



HULAFE: INTERNAL REVIEW

Name Organisation under review:

The Medical Research Institute of the Hospital La Fe (IISLaFe)

Organisation's contact details:

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Web-link to published version of organisation's HR Strategy and Action Plan:

<https://www.iislafe.es/es/investigacion/personas/>

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵

<https://www.iislafe.es/es/investigacion/personas/>

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 23RD JANUARY 2018

1. ORGANISATIONAL INFORMATION

Please provide an update of the key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	390
Of whom are international (i.e. foreign nationality)	17
Of whom are externally funded (i.e. for whom the organisation is host organisation)	253 (external to the Foundation)
	80 (external to Hospital and IIS La Fe)
Of whom are women	198
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	105
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	161
Of whom are stage R1 = in most organisations corresponding with doctoral level	124
Total number of students (if relevant)	-/-
Total number of staff (including management, administrative, teaching and	347

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf



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<i>research staff)</i>	
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	12.959.258,71€
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	150.000€
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	6.159.705,57€
<i>Annual funding from private, non-government sources, designated for research</i>	6.649.553,14€
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Medical Research Institute of the Hospital La Fe (IISLaFe) (www.iislafe.es) is a non-profit organisation that carries out the scientific and research policy of Hospital La Fe. The research of excellence performed in HULAFE is patient-oriented and was accredited as "Health Research Institute" by the Spanish Ministry of Science and Innovation in 2009.</p> <p>The HULAFE comprises multidisciplinary and complementary research groups with consolidated expertise in cellular and molecular biology, cell culture, functional analysis imaging, "omics" and clinical research. All groups have solid scientific background, critical mass, organization and sustainability by international competitive grants as well successful interactions with private sector.</p>	



2. NARRATIVE

The HRS4R Action plan of IISLaFe was the result of many discussions, internal analysis and exhaustive work of HRS4R Working Group composed by administrative/management staff and IISLaFe governance. The gap analysis was performed by HRS4R Working Group divided into 8 meetings and composed of administrative/management staff: 6 meetings working on the chapters, and the 2 others for conducting and analysing the opinion (survey) of a representative panel of the IIS La Fe's scientific community (focus groups, 68 doctors representing senior and junior researchers, IIS La Fe Research Commission and Clinical Research area). The HRS4R Steering Committee composed by the management heads, prioritised the propositions in accordance with the institutional strategic plan, leading to the IIS La Fe's HRS4R Action plan 2015 (<https://www.iislafe.es/es/investigacion/personas/>).

In March 2016, IIS La Fe began a process of strategic review for the identification of new objectives and lines of action to improve its competitiveness at national and international level and its internal management and strategic procedures, in which different stakeholders were involved: National and Regional Authorities, External Scientific Committee, Hospital, Industry, and IIS La Fe Research, Management and Governance staff together with contributions from research personnel. This process consisted of repeated meetings between stakeholders and specific surveys of researchers/management staff with different profiles (Clinical, post-doctoral, pre-doctoral researchers, Laboratory and support technicians, Support staff, Management staff. As a result of this transformation process, we formulated the essential values of IIS La Fe, which form the new strategic axes of our new Action Plan: Integrity, Service Vocation, Excellence, Transparency, Innovation and Sustainability, implementing the long-term European vision for science research such as the principles of Charter & Code, RRI and The Three Os - Open Innovation, Open Science, Open to the World. Each axis had its specific work team composed by researchers and management staff assisted by the Research Committee, and specific lines of work to develop internal standardizing process to allow new methods and processes helping the implementation of the initial HRS4R plan.

Due to this transformation process, changes have been made in the initial technical and steering committees, to better track and control the HR Strategy Action Plan implementation. The Steering Committee has changed due to changes in the organizational chart, and the Technical Team is converted in the Implementation Committee. This last committee comes from the members who developed the transformation plan, i.e., the members of the work teams of each strategic axis, who promoted the development and implementation of the new lines of action. This re-structured organization is due to lead and monitor the different actions involved in IIS La Fe transformation, involving HRS4R and RRI implementation. The new composition of Steering and Implementation Committees are shown in **Attachment 1**.

