

HUMAN RESOURCES STRATEGY FOR
RESEARCHERS (HRS4R)
SELF-ASSESSMENT REPORT
ISCIII



ISCIII Working Group for HRS4R

INSTITUTO DE SALUD CARLOS III

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This report contains the self-evaluation of the Human Resources Strategy for Researchers (HRS4R) by the Instituto de Salud Carlos III (ISCI3). The HRS4R intends to advance in the implementation of the principles of the Charter for Researchers and a Code of Conduct for the Recruitment of Researchers (Charter and Code) by the research institutions.

This report summarizes the follow up of the Action Plan that has been monitored via periodic meetings of the Working Group, according to the Action Plan approved by the EC during the Autumn 2012. The follow up has been carried out by the Human Resources Department within ISCI3 General Secretariat.

The ISCI3 EURAXESS/HRS4R Working Group is composed by

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- Beatriz Poza. - General Secretariat: Human Resources
- Carlos Segovia. - Sub-Directorate of International Research Programmes and Institutional Relations (SGPIIRI) until his transfer to different Sub-Directorate
- Teresa Corral. - Sub-Directorate of International Research Programmes Relations (SGPIIRI)
- Aurora Echeita. - Sub-Directorate General for Applied Services, Training and Research (SGSAFI)
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- Álvaro Roldán. - Sub-Directorate of Research Assessment and Promotion (SGEFI).

The presentation of this report was expected two years after the launching of the Action Plan in ISCI3 (by February 2015). Due to different changes in the teams involved in this strategy, the final elaboration has been delayed.

The objectives proposed in the Action Plan have been largely covered. Advances in the implementation of some principles have been remarkable. For example, regarding Principle 9, related to Public engagement, a Unit of Scientific Culture has been created at ISCI3. This Unit has carried out multiple activities during the last months, particularly activities related to awareness and promotion of the science vocations among the youngsters.

Regarding Principle 14, related to balance in the committees in charge of the Selection of Researchers, advances have been made in relation to gender balance in the committees (also related to Principle 27).

At the same time, ISCI3 is participating in EURAXESS portal very actively. ISCI3 belongs to the EURAXESS Services Network as a Contact Point of the Network and participates in the national coordination meetings regularly. Similarly, all vacant research positions at ISCI3 are published in the EU portal of EURAXESS Jobs since 2013.

Finished and planned future actions regarding the Charter and Code are detailed below.

PROPOSED ACTIONS TO ADAPT ISCIII TO THE EUROPEAN CHARTER OF RESEARCHER AND CODE OF CONDUCT (C&C)

Principle (C&C)	Type of action	Responsible Unit	Planned date of completion	Status July 2015	Finished Activities	New Planned Activities
<p>5. Contractual and legal obligations Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.</p>	Update of clauses of endorsement to the present regulation regarding training, work conditions and intellectual property, that link the recruited researchers	General Secretariat-Human Resources	Dec 2012	Completed Dec 2012	Adapted version of job contracts of ISCIII for permanent or temporal staff, according to the new law in force	
	Review and dissemination of ISCIII Code of Good Practices in Research when adherence to ISCIII (permanent of temporal Staff)	Research. (SGSAFI). Research Coordination	Dec 2012	Completed (1st trimester 2014)	Review and distribution of the ISCIII Code of Good Research Practices when researchers incorporate to ISCIII	
	Establishment of informative sessions	EURAXESS Committee	Nov. 2012	Finished actions (Dec. 2012), new action planned	<ul style="list-style-type: none"> • Celebration of HRS4R Info-days for ISCIII researchers, 3 and 5 December 2012 • Meeting to inform the new Deputy Director for Research (Sept 2015) 	<ul style="list-style-type: none"> • Infoday for ISCIII researchers (1st. Semester 2016)
<p>8. Dissemination, exploitation of results All researchers should ensure, in compliance with their contractual arrangements, that the results of their research</p>	Elaboration and dissemination of Confidentiality Code	International. (SGPIIRI)- Transfer Technology Office (TTO)-	Dec 2012	Finished actions (Dec 2012), new action planned	<ul style="list-style-type: none"> • ISCIII Job contracts include confidentiality and, intellectual property clauses, Dec 2012) 	<ul style="list-style-type: none"> • Code of Good Practice for the Management of Intellectual Property Rights and Knowledge Transfer (according to the 2015 Action Plan

