HUMAN RESOURCES

EXCELLENCE IN RESEARCH

IDIBGI 2014-2018

WORKING PAPER

Girona, 11th December 2014

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CONTENTS

1. <u>INTRODUCTION</u>

The Girona Biomedical Research Institute was established in 1995 as a private foundation at the Dr. Josep Trueta University Hospital with the aim of being a vehicle for the research of investigators, doctors and nurses of the hospital. Since 2008, with the participation of the Generalitat of Catalonia in the organs of government, it has been a public body. The culmination of this phase has been the incorporation of the IDIBGI as a **CERCA** centre of the Generalitat of Catalonia.

The IDIBGI is made up of research groups from the following **institutions**:

- ✓ Dr. Josep Trueta University Hospital of Girona
- ✓ University of Girona
- ✓ Institute of Image Diagnosis
- ✓ Catalan Institute of Oncology
- ✓ Institute of Primary Care/Catalan Institute of Health in Girona
- ✓ Institute of Health Assistance

IDIBGI main **research areas** are the following:

- ✓ Cardio-vascular

    Cardiovascular Genetics

    Epidemiology and Research in Vascular Health
- ✓ Metabolism

    Nutrition

    Eumetabolism

    Health Ontogeny of the Metabolic Syndrome
- ✓ Neuroscience

    Aging and Health

    Cerebrovscular Pathology

    Medical Imaging

    Neurodegeneration

       Neuroinflammation

  ✓ Oncology and Hematology

       Descriptive Epidemiology

       Genetics and Cancer Prevention

       Hematology

       Hepatobiliary & Pancreatic Surgery and Oncology

       Molecular Oncology

The **IDIBGI statutes** determine that its purpose is to promote, develop, manage and disseminate research, scientific and technical knowledge, teaching, and training in the field of life and health sciences.

The Biomedical Research Institute in Girona (IDIBGI) **endorsed the "Charter for Researchers and Code of Conduct for the Recruitment of Researchers" (C&C)** in May **2011**, and **joined the Fourth Cohort** of the Institutional Human Resources Strategy Group in **2012**, attending the Kick-off meeting of the group project in Brussels.

IDIBGI organs of government approved the **IDIBGI Strategic Plan for 2013-2017** in December 2013. One of the main challenges included is to promote measures to recruit and retain research talent. This plan defines the purpose of the institute as follows:

Mission

To support and develop quality biomedical and health research, promoting its translation into regular practice, with the aim of responding to the health problems of the community.

Vision

To have a significant impact on people's health and quality of life, producing and transferring excellence in knowledge permitting the institute to become a point of reference in biomedical research.

Values

The commitment and determination of the organisational culture of the institute are defined in the following set of values:

- Proximity to the territory and the different levels of care

- Orientation towards citizens' health

- Excellence and talent

- Scientific awareness and dissemination

- Transversal and multidisciplinary approach

- Knowledge valorisation

- Integrity and ethics

Strategic priorities

In agreement with the formulation of the mission and the vision of the IDIBGI, the strategic priorities for the period from 2013-2017 are as follows:

- Scientific excellence

- Internationalisation (within the European Union)

- R+D+I organisation

- Resources: talent and spaces

- Specialisation

IDIBGI Executive Committee gives to the IDIBGI Director and Manager the mandate to accomplish the acknowledgment on Human Resources Strategy for Researchers by the European Commission by the end of 2014.

2. <u>PROCESS CALENDAR</u>

IDIBGI management has decided to involve a group of IDIBGI employees, representative of all the professional categories and research areas, in all this process. The HRS4R Internal Committee was called together for the first meeting in February 2014 and its members are:

Person profile	Area	M/F
Principal Investigator	Metabolism and Inflammation Area	M
Post-doctoral Investigator	Neuroscience Area	F
Post-doctoral Investigator	Metabolism and Inflammation Area	M
Pre-doctoral Investigator	Cardiovascular Area	F
Pre-doctoral Investigator	Oncology and Hematology Area	F
Clinical Trials Coordinator	Research support structure	F
Biostatistics Specialists	Research support structure	F
Physiotherapist	Metabolism and Inflammation Area	M
Nurse	Neuroscience Area	M
Valorization and Transfer Support	Research support structure	M
General Manager	Management	F