Over this period, IIS La Fe has included modifications and new actions in the last Strategic Plan to adequately achieve and implement HRS4R principles. IIS La Fe made special efforts to better implementing transparency and equity in the personnel recruitment process, promoting scientific and social collaborations between their stakeholders, and in general, improving staff care in the workplace, providing to researchers the working conditions and necessary information to ensure the development of their research activity with freedom and responsibility. Most of these practices are now updated in our new revision of code of ethical issues and good research practices IIS La Fe, and the new IIS La Fe Strategic Plan 2017-18, which are available to the researchers in our intranet. Regarding legal and ethical rules related to researcher's clinical work, the investigators and clinicians are supported by IIS La Fe Advisory Ethical Committee included in the Clinical Trial Research Unit (AIC). IIS La Fe now counts with an independent Ethical Committee (CEIm) accordingly to the Royal Decree RD1090/2015 and the European Directive 2001/20/CE. The Ethical Committee CEIm La Fe operates independently and it is interdisciplinary according to the current regulation. There are two additional IIS La Fe sub-Committees: i) the Ethical Committee for research with animal models (CEEa), ii) the Ethical Committee of Biobanks and Sample Collections (CEBCI). All these actions are mainly aligned with **Chapter I, Ethical and professional aspects**.

IIS La Fe is working towards an Open, Transparent and Merit-Based Recruitment Policy updating IIS La Fe Internal procedures and the development of our OTM-R policy, training and e-recruitment tools. Also, IIS La Fe make use of its web and EURAXESS in all their national and international job advertisings. Regarding the



working conditions, mobility experience, the attraction and retention of research talent, and research career development, IIS La Fe has made a great effort in the implementation of HRS4R principles developing a new collective agreement, new salary tables, a manual of management jobs positions, a manual of use of services and facilities, the launch of IIS La Fe internal grants for the researcher's mobility to prepare international projects, and concrete support in H2020 Marie-Curie IF and ITN and ERC StG and CoG grants for researchers through IIS La Fe International Office that has received specific training courses (IIS La Fe has been awarded with 3 MSCA grants (IF and ITN), and 1 from USA, Office Of Naval Research, ONR; (<https://www.iislafe.es/es/investigacion/oficina-internacional/international-research-projects/>)). Additionally, IIS La Fe has still developing New Welcome Guidelines, a Recruitment and Talent Retention Plan, a Training and Coaching Plan, and a Career Plan (2018). Regarding scientific management system, IIS La Fe has awarded with Quality Certification ISO 166002 (UNE 166002:2014), R&D&i management system requirements, and has published its Science Memorandum 2016 (Memoria Científica 2016, <https://www.iislafe.es/es/el-iis-la-fe/memoria-cientifica/>). All these actions are mainly aligned with **Chapter II, Recruitment**.

Regarding Responsible Research & Innovation (RRI) strategy, IIS La Fe has made an effort to include more research members in the Governance Bodies, as the Director of IIS La Fe is leader of one of the research units. The Research Committee is formed by researchers in representation of "accredited groups" and "mixed units", teaching commission, nursing management and biomedical research ethics committee. In the maximum organ of decision, the board of trustees, there are internal and external scientists to the institution. With respect communication, dissemination and public outreach activities, IIS La Fe has developed (2017) its strategic Plan of Communication, that manages and implements actions for internal and external communications and provides support for researchers to disseminate their scientific activity and will be the platform to communicate, public outreach and to develop Social Science and Humanities (SSH) integration strategies. Regarding gender, IIS La Fe has developed and implement an Equality Plan (2017). Open access (Open Science) is one of our strategies in which we are more actively involved, we are developing an open access institutional plan for the whole organization and we are creating an open access institutional repository (Fundanet) that will be operational in 2018. IIS La Fe was adhered to Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities on 25th July 2017 (<https://openaccess.mpg.de/319790/Signatories>). All these actions are mainly aligned with **Chapter III, Working conditions and social security**.