<p>are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialized. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</p>					<ul style="list-style-type: none"> • ISCIII Manual of Procedures: Proceedings for Agreements and Legal business Templates for Confidentiality agreements (entered in force 15 Sept 2014) • Manual of procedures for the proposals to create new technology-based companies at ISCIII (13 May 2014) 	<p>SGPIIRI), expected 1st trimester 2016</p> <ul style="list-style-type: none"> • Law 24/2015 on Patents. Art. 21.4 (entry in force in April 2017) • Royal Decree (under review): Benefits of exploitation for researchers (professional secret)
	<p>Elaboration of Surveillance Strategy /Results Transfer/ Coordination among centers and TTO regarding ISCIII technological offer</p>	<p>SGRIIPI-TTO/ SGSAFI</p>	<p>Dec 2012</p>	<p>Finished actions (Nov. 2013), new action planned</p>	<p>Strategy of Communication between TTO and ISCIII researchers, including periodic meetings (every week)</p>	<ul style="list-style-type: none"> • Good Practice Code for the Management of Intellectual Property Rights and Knowledge Transfer (according to the 2015 Action Plan SGPIIRI), expected 1st trimester 2016
<p>9. Public engagement Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.</p>	<p>Development of a Policy about Dissemination of Research Results to Public Society</p>	<p>Director Office- Unit of Scientific Culture and Innovation</p>	<p>2nd Trimester 2013</p>	<p>Finished action</p>	<p>Creation of the ISCIII Unit of Scientific Culture and Innovation (ISCIII Director Resolution for the creation of the Unit of Scientific Culture and Innovation)</p>	
	<p>ISCIII Participation in Popular science events, e.g. Science Week, Researcher Night.</p>	<p>Unit of Scientific Culture</p>	<p>2nd Trimester 2013</p>	<p>Finished actions (May. 2013-2015), new action planned</p>	<ul style="list-style-type: none"> • MOVILAB-ISCIII (in collaboration with FECYT Foundation), May 2013 • Maridaje-y-Ciencia-SCiencia 4-Nov.-2013, Madrid • Health Vegetable Garden, Spring 2014 • Cerveciencia, (Researchers` Night 2014, Madrid) 	<ul style="list-style-type: none"> • Health Vegetable Garden • Scientific Urban Summer Camps • Urban health workshops • Science Fair

					<ul style="list-style-type: none"> • Scientific Urban Summer Camps (in collaboration with National Museum of Science and Technology, MUNCYT and FECYT) Summer 2014 and 2015 • Scientific Weekend, organized by FECYT, in collaboration with MUNCYT), 18-19 October 2014 	
<p>14. Selection (Code)</p> <p>Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.</p> <p>Some actions are related to principle 27 (Gender balance)</p>	<p>SGEFI should include in calls the need to consider gender balance in selection committees, according to the Innovation National Plan</p>	<p>Research Evaluation and Promotion (SGEFI).</p>	<p>1st Trimester 2013 (according to new I+D State Plan)</p>	<p>Finished actions, new actions planned</p>	<ul style="list-style-type: none"> • Prevision of gender balance in the Selection Committees of the selective processes by ISCIII, as foreseen in the Spanish legislation • ISCIII Equality Plan 2014/2018. http://www.idi.mineco.gob.es/stfls/MICINN/Ministerio/FICHEROS/UMYC/Plan_igualdad_Instituto_Salud_Carlos_III_2014_2018.pdf • II Equality Plan between women and men in the Spanish General Administration (26 Nov. 2015) • Creation of an ISCIII Equality Committee 	<p>Training Course about Equality of opportunities among men and women (ISCIII training plan 2015)</p>

	Establishing minimum criteria for Selection committees to include external experts for relevant positions.	General Secretariat-Human Resources	1st Trimester 2013	actions planned	Internal instructions that ensure gender equality and consider the inclusion of a quote of 20% external experts in the evaluation committees for permanent positions at ISCIII	
<p>18. Recognition of mobility experience (Code)</p> <p>Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</p>	The inclusion of measures of positive discrimination of mobility private-public or among disciplines will be analyzed	General Secretariat-Human Resources/ SGEFI	1st Trimester 2013	Finished actions: Measures were analyzed by the evaluation committee at FIS/ SGEFI , It is not compatible with the generic legal bases in 2013		This issue will be discussed again for 2016 regulation
<p>21. Postdoctoral appointments (Code)</p> <p>Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development</p>	Adaptation of the HR calls to the Law of Science, Technology and Innovation 14/2011.	General Secretariat-Human Resources	2 nd Trimester 2013	Finished actions	Adaptation of the call bases for the civil servant, permanent or temporal staff 2014/2015, and approved by the General Directorate of the Public Function	