The following table defines the timeline of IDIBGI implementation process:

When	What
January 2014	**IDIBGI HRS4R Internal Committee (IC) selection**
March 2014	**First meeting of the HRS4R IC to evaluate existing legislation and IDIBGI practices**
May 2014	**Second meeting of the HRS4R IC, principles selection for the survey, general criteria for the survey definition and creation of a sub-committee to prepare the survey**
July 2014	**Survey preparation & pilot survey to a sample of employees to improve the efficiency of the main survey and to detect in it possible mistakes or misunderstandings**
September 2014	**Definition of the survey communication to be made to IDIBGI employees and associates, and the way the survey will be conducted**
November 2014	**Survey results analysis and Action Plan definition**

Meeting minutes have been done to record the decisions taken in the meetings (see Annex 1).

To start with, the HRS4R Internal Committee evaluated the relevant legislation and existing institutional rules or practices. During the first meeting in January 2014 the information was given to all members, so as to prepare them for the next meeting, when the committee evaluated existing legislation and rules.

Afterwards, in a second meeting held on 29th May 2014, the selection of the principles to be included in the survey was discussed, focusing on those in which IDIBGI is able to develop good practices. IDIBGI wants to ensure that these practices have an impact on the human resources strategy. Areas in which no relevant actions can be taken at present, due to already applicable legislation, current practices, or for dimensional limitations, were not taken into account.

Internal communication during the process:

IDIBGI management has communicated the HR strategy for researchers development process on the following occasions (see original documents in Annex 2):

When	To whom
July 11th, 2014	IDIBGI annual retreat
September 22nd, 2014	IDIBGI internal communication via e-mail
October 22nd , 2014	IDIBGI 1st Newsletter

3. <u>GAP ANALYSIS</u>

A. EXISTING LEGISLATION AND IDIBGI PRACTICES

The main legislation affecting the C&C principles, and in particular the Sciences sector is:

a) Spanish Constitution: Articles 44.2, 20.1 and 20.4.

b) Spanish Law on the Workers Statute (RD 1/1995).

c) Spanish Law on Biomedical Research (14/2007).

d) Spanish Law on Science, Technology and Innovation (14/2011).

e) Catalan Law of fiscal and financial measures that determines the Catalan Research Centers (CERCA) legal framework (7/2011).

This existing legislation is the basic framework for IDIBGI activities related to the C&C principles, especially those concerning ethical and professional aspects and working conditions and social security. This legislation will allow the implementation of the C&C principles.

Existing legislation applicable and IDIBGI Practices are detailed in Table I below, according to the C&C principles which are being affected by their implementation.

Table I – Existing Legislation and IDIBGI practices

Ethical and professional aspects	Principles
Intellectual Property Law (1/1996) IDIBGI Intellectual Property & Spin-off creation rules	1, 3, 5, 8, 31
Helsinki Declaration of Principles of Medical Investigation on Humans (2008) The Belmont Report Oviedo Agreement (1997) UNESCO Universal Bioethical and Human Rights Declaration European Medicine Agency Note for Guidance on Good Clinical Practice	1, 2, 6