Science education and training is implemented through www.aulafe.com, IIS La Fe own Training Programme to complement the academic training in Health Sciences and non-academic formation (<http://www.iislafe.es/cursos.aspx>), and the public engagement activities such as "Your hospital investigates for you" (Tu hospital investiga para ti) a cycle of conferences of scientific-technological advances in biomedical research by IIS La Fe researchers addressed to patients associations, professionals, students and the general public, "Nobel Prizes Visits", The Nobel Prizes in Medicine met annually with a small group of researchers to discuss concerns of young scientists and exchange experiences in a relaxed and informal atmosphere, and "Charity Gala against Leukemia", the IIS La Fe in coordination with a group of five mothers with hospitalized children drove holding a charity gala annually to raise funds for research against Leukemia. All these actions are mainly aligned with **Chapter IV, Training**. The follow-up chronogram (2015-2020) is annexed in **Attachment 2**.

We are updating and improving some indicators of the 4 thematic areas of the Charter and Code to better monitor all actions within the Action Plan 2015.

In Ethical and professional aspects (I) area, we have changed our internal ethics code, obtained ISO 166002 certificate for our R+D+i management system and we are working on dissemination of the internal ethics and code, improve good practice in research, dissemination and exploitation of the research results.

In Recruitment (II) area, we have changed our welcome guidelines, develop an OTM-R policy, reviewed our standard operational procedures, changed our web site and included more information for researches in the intranet and we are developing a plan for attract high international researches/ retain talent.

In Working conditions (III) area, we have implemented a collective agreement, approved and disseminated our Equality Plan, we are working on a plan of internal promotion and career development and the implementation of evaluation system of the research activity.

In Training (IV) area, we have improved mobility through participation in international programs and we are developing a system of training and talent development and a more completed Training program.



3. ACTIONS

Action Plan 2015 included a total of 30 actions, all of them have been reviewed and classified as *achieved, on-going and to be achieved* and present the following state of process:

- 43% are achieved
- 20% are on-going
- 37% are to be achieved

Actions foreseen in the initial action plan

HRS4R Principle	Action	Specific Action	Timing	Responsible Unit	Indicator(s)/ Target	Current status. Achieved; On-going; To be achieved
General	0. Include within the IIS La Fe Strategic Plan the principles contained in de HRS4R		Dec 2015	HRS4R Technical Team	17 new actions are included in the Strategic Plan	Achieved
I. Ethical and professional aspects	1.Revision of the Code of ethical issues and good research practices	Update the chapter of Good Clinical Practices	Dec 2015	Quality Assurance Department, Health and Safety Department	5 new chapters included in the Code of ethical issues and good research practices	Achieved
		Update the chapter of occupational hazardous				Achieved
		Include a new chapter about the appropriate working conditions to facilitate the research and the training of the researchers		Quality Assurance Department, scientific area		Achieved
	2.Develop a regulatory internal manual for the use of services and facilities		sep-16	Quality Assurance Department		Achieved