opportunities for a research career in the context of long-term career prospects.						
<p>24. Working conditions</p> <p>Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</p>	Analysis of the employees working hours and special daily shifts.	General Secretariat- Human Resources / SGSAFI- Research Coordination Area	Dec 2012	Finished actions	<ul style="list-style-type: none"> • Time Permits flexibility to balance work family life of ISCIII workers • Resolution from ISCIII Director on distribution of working hours and schedules. Yearly business calendar • Pilot experience of combined tele-working/ disability adaptation 	
<p>28. Career development</p> <p>Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating</p>	Nomination of a Mentor by Center/Area for early-stage researchers, and function definition, such as progress assessment professional development advice (according to the advisory committee that will be created in relation with principle 35	Director Office / SGSAFI- Research Coordination Area	2 nd Trimester 2013	In Progress	Two researchers have been proposed (one per campus)	Definition of mentor functions (see principle 35)

them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.						
30. Access to career advice Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.	Inclusion of a link to EURAXESS Website within the ISCIII intranet.	Informatics Depart.	Oct. 2012	Finished actions 2012	http://www.eng.isciii.es/ISCIII/es/contenidos/fd-investigacion/fd-planificacion-2/programa- euraxess.shtml	
	Mentor nomination (see principle 28)	Director Office /SGSAFI- ACI	2 nd Trimester 2013	In Progress	Two researchers have been proposed (one per campus)	Principle 28
31. Intellectual Property Rights Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.	IPR Training activities (See principle 8)	SGPIIRI- TTO	1 st Trimester 2013	Finished actions (2013, 2014), new action planned	<ul style="list-style-type: none"> Patent Info-day was planned for Autumn 2013 (canceled at the last minute due to scarce audience) ISCIII Training course on Technology Transfer, June 2014 	Update of the TTO webpage is planned
34. Complains/ appeals Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures,	Acting as mediators is one possible function of the mentors (see principle 28)	Director Office / SGSAFI- Research Coordination Area	2 nd Trimester 2013	Finished actions (2013, 2014), new action planned	Procedure for mediation in conflicts (Health Prevention Unit) May 2015	Mentor role in conflicts is to be discussed See principle 35

<p>possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.</p>						
<p>35. Participation in decision-making bodies Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>	<p>Regulation of the decision-making bodies: one of their functions will be the nomination of mentors for centers/areas of ISCIII Research Centers</p>	<p>Director Office / SGSAFI- Research Coordination Area</p>	<p>1st Trimester 2013</p>	<p>In Progress</p>		<ul style="list-style-type: none"> • Creation of a Research Committee on ISCIII, being among its functions the coordination of mentorship programme, according to the compromise of management quality. • Other function foreseen for the Research Committee is the creation of a wiki to foster the participation of ISCIII researchers
<p>36. Relation with supervisors Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their</p>	<p>Supervision management will be proposed as one of the functions for the mentors mentioned in principle 28</p>	<p>SGSAFI- Research Coordination Area</p>	<p>2nd Trimester 2013</p>	<p>Finished and Planned actions</p>	<p>Procedure Manual for training and professional stays at ISCIII (28/07/2015)</p>	<p>One of the functions of the Research Committee. (Principle 35)</p>

relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.						
<p>38. Continuing Professional Development</p> <p>Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.</p>	Increase the budget for Specific Training Support	General Secretariat	4 th Trimester 2012	It was not possible due to financial constraints (March 2013). Actions are foreseen in this area		<ul style="list-style-type: none"> • Increase the upper limit for financial support awarded (2015) • Improve the dissemination of the calls for specific training support
<p>39. Access to research training and continuous development</p> <p>Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.</p>	<p>ISCIII Training Plan Optimization:</p> <ul style="list-style-type: none"> • Identification of specific training needs • Establishing yearly study of participation 	General Secretariat- Human Resources / SGSAFI- Research Coordination Area	1st Trimester 2013	Finished actions (2013), new action planned	<p>Elaboration of Optimized Training Plans (2013):</p> <ul style="list-style-type: none"> • Assessment of participant's opinion • Financial viability study 	Assessment of Training Plan Optimization (1st Trimester 2016)