(CPMP/ICH/135/95)	
IDIBGI Strategic Plan Internal Scientific Committee (CCI) Scientific Advisory Board (SAB): internal groups evaluation CERCA institution evaluation	4, 11
Grants Law (38/2003) Public Contracting Law (3/2011) IDIBGI Internal Contracting Instructions IDIBGI Supplies procedures IDIBGI annual audit.	6
Labor Risks Law (31/1995) IDIBGI Labor Risks documentation and plan.	7, 23, 24
Personal Data Protection Law (15/1999) IDIBGI Personal Data Protection Law Seminar & documentation	7
Gender equality Law (3/2007) IDIBGI harassment prevention protocol	10
Recruitment	**Principles**
IDIBGI practices on recruitment tend to comply with the "Charter for Researchers and Code of Conduct for the Recruitment of Researchers" (C&C)	12, 13 , 16, 17, 18, 20
Gender equality Law (3/2007)	12, 14, 21
Working conditions and social security	**Principles**
IDIBGI annual retreat	23
The institution is investing in new lab and administrative & research support facilities during 2014-15 to have all the workers and research staff in one building adapted to their needs. This investment is going to be co-financed with FEDER funds.	23, 24
IDIBGI Research Support and HHRR areas work together to find funding to cover researchers' salaries and to give the contract conditions and social security provisions according to the law.	26
Gender equality Law (3/2007) Women at IDIBGI represent the 69,86 % of total workforce and a 30% of responsibility positions are occupied by women.	27, 28, 30
IDIBGI Valorization & Transfer and Research Support areas work together to develop career advice to researchers.	30
IDIBGI Valorization & Transfer area organizes seminars and gives personal assessment on Intellectual Property Rights protection, exploitation of results and spin-off creation.	31
IDIBGI signature rules.	32
Training	**Principles**
IDIBGI offers English courses and Seminars to employees.	39

B. SURVEY PROCESS

A survey was defined by the Internal Committee based on a selection of the C&C 40 principles (see Annex 3). The questions employees answered for each principle included are:

- How much do you consider IDIBGI practices agree with this principle (from 0 to 5, where 0 is completely disagree and 5 is completely agree).

- Importance given to the principle (from 0 to 5, where 0 is no importance and 5 is high importance).

IDIBGI has 83 employees and 22 associated researchers. Most of the principal investigators of the institution are associated researchers, employed by the associated institutions. There are two principal investigators directly employed by IDIBGI.

The survey was anonymous and addressed to all the employees and associated researchers. It was answered by 55 employees (66,27 %) and 18 associated researchers (81,82 %):

	IDIBGI employees	IDIBGI associated researchers	TOTAL
Women	37	6	**43**
Men	18	12	**30**
TOTAL	**55**	**18**	**73**

According to the people's criteria when answering the survey, the job position and contract type distribution is:

	IDIBGI temporary staff	IDIBGI permanent staff	IDIBGI associated researchers	TOTAL
Principal investigators	1	0	15	**16**
Post-doctoral investigators	9	0	2	**11**
Pre-doctoral investigators	11	1	0	**12**
Technicians	12	12	1	**25**
Support Structure	0	7	0	**7**
TOTAL	**33**	**20**	**18**	**71***

* One person did not answer the "professional group" category, and another one did not answer the "contract type" category, that explains the difference between this table and the real number of persons answering the survey (73).

C. SURVEY RESULTS

The principles included in the survey and the results obtained are shown in the following table.

The Priority Index is the ratio between the "Importance average" and the "Agreement average". Those principles with a priority index equal or higher than 1,25 (median priority index) are highlighted.

PRINCIPLE	Agreement	Importance	Priority Index
I. Ethical and professional aspects			
1 Research freedom	4,35	4,65	1,07
2 Ethical principles	4,47	4,69	1,05
6 Accountability	3,99	4,56	1,15
8 Dissemination, exploitation of results	3,8	4,29	1,13
10 Non discrimination	4,63	4,82	1,04
11 Evaluation / appraisal systems	3,67	4,3	1,17
II. Recruitment			
12 Recruitment	3,29	4,21	1,28
13 Recruitment (Code)	3,38	4,35	1,29
14 Selection (Code)	3,31	4,3	1,30
15 Transparency (Code)	3,31	4,33	1,31
16 Judging merit (Code)	3,29	4,34	1,32
17 Variations in the chronological order of CVs (Code)	3,52	4,33	1,23
18 Recognition of mobility experience (Code)	2,82	4,33	1,54
III. Working conditions and social security			
23 Research environment	3,43	4,5	1,31
24 Working conditions	4	4,67	1,17
25 Stability and permanence of employment	3,2	4,58	1,43
27 Gender balance	4,39	4,62	1,05
28 Career development	2,89	4,37	1,51
29 Value of mobility	3,28	4,24	1,29
32 Co-authorship	3,45	4,25	1,23
34 Complains/appeals	3,56	4,46	1,25
IV. Training			
36 Relation with supervisors	3,85	4,51	1,17
38 Continuing Professional Development	3,75	4,68	1,25
39 Access to research training and continuous development	3,13	4,4	1,41