	3. Obtain the ISO 166002, for the certification of the management of the R + D + I	Development of strategy of surveillance / transference of technology	Apr 2016	Technology Transfer Office (OTRI) and Quality Assurance Department	New strategy of surveillance / transference of technology	Achieved
	3. Obtain the ISO 166002, for the certification of the management of the R + D + I	Development of procedures	Apr-Nov 2016	Technology Transfer Office (OTRI) and Quality Assurance Department	Documented procedures	Achieved
	3. Obtain the ISO 166002, for the certification of the management of the R + D + I	Implement an R+D+i management system	Dec 2016	Technology Transfer Office (OTRI) and Quality Assurance Department	ISO 166002 Certificate	Achieved
	4. Increase of 15% the rates of technology transference and knowledge exploitation.	Promote innovation and business initiatives. Spread Biopolo's La Fe strategy. Stablish periodic contacts with health and biotechnological business sector. Attend Fairs and forums for Health and Biotechnological Sector	Dec 2015, 2016, 2017, 2018	Technology Transfer Office (OTRI)	17 initiatives and R&D+i projects Investment made on initiatives and R&D+i projects 10 Biopolo's La Fe initiatives 119 of entities that contract services or R&D+i	On-going
	5. Promote a culture of dissemination and exploitation of results	Promote technology transfer and innovation training activities Specific grants for innovative/transferable projects	Continuous	Technology Transfer Office (OTRI)	403 initiatives and R&D+i projects assessed	On-going
II. Recruitment	1. Modify the employment call guidelines	Recognition of; other merits, mobility experience, reintegration to the research career, variations in chronological order of CVs, disadvantaged groups...	3Q 2019	HR Department		To be achieved



	2. Introduce new welcome actions	Modify the welcome guidelines with more institutional information	Dec 2015	HR Department		Achieved
		Programming periodical guided visits for new workers	4Q 2018	HR Department		On-going
		Diffusion of important institutional information available in the intranet	Continuous	Communication Department		On-going
	3. Attract high quality international researchers/retain talent	Translate to English all the internal documents and the web page.	2Q 2018	International Office/ Scientific Area	IIS La Fe web site is now available in english (https://www.iislafe.es/en/). We are working on translating other internal documents	On-going
		Increase of 10% the participation in international programs (ex. H2020, ERC, Marie Skłodowska-Curie Actions)	Continuous	International Office/ Scientific Area	37 international programs in which the entity participate 22 international grants 4 international researchers	To be achieved
		Design and implementation of a Plan to attract and retain talent.	4Q 2018	International Office/ Scientific Area	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved
III. Working conditions	4. Implementation of a Collective Agreement	Development of the Collective Agreement, paying attention to actions to improve the working conditions and salaries	Dec 2015	HR Department, Legal Department, Works Council		Achieved



		Negotiation and Approval of the Collective Agreement	4Q 2016	Works Council, Direction, Research Committee		Achieved
		Dissemination of the Collective Agreement	1Q 2017			Achieved
5.Implementation of a evaluation system of the research activity		Development of a career plan, paying attention to mobility experience	2Q 2018	Scientific Area, Quality Assurance Department	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved
		Negotiation and Approval	3Q 2018	Scientific Area, Direction, Research Committee	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved
		Dissemination and implementation Scientific Area	1Q 2019	Scientific Area	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved
6.Implementation of a Plan of internal promotion and career development		Development of a career plan, paying attention to mobility experience	2Q 2018	Scientific Area	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved
		Negotiation and Approval	3Q 2018	Scientific Area, Direction, Research Committee	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved
		Dissemination and implementation	4Q 2018	Scientific Area	Timing extended in the new IIS La Fe Strategic Plan 2017- 2018	To be achieved



	7.Equality plan	Development	Dec 2017	HR Department		Achieved
IV. Training	8.Improve the system of training and talent development	Development of a training plan: Spread AulaFe training platform Increase training offer of IIS La Fe Design and implement a continuing professional development plan of Good Clinical Practices (GCP)	Dec 2015, 2016, 2017, 2018, 2019, 2020	Scientific Area, Technology Transfer Office, Clinical Research Area, International Office	188 researchers that attend GCP training courses 185 researchers with GCP training 80% Satisfaction of the researchers	On-going
	8.Improve the system of training and talent development	Implementation of a mentoring system	1Q 2019	Scientific Area		To be achieved
	8.Improve the system of training and talent development	Promote mobility programs	Dec 2015, 2016, 2017, 2018, 2019, 2020	International Office	Participation in 4 international programs	To be achieved



Updated action plan for the 2018-2020 period

24 new actions are added to the action plan for the 2018-2020 period.

