research professionals after leaving IDIVAL</b>  <b>A39. Counselor</b>
31. Intellectual Property Rights	+/-	The culture of the transfer could be improved. Opportunities are lost.  Regional legal framework not developed.	Patents workshop, lectures at the Nursing Forum; Disclosure in the MADGS, ... are held systematically. There are two specific courses in which there is an important part about patents. The cost of processing the application and managing the patent is free for researchers.  <b>A10. Regional regulatory framework for Transfer</b>  <b>A45. Regulatory Framework of Transfer with UC:</b> Advance in the Regulatory Framework of Transfer with the University of

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			Cantabria.  <b>A46. Promotion of the culture of patentability:</b> It is a specific objective of the Innovation Area.  <b>A48. Basic rules of Intellectual Property:</b> Clarify what benefits has for the researcher
32. Co-authorship	+/-	There are some existing written and clear rules, but there is also a lot of conflict in this regard. There is no systematic way to evolve compliance. There is no systematic action in case of plagiarism, or complaints. Lack of strategies to encourage co-authorship. Lack of knowledge of junior researchers to be recognized independently of their supervisor.	<b>A13. New Guide of Quality, Ethics and Good Scientific research practice</b> (Include: Author and acknowledgments / presence in research / recognitions/ co-authorship: Include clearly defined criteria in the ethics guide and have a systematic to evaluate their compliance.)  <b>A39. Counselor</b>
33. Teaching	+/-	Evaluation systems do not take into account Teaching, although it should be an essential part of a researcher. At the moment in the evaluations does not give weight to the Teaching. By contrast, there are professionals who are "burying" in teaching.	IDIVAL has already many groups of students visiting the Institute learning about the research developed. We have an own procedure for this activities.  <b>A29. Periodic evaluation of researchers</b>
34. Complains/ appeals	+/-		In case of personal conflict, workplace or sexual harassment, there is a Harassment Protocol. <b>A28. Workplace harassment Policy</b>

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			The Statutes of IDIVAL include the role of the Scientific Director in ensuring compliance with ethical principles. <b>A39. Counselor</b>
35. Participation in decision-making bodies	+	There are decision organs, they are formed by all the necessary levels. Maybe they are not known enough.	<b>A4B. Annual meeting at IDIVAL</b> (In the annual session, include information to professionals about the existence of: - Security Committee - Harassment Committee (ad hoc) - Work council - Advisor - Future Professional Counselor (Note: Advisory bodies: internal and external council, Governing bodies, Board of Trustees, Delegated Committee, ... appear on the web)
<b>Training and Development</b>			
36. Relation with supervisors	-/+	The figure of supervisor and his / hers functions are defined in regulations and procedures, although it is considered improvable. There are no formal mechanisms to evaluate their compliance. There is a great diversity in the methods of supervision. There are improvements in competencies of supervision. It is possible to improve the training in Scientific Management, tools of work-groups management.	All groups are evaluated every 5 years.  <b>A47. Supervision Good Practices for Principal Researchers:</b> Establish concrete objectives by the institution that must be fulfilled in all research groups in relation to Supervision, and that must be met by all experienced researchers. (Eg., interview between tutor and tutored, support in the relationship if necessary).

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			<p><b>A49. Follow-up of the Research Groups:</b> Design strategies that allow the institution to know that the specific objectives are being achieved in each Research Group.</p> <p><b>A50. Review of the Scientific Plan:</b> Strategic review of current research groups. Revision of the Scientific Plan by the Scientific Director and the group coordinators.</p> <p><b>A51. Training in Scientific Management:</b> Training in Scientific Management, working groups management tools, Research methodology.</p> <p>It must have aspects about management, leadership, what a research group is and how it is organized, ...</p> <p>Aimed at experienced researchers, but also at health research staff and predocs (to foster a medium-term cultural change).</p>

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37. Supervision and managerial duties	-/+	The figure of supervisor and his / hers functions are defined in regulations and procedures, although it is considered improvable. There are no formal mechanisms to evaluate their compliance. There is a great diversity in the methods of supervision. There are improvements in competencies of supervision. It is possible to improve the training in Scientific Management, tools of work-groups management.	<b>A52. Training in duties in supervision tasks:</b> Disseminate among the experienced researchers who are part of the staff of the institution their duties and obligations in relation to the tasks of supervision and management of professionals and projects (through lectures or informative seminars).  <b>A53. Supervision to the Principal Researchers</b>
38. Continuing Professional Development	-/+	The current training offer of IDIVAL can improve.  Seminars: They are considered fundamental. However, it is not attended enough. Partly it is because the presence is not stimulated or the schedules are not the suitable ones.  Not enough research training (scholarships, courses, ..) IDIVAL should facilitate access to scholarships because courses are expensive.  They are not familiar with scholarships for young researchers.	<b>A54. Systematize the identification of the training needs of the staff</b>
39. Access to research training and continuous development	-/+	Idem 38	<b>A54. Systematize the identification of the training needs of the staff.</b>



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40. Supervision	-/+	In some cases, supervision is not as good as it should be.  To date, the Scientific Director has not been directly involved in monitoring issues.	<b>A51. Training in Scientific Management</b>  <b>A52. Training in duties in supervision tasks</b>  <b>A39. Counselor</b>
Any additional issues			
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## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list<sup>1</sup>

### OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/- Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	X	X	X	-	No OTM-R policy yet at IDIVAL.  <b>A57. Human Resources Policy:</b> Formally define the Human Resources Policy of IDIVAL, clearly based on the principles of OTM-R. Dissemination and training to the entire Scientific Community.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	X	X	X	+/-	There isn't a documented guide as such setting out clear OTM-R procedures and practices, but there are agreed principles, a procedure with the Management Direction, both administrative and procedural. The principles of the administrative procedural law are assumed in the recruitment of personnel for belonging to the Public Sector. The Government of Cantabria audits the selection procedures (publicity, transparency, equality, merit and capacity)  <b>A31. Human Resources Process:</b> Documentation of Human Resources processes, from the detection of needs, recruitment and selection, integration and development, clearly based on the principles of OTM-R.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	X	X	X	-/+	The Selection Reports are signed by the Principal Investigator, the Director of Management and the HR manager. There is currently no specific training in OTM-R  <b>A55. Increase knowledge in de Selection process:</b> Specific dissemination of the Selection Procedure to the Principal Investigators, emphasizing the importance of the OTM Policy
4. Do we make (sufficient) use of e-recruitment tools?	X	X		+	

<sup>1</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

					<p>Candidates register for job offers through IDIVAL's platform, on our website. It is downloaded automatically and structurally in Fundanet, our management tool.</p> <p>The selection board can access the CVs through intranet.</p>
5. Do we have a quality control system for OTM-R in place?	x	X	x	+	<p>The Government of Cantabria audits the selection procedures (publicity, transparency, equality, merit and capacity)</p> <p>IDIVAL is certified according to UNE 166002: 2014, R&amp;D&amp;i management: R&amp;D&amp;i management system requirements.</p>
6. Does our current OTM-R policy encourage external candidates to apply?	x	X	x	+/-	<p>Our website is open to all candidates. Job offers are sent to the website of Iemas, through the IDIVAL Newsletter, professional colleges, to specific companies depending on the position, ...</p> <p>There is not always an active diffusion for example through Euraxess.</p> <p><b>A31. Human Resources Process</b> (Include in the procedure the obligation to be proactive when externally posting job offers)</p>
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	X	x	+/-	Idem 6.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	X	x	+	<p>The recruitment policy includes all groups without distinction.</p> <p>As of the date of the present analysis, there are 84 women and 30 men in the Institution.</p>
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	X	x	+	<p>Within the legal framework and budget clearances, every effort is made to make this recruitment as attractive as possible.</p> <p><b>A9. Labour framework of IDIVAL:</b> Advance in the development of an specific labour framework of IDIVAL, elevating systematically this need to the Consejería.</p>
10. Do we have means to monitor whether the most suitable researchers apply?				+	<p>Emphasis is placed on the publication of job offers in the places of greatest interest.</p>
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	X		+/-	<p>IDIVAL has templates for publishing job offers.</p> <p><b>A31. Human Resources Process</b> (Clarify in the annex to the procedure how a job offer should be written.)</p>

12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report <sup>2</sup> ]	x	X		+/-	<b>A31. Human Resources Process</b> (The job offer may have links to the most informative aspects of the organization, the position, the Research group, etc.)
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	X		-	<b>A58. Publication of job offers:</b> Evaluate the possibility of publishing job offers in Euraxess.
14. Do we make use of other job advertising tools?	x	X		+	For specific positions, networks are used, etc.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) <sup>45</sup> ]	x			+	All official and legal documentation is requested a posteriori, not being an obstacle to enter in the selection process.
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) <sup>45</sup> ]		X	x	+	In the selection committee are: the Principal Researcher (who has the most technical knowledge of the requirements of the post), the HR Technician and the Management Department. In the processes of structure employees the Responsible of Area also participates. In the predoctoral and Wenceslao Lopez Albo, there are specific panels that provide a greater scientific knowledge of the subject. In the scholarships of managers there is also another specific panel.
17. Do we have clear rules concerning the composition of selection committees?		X	x	+	<b>A31. Human Resources Process</b> (Explain briefly in the procedure who usually compose the panel)
18. Are the committees sufficiently gender-balanced?		X	x	+	Yes, the committees are sufficiently gender-balanced.
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	-/+	The selection report gives three reasons for selection. It is make a list of those who meet, and then a merit evaluation, but it is not traceable. <b>A59. Traceability of decision:</b> Make the decision traceable in aspects of candidate requirements and merits to be assessed, in the Selection Report.
<b>Appointment phase</b>					

<sup>2</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

20. Do we inform all applicants at the end of the selection process?		X		-/+	<p>Only the selected professional is informed at the end of the selection process. This makes the candidates call, although it is not problematic. The difficulty of doing it personally and individually is explained by the great volume that exists.</p> <p><b>A60. Feedback to the candidate:</b> It is possible to generate automatic answers in Fundanet to communicate the result of the selection to the candidates.</p>
21. Do we provide adequate feedback to interviewees?		X		+	All the necessary feedback is given to information applicants.
22. Do we have an appropriate complaints mechanism in place?		X		-/+	<p>IDIVAL assists all claimants in the different stages of selection, but these channels are not adequately formalized.</p> <p><b>A39. Counselor:</b> IDIVAL could have 2 or 3 persons in the organization that may be available to be able to advise the professionals who need it. To those who can address when they have a problem or a doubt. They should be people with skills to resolve conflicts and avoid frictions.</p>
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+	<p>The Government of Cantabria audits the selection procedures (publicity, transparency, equality, merit and capacity)</p> <p>IDIVAL is certified according to UNE 166002: 2014, R&amp;D&amp;i management: R&amp;D&amp;i management system requirements.</p>