The above results are shown in the following graph, in which the dots' size is adjusted according to the priority index.
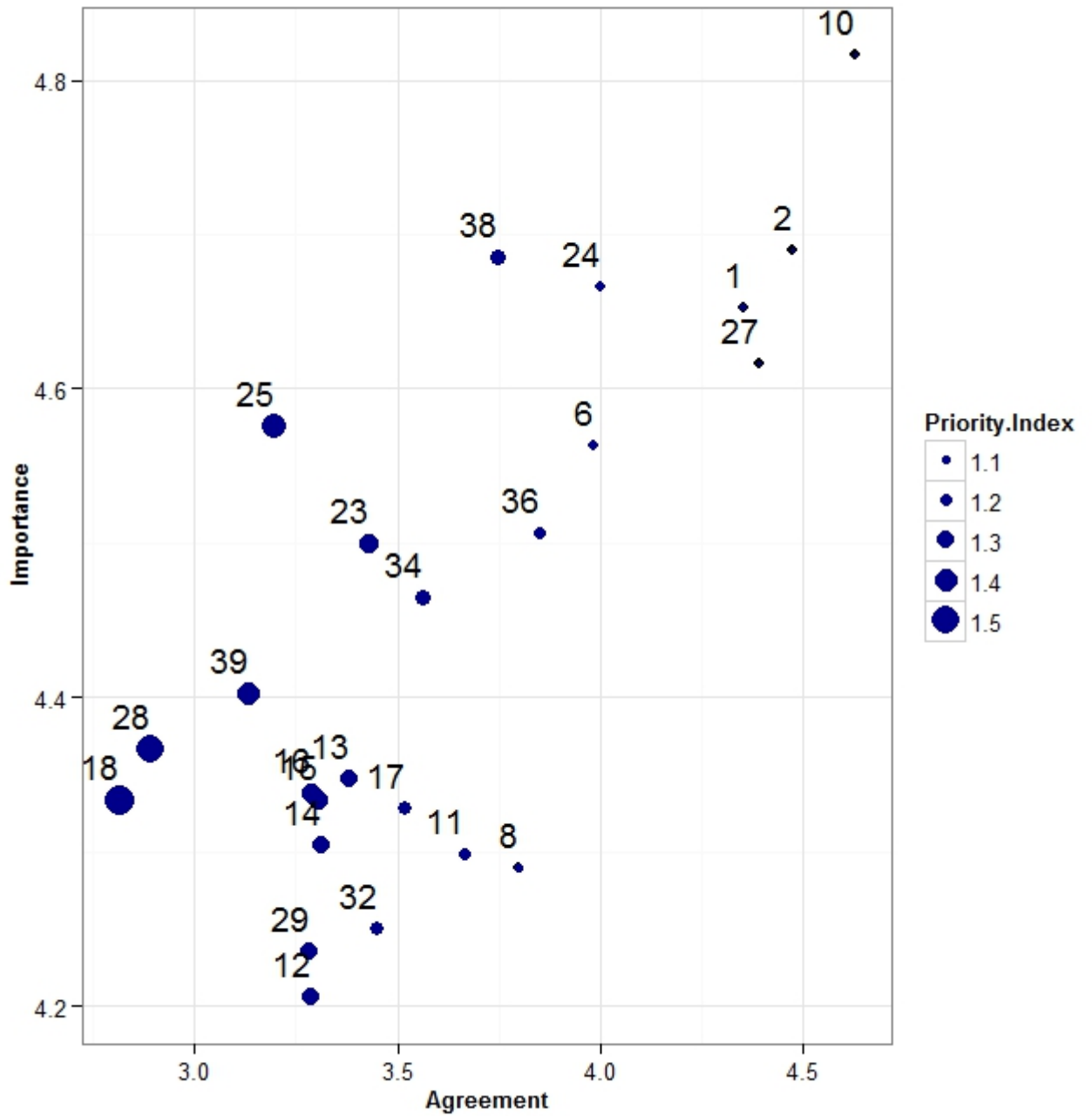
This analysis has also been done by professional groups with the following results:
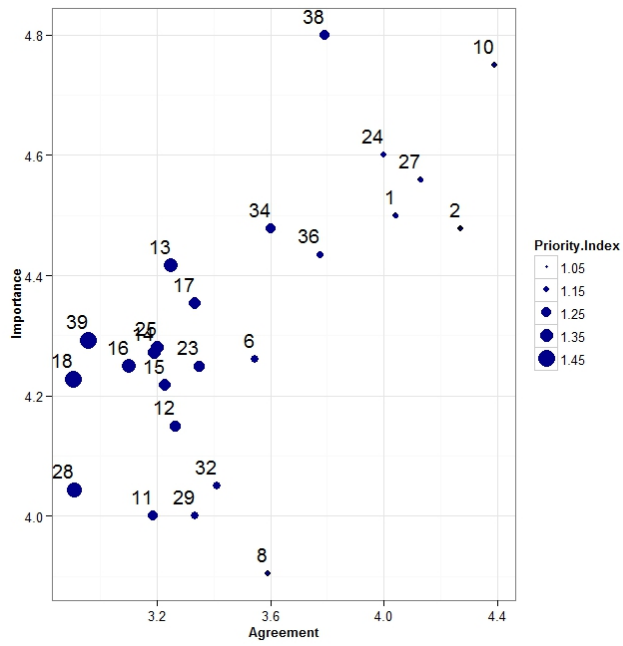
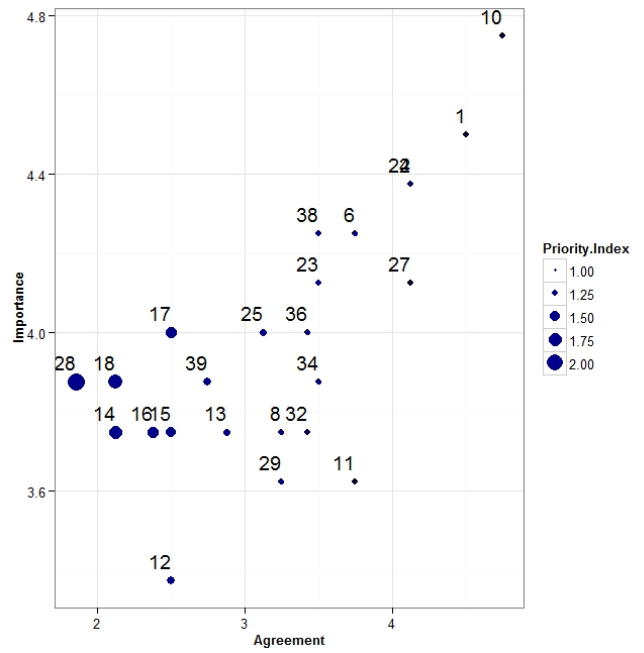| | Priority Index | | | |
PRINCIPLE	Principal Investigators	Post & Predoctoral investigators	Technicians	Administration
I. Ethical and professional aspects				
1 Research freedom	1.07	1.03	1.11	1.00
2 Ethical principles	1.05	1.05	1.05	1.06
6 Accountability	1.13	1.12	1.20	1.13
8 Dissemination, exploitation of results	1.17	1.12	1.09	1.15
10 Non discrimination	1.03	1.02	1.08	1.00
11 Evaluation / appraisal systems	1.15	1.19	1.25	0.97
II. Recruitment				
12 Recruitment	1.29	1.24	1.27	1.35
13 Recruitment (Code)	1.18	1.25	1.36	1.30
14 Selection (Code)	1.29	1.13	1.34	1.76
15 Transparency (Code)	1.19	1.29	1.31	1.50
16 Judging merit (Code)	1.30	1.20	1.37	1.58
17 Variations in the chronological order of CVs (Code)	1.18	1.10	1.31	1.60
18 Recognition of mobility experience (Code)	1.58	1.51	1.46	1.82
III. Working conditions and social security				
23 Research environment	1.40	1.35	1.27	1.18
24 Working conditions	1.17	1.20	1.15	1.06
25 Stability and permanence of employment	1.42	1.59	1.34	1.28
27 Gender balance	1.03	1.01	1.10	1.00
28 Career development	1.51	1.47	1.39	2.09
29 Value of mobility	1.47	1.32	1.20	1.12
32 Co-authorship	1.32	1.25	1.19	1.09
34 Complains/appeals	1.30	1.24	1.24	1.11
IV. Training				
36 Relation with supervisors	1.18	1.17	1.18	1.17
38 Continuing Professional Development	1.10	1.35	1.27	1.21
39 Access to research training and continuous development	1.30	1.39	1.45	1.41