HRS4R Principle	Action	Timing	Responsible Unit	Indicator(s) / Target	Current status.
I. Ethical and profesional aspects	Improve the visibility of the Ethics Committee procedures	1Q, 2018	Communication Department	IIS La Fe website	To be achieved
II. Recruitment	Review job descriptions requirements within the job advertisement (merits, movility...)	1Q 2018	HR Department-Evaluation Committee	Job advertisement document	To be achieved
	Establish an individual evaluation checklist template for the shortlisted candidates selected for interviews	2Q, 2018	HR Department-Evaluation Committee	Evaluation checklist for candidates to be interviewed template	To be achieved
	Human Resources SOP review	1Q,2018	HR Department, Quality Assurance Unit	Human Resources SOP	On-going
	Elaboration of the Welcome Guidance for Researches	2Q,2018	HR Department, Scientific Area, Quality Assurance Unit	Welcome Guidance for Researchers	On-going
III. Working conditions and social security	New Salaries Tables	4Q, 2017	HR Department	Salaries Tables Document	Achieved
	Manual of management jobs positions	4Q, 2016	HR Department,	Manual of management jobs positions document	Achieved
	Include more Euraxess information in our website	1Q,2018	HR Department , Communication Department	IIS La Fe website	On-going
	Establish new working time hours within the collective agreement	1Q,2018	Institution Joint Committee	Revised collective agreement	To be achieved
	Establishment of mediation and conflict resolution Committee	2Q,2018	Mediation and conflict resolution Committee – Direction		To be achieved
	Review Equality gender Plan (biannual)	3Q,2018	Equality gender Committee	Equality gender Plan	To be achieved
	Increase the budget to the institution programs of researcher recruitment, at all levels of the career	Continuous	HR Department, Scientific Area	key performance indicator (Annual Budget to the programs of researcher recruitment)	To be achieved



	To negotiate with the hospital for consolidation of researchers jobs	2Q, 2019	HR Department, Scientific Area	key performance indicator (number of stablished researchers)	To be achieved
	To have an integral research career	3Q,2020	HR Department, Scientific Area	Research career Plan	To be achieved
IV. Training	Job Satisfaction Survey	3Q, 2018	HR Department, Quality Assurance Unit	80% personnel satisfaction	To be achieved

The new actions related to OTM-R principles are the following:

OTM-R Principle	Action	Timing	Responsible Unit	Indicator(s) / Target	Current status. Achieved; On-going; To be achieved
OTM-R System	OTM-R self-assessment	4Q 2017	HR Department, Quality Assurance Unit	OTM-R self-assessment document	Achieved
	OTM-R internal guide	1Q 2018	HR Department, Scientific Area, Quality Assurance Unit	OTM-R internal guide document	To be achieved
	e-recruitment tools	1Q 2020	Human Resources Unit	Implant new e-recruitment tools	To be achieved
	OTM-R training	2Q 2019	Human Resources Unit	Training certificates and evaluation programme	On-going
	OTM-R principles published in IIS La Fe web	1Q 2018	Human Resources Unit and Communication Department	Web site publication	On-going
Advertising and application phase	Jobs in Euraxess	1Q 2019	HR Department	All of our Jobs advertisements will be published in Euraxess	On-going
Appointment phase	Develop SOPs for improve feedback to applicants and interviews	2Q 2018	Human Resources Unit	SOP recruitment	On-going
	Improve complaints mechanism	3Q 2018	Human Resources Unit	SOP recruitment	On-going
Overall Assessment	Job Satisfaction Survey	4Q 2018	HR Department, Quality Assurance Unit	80% satisfaction	On-going



As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist⁴⁵, attach it to this self-evaluation form, and provide a commentary on how you will (continue to) address these principles in the years to come.