Principal Investigators:

Post & Predoctoral investigators:
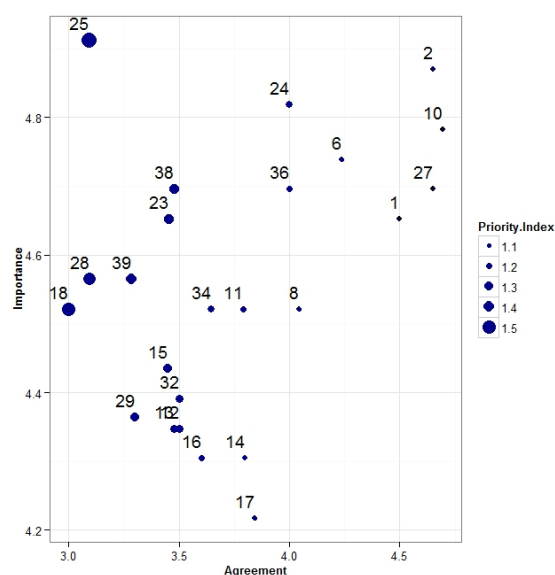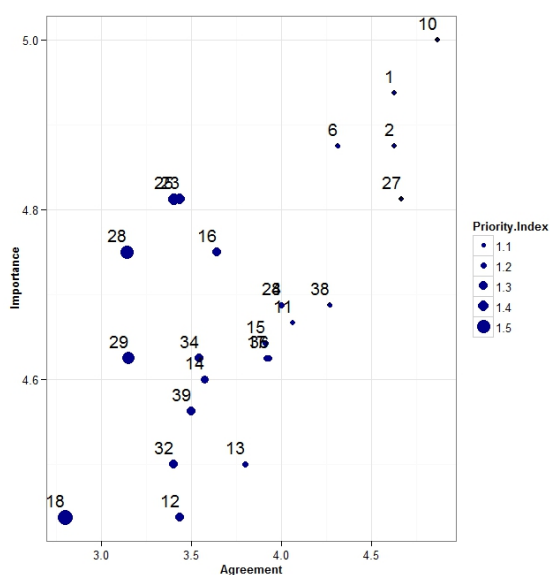
Technicians:

Administration:

D. CONCLUSIONS

As a general view, the institution is quite positively evaluated because the maximum priority index from the survey is 1.54. This means that there is not a big gap between IDIBGI current practice and people's opinions and expectations. Only when we look at the survey in more detail, we can see that in the administration group the maximum value obtained for a priority index is higher that the 2 threshold, on career development.

In general, the data indicate a positive correlation between the level of agreement on IDIBGI practices and the importance given to the principles, except for the postdoctoral and predoctoral group, which revealed a less clear relationship.

Globally the survey results show a higher priority index on the "recruitment" and "working conditions & social security" principles compared to the other two areas.