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

IIS La Fe HR strategy for research resulted awarded in 2015 with the “HR Excellence in Research”, prior to the OTM-R toolkit and recommendations by the European Commission. The institution has proceeded with its OTM-R self-assessment. The outcome of IIS La Fe’s OTM-R analysis is positive by 95,7% with 22/23 responses receiving an answer that is considered positive: Yes completely; Yes substantially; Yes partially (**Attachment 3**, IIS La Fe OTM-R analysis). As our institution is committed with continuous development and considering OTM-R self- assessment our next goals will be establishing a OTM-R training for all the personnel involved in the recruitment process, implant better e-recruitment tools and develop internal guides to provide candidates feedback.

IIS La Fe is working towards an Open, Transparent and Merit-Based Recruitment Policy updating IIS La Fe Internal procedures, and the development of training and e-recruitment tools. Also, IIS La Fe translates into English of job offers and make use of its web and EURAXESS in all their international job advertisings. We have published our OTM-R policy in the IIS La Fe web (<https://www.iislafe.es/es/investigacion/personas/>).

In the years to come, we will develop specific training and workshops in OTM-R area, suitable use of our e-recruitment tools (IIS La Fe web, <http://www.iislafe.es/ofertas-de-empleo.aspx>; Professional Social Networks), and a quality control system for OTM-R procedures implementation and monitoring.



4. IMPLEMENTATION

How have you prepared the internal review? How have you involved the research community, your main stakeholders, in the implementation process? Do you have an implementation committee and/or steering group regularly overseeing progress?

The internal review was carried out under the direction of the IIS La Fe Director, Dr. Jose Maria Millán, who heads the new Steering Committee (updated to reflect changes in the organizational chart), to implement and monitor the IIS La Fe transformation process which involves RRI and HRS4R strategies. The self-assessment was based in IIS La Fe process of strategic review in March 2016, for the identification of new objectives and lines of action to improve its competitiveness at national and international level and its internal management and strategic procedures, in which different stakeholders were involved: National and Regional Authorities (ISCIII, Conselleria Sanitat), External Scientific Committee (CSIC), Hospital, Industry, and IIS La Fe Research, Management and Governance staff together with contributions from research personnel. It was a collaborative effort to complete a mid-term internal audit on HRS4R achievements against the initial action plan, and to review IIS La Fe strategy and processes as a whole. As a result of this transformation process, we created the essential values of IIS La Fe, which form the new strategic axes of our new action plan: Integrity, Service Vocation, Excellence, Transparency, Innovation and Sustainability, with its work team composed of researchers and management staff, and specific lines of work for the next years to implement the transformation process and HRS4R and RRI plan. The Implementation Committee, implements, controls and follows-up the different actions, and the new Steering Committee monitor this implementation.

The Steering Committee meets annually and provides leadership in the implementation of the transformation process, RRI, and HRS4R procedures. It is comprised of representatives of IIS La Fe's governing boards.

The Implementation Committee meets 3 times per year; it carries out the action plan, monitors progress and reports to the Steering Committee: it is comprised by members of the work team leaders and members of each IIS La Fe strategic axis.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy?

HRS4R is integrated into the IIS La Fe new global strategy, and it is included in the different actions of the Strategic Plan 2017-18. Human Resources Department and other management departments are working in the integration, implementation, training and dissemination of the IIS La Fe transformation process and C&C principles, in all the procedures and day-by-day of research groups.

"HR excellence in research" award is mentioned in all IIS La Fe national and international projects as a distinctive sign of excellence, is presented in our web main page, it is presented in the international financing training conferences carried out internally and externally to the organization, and for being one of the first institutions in Spain to obtain this distinction, we were invited as a guest speaker to present IIS La Fe's experience with HRS4R, at national level (Asamblea y Jornadas REGIC 2016 **26 sept 2016**, Mesa redonda: Human Resources Strategy for researchers (HRS4R) + RRI, Casos prácticos HRS4R. Ainhoa Genovés- Coordinadora de Investigación Científica y Técnica - IIS La Fe, http://www.regic.org/index.php?option=com_phocadownload&view=category&id=54:jornadas-san-sebastian-donostia-2016).

How do you involve the research community, your main stakeholders, in the implementation process? How is your organisation ensuring that the proposed actions are also being implemented?

Since the transformation process, all IIS La Fe main stakeholders (National and Regional Authorities, External Scientific Committee, Hospital, Industry, IIS La Fe Research, Management and Governance staff) are committed to participate in the implementation of the new action plan and HRS4R strategy. They are and will



be regularly informed on the progress by the Steering Committee through progress report made by Work Teams of each axis, and later, by the Implementation Committee. Researchers were and will be involved in all the steps through the development and implementation of HRS4R strategy as key actors.

The Action plan and Mid-Term Internal Review have been integrated in the institutional strategic plan and will be validated by the Research Committee, the External Assessor Committee, the main governing board in the organisation, ensuring the implementation of all the actions involved in the transformation process, and HRS4R and RRI strategy. The Implementation Committee are and will be in charge of regular follow-up, monitor the progress and implementation of the different actions all along the different yearly steps and report to the Steering Committee governance.

How are you monitoring progress?

The Steering Committee meets annually and lead and control the real implementation of the transformation process, RRI, and HRS4R procedures. The Implementation Committee meets 3 times per year; it carries out the action plan, monitors progress and reports to the Steering Committee. The Implementation Committee will perform yearly a detailed report with a follow-up of planned actions, with an inventory of achieved actions during one-year period, achievement indicators, and proposal of new actions if appropriate, and it will send to Steering Committee and Stakeholders for their evaluation and information.

How do you expect to prepare for the external review?

Both Steering Committee and Implementation Committee will implement and monitor the proposed actions during the 3 years after the Interim Assessment, by progress reports, revision of developed documents, and review meetings. Regarding specific preparation for external experts review and site visit, the Steering and Implementation Committee, IIS La Fe management staff and IIS La Fe stakeholders will perform 3 preparation meetings for final IIS La Fe internal review to monitor progress and accomplishment of the different proposed actions, the changes/modifications of these actions and the timeline, and the creation of new actions necessary to confirm the implementation of HRS4R principles.



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5- ATTACHMENTS

ATTACHMENT 1 - IIS LA FE STEERING AND IMPLEMENTATION COMMITTEE

The Steering Committee providing leadership in the implementation of the transformation process, RRI, and HRS4R procedure is listed below; it is comprised of representatives of IIS La Fe's governing boards. The Steering Committee members are women in 50% of the cases.

- Dr. José María Millán – General Director IIS La Fe
- Dr. Monica Almiñana – General Manager Hospital La Fe
- Dr. Rafael Botella – Director of Research Committee
- Dra Adela Cañete – Director of Ethics Committee.

The Implementation Committee carrying out the action plan, monitoring the progress and reporting is listed below: it is comprised by members of the work team leaders and members of each IIS La Fe strategic axis. The Implementation Committee members are women in 72% of the cases.

- Rosario Pellejero (Assurance Quality Department)
- Adriana Sandoval (Health and Safety Department)
- Ainhoa Genoves (Scientific Area)
- Elena Carrió (Technology Transfer Office (OTRI))
- Mayte Cortell (HR Department)
- Anna Juan (Communication Department)
- Ana Blanco (International Office)
- Maria Cortell (Clinical Research Area)
- Aaron Mayol (Legal Department)
- Luís Bataller (Research Committee)
- Regina Rodrigo (Genomics Research Group)
- Antonio Pineda (Drug Discovery Research Group)
- Agustín Lahoz (Precision Medicine Research Group)