 "**Ethical & professional aspects**" principles are well evaluated, according to the priority index, which range between 1.04 and 1.17 on these principles. IDIBGI workers and associated researchers consider that IDIBGI is ethically committed and that there is no discrimination in the institution.

Most "**recruitment**" principles have a priority index over 1.25. This result is probably linked to the lack of a defined recruitment policy in the institution. Recruitment is at present done directly by the principal investigators, without a general policy definition of the different criteria and aspects to be taken into consideration and how the process has to be done.

Most "**Working conditions & social security**" principles rank over 1.23. It is important to point out that principles 23, 25, 28 & 29 are the ones with lower priority index in this area, so that professional development, stability, research environment and mobility are the main worries of IDIBGI employees and associated researchers.

On the "**Training**" area the most relevant results are on continuous professional development and access to research training and continuous development, generally, for all the professional groups.

4. ACTION PLAN

The Internal Committee has defined the following action plan in accordance with the results of the gap analysis. Afterwards, the Director and the CERCA institution reviewed it. Finally, the Board of Trustees approved it on December 11th, 2014.

These actions will allow IDIBGI to accomplish one of the main challenges included in IDIBGI Strategic Plan for 2013-2017, which is to promote measures to recruit and retain research talent, in alignment with the European Charter and Code principles.

Ethical and professional aspects principles are well evaluated in the survey. Although the priority index in this area is quite low, under 1.17, IDIBGI management consider relevant to develop written documents on ethical aspects, through the definition of the Code of Good Scientific Practice, and on non discrimination, through the Gender Equality Plan, in which IDIBGI is already working.

I. Ethical and Professional Aspects					
Action Nr.	**C&C**	**Action**	**Responsible**	**Timeframe**	**Indicator(s)**
1	1	Develop the IDIBGI *Code of Good Scientific Practice,* including the research freedom on research and its limitations.	Director & ISC	Q3 2015	Document & dissemination
2	2	Develop the IDIBGI *Code of Good Scientific Practice,* including the ethical principles appropriate for IDIBGI researchers.	Director & ISC	Q3 2015	Document & dissemination
3	10	Develop the IDIBGI *Gender Equality Plan*.	HR	Q1 2015	Document, dissemination & monitoring process

Recruitment is one of the two areas with higher priority indexes from the survey, meaning quite a big concern from IDIBGI employees and associated researchers. It requires a global action, which will be the development of a complete IDIBGI Recruitment Manual, divided in different parts, including the different principles guidelines.

II. Recruitment					
Action Nr.	**C&C**	**Action**	**Responsible**	**Timeframe**	**Indicator(s)**
4	12	Develop the IDIBGI *Recruitment Manual,* with the definition of the entry and admission standards.	ICHR + Director	Q2 2015	Document & dissemination
5	13	Develop the IDIBGI *Recruitment Manual*, with the creation of standardized models that facilitate the recruitment process (interview model, knowledge & competencies required…).	ICHR + Director	Q4 2015	Document & dissemination
6	13	Develop the IDIBGI *Recruitment Manual,* widening the description of work positions in the organization chart, defining the training and experience required, the competence and responsibilities, including working conditions.	ICHR + Director	Q4 2015	Document & dissemination
7	14	Develop the IDIBGI *Recruitment Manual,* with the definition of selection committees including diverse expertise and competence appropriate for	ICHR + Director	Q4 2015	Document & dissemination

		each position.			
8	14	Provide training on gender balance and HHRR management to principal investigators.	HR	Q4 2016	Nr. of persons trained & courses programs
9	15	Develop the IDIBGI *Recruitment Manual,* defining the process that the institution will follow to guarantee transparency.	ICHR + Director	Q4 2015	Document & dissemination
10	16	Develop the IDIBGI *Recruitment Manual,* defining the evaluation criteria to make sure the whole range of experience of the candidates is taken into consideration.	ICHR + Director	Q1 2016	Document & dissemination
11	17	Develop the IDIBGI *Recruitment Manual*, defining how variations in the chronological order of the CVs will be evaluated, but not penalized.	ICHR + Director	Q1 2016	Document & dissemination
12	18	Develop the IDIBGI *Recruitment Manual,* defining how mobility will be positively recognized on the evaluation.	ICHR + Director	Q1 2016	Document, dissemination and survey*

* A survey will be sent to employees when the IDIBGI Recruitment Manual will be finished to receive feedback on the document and evaluate the progress on this area.