ATTACHMENT 3 – IIS LA FE OTM-R SELF-ASSESSMENT (2016)

	Open	Transparent	Merit-based	Answer: Yes completely/Yes substantially/ Yes partially/No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	Yes completely	https://www.iislafe.es/es/investigacion/personas/
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes substantially	3 of January of 2018
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	Yes partially	CERCA (Centres de Recerca de Catalunya) video about "Recruitment Bias in Research Institutes" (https://www.youtube.com/playlist?list=PLIRaTLZqki-CuOpGbTSp_CUgJvyBM_Btj) has been disseminated to Human Resources and Development Area of IIS La Fe and it will also be sent to the researchers involved in recruiting personnel, as well as to the members of the Personnel Selection Committee.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes partially	On our website, we have a direct link for the publication of job offers (https://www.iislafe.es/en/job-offers/), where advertising is given and the candidates application is facilitated, as well as information about the call status and its final resolution.
5. Do we have a quality control system for OTM-R in place?	x	x	x	Yes completely	Our OTM-R procedures are integrated into the Quality Management System, which means that, at the moment, no external quality control has been planned.

6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes partially	Positive trend in the share of applicants from outside the institution. Data since 2016.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes partially	Positive trend in the share of applicants from outside the institution. Data since 2016.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	Yes substantially	Positive trend in the share of applicants among underrepresented groups (frequently women and disable people). Data since 2016.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes partially	Positive trend in the share of applicants from outside the institution. Data since 2016.
10. Do we have means to monitor whether the most suitable researchers apply?				No	At present we do not have a monitoring system.

Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes completely	A job vacancy template is annexed for research personnel in two languages.
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)]	x	x		Yes completely	In PERSONS section and in TRANSPARENCY Portal of the IIS La Fe website, the salary tables and the working conditions of our collective agreement are informed.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes partially	100% of vacancies for research staff associated with European projects are published on the EURAXESS portal. Positive trend in the share of applicants from outside the institution. Data since 2016.
14. Do we make use of other job advertising tools?	x	x		Yes completely	IIS La Fe advertises their job announcements on their website, in their social networks (twitter, linkedin), in the university bulletin board, and in some cases, in the portals of Official Schools.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	x			Yes completely	When registering for any of our public calls, it is mandatory to provide the academic record, CV, the corresponding academic degree, as well as the documentation supporting the requested merits.



Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a)]		x	x	Yes completely	The Personnel Selection Committee consists of: i. Principal Investigator, ii. General Directorate of IIS La Fe, iii. Human resources management of the U. i P. La Fe Hospital.
17. Do we have clear rules concerning the composition of selection committees?		x	x	Yes completely	The rules of the Personnel Selection Committee composition are approved by the Governing Bodies of IIS La Fe.
18. Are the committees sufficiently gender-balanced?		x	x	Yes completely	At this moment, the stable composition of the Personnel Selection Committee is balanced in terms of gender, since the General Director of IIS La Fe is a man and the Human resources manager of the U. i P. La Fe Hospital is a woman. The final gender-balanced of the Personnel Selection Committee depends on the gender of the Principal Investigator, who can be male or female, depending on the case. However, given the gender balance of IIS La Fe intrinsically, the committees regularly include members of both sexes.
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	Yes completely	IIS La Fe regulations for candidates selection. The selection criteria used by Personnel Selection Committee have been established and approved by IIS La Fe Governing Bodies.

Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		Yes partially	Candidates are informed through job call phases and states on IIS La Fe website. The call resolution is announced once the process has finished for the knowledge of the applicants.
21. Do we provide adequate feedback to interviewees?		x		Yes partially	Candidates are informed through job call phases and states on IIS La Fe website. The call resolution is announced once the process has finished for the knowledge of the applicants.
22. Do we have an appropriate complaints mechanism in place?		x		Yes partially	Applicants can send their complaints through e-mail address indicated in the job call.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				Yes partially	Job Satisfaction Survey



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