Working conditions and social security is the other area with high priority indexes from the survey. Actions foreseen in this area are the following:

III. Working conditions and Social Security					
Action Nr.	**C&C**	**Action**	**Responsible**	**Timeframe**	**Indicator(s)**
13	**23**	Finish the new lab and office facilities in 2015 and move to the new building.	Director + Manager + Lab Manager Coordinator	Q4 2015	Move & satisfaction survey
14	**24**	Develop a policy defining the use of time in IDIBGI: to detect needs, define reconciling measures & requirements needed	HR	Q2 2016	Document, dissemination & data collection on measures' use.
15	**24**	Provide tools to increase time efficiency in the use of time	HR	Q4 2016	Nr. of persons trained & tools provided
16	**25**	Develop an internal study that analyses the stability of employment conditions for research employees in IDIBGI .	HR	Q4 2018	Document creation, data collection & results analysis
17	**25**	Define Career Plans in IDIBGI that promote the labor stability	HR + Director + ISC	Q2 2017	Document & monitoring
18	**25**	Develop an internal process to communicate internally the recruitment processes allowing employees to apply for the new positions offered	HR + ISC	Q4 2015	Document & dissemination
19	**27**	Develop the IDIBGI *Gender Equality Plan*.	HR	Q1 2015	Document, dissemination, monitoring process and systematic gender data collection

20	28	Define Career Plans in IDIBGI that support career development strategy for researchers at all stages of their career	HR + Director + ISC	Q2 2017	Document & monitoring
21	29	Define Career Plans in IDIBGI that promote mobility	HR + Director + ISC	Q2 2017	Document & monitoring
22	29	Promote internal communication about mobility offers & grants.	HR + PM	Q4 2015	Document, dissemination & nr. of communications
23	32*	Develop the IDIBGI *Code of Good Scientific Practice,* including co-authorship.	Director + ISC	Q4 2015	Document & dissemination
24	34	Develop the IDIBGI *Code of Good Scientific Practice,* including how to deal with complaints/appeals.	Director + ISC	Q4 2015	Document & dissemination

* Although the priority index in this principle is lower than 1,25, IDIBGI management consider relevant to develop written documents on co-authorship, through the definition of the Code of Good Scientific Practice.

Training area requires actions on continuous professional development and access to research training and continuous development:

IV. Training					
Action Nr.	C&C	Action	Responsible	Timeframe	Indicator(s)
25	38	Develop a survey to know training needs by professional groups	HR	Q2 2015	Survey & results evaluation
26	38	Define an internal process to compile and communicate information about training courses	HR	Q4 2015	Document & nr. of communications

27	39	Create an internal commission with principal investigators and workers to evaluate career plans and training.	Director	Q3 2017	Commission creation & meeting minutes

ISC: Internal Scientific Committee   PM: Project Manager
HR: Human Resources Department   ICHR: Internal Committee HRSR

An Internal Committee will be created with a selection of personnel from different research areas and professional categories. It will monitor the process and follow up the progress of the Action Plan. It will also be in charge of the Self-Assessment every two years.

The Internal Committee will prepare a yearly summary of the action plan progress, which will be supervised by the IDIBGI Executive Committee, in name of the IDIBGI Board of Trustees.

5. ANNEXES

- ➢ **Annex 1**: Internal Commission meeting minutes

- ➢ **Annex 2**: Internal Communication

- ➢ **Annex 3**: Survey

- ➢ **Annex 4**: Link to IDIBGI web page with HR Excellence in Research document containing Action Plan.