



**Institut  
d'Investigació Sanitària  
Illes Balears**

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*Human resources strategy  
for researchers*

*GAP ANALYSIS AND ACTION  
HUMAN RESOURCES STRATEGY  
FOR RESEARCHERS PLAN  
2016-2019*

**v.2**

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Review	Description of the change	Date
V.1	Initial approval	25.04.2016
V.2	Adaptation of documents by change of company name	18.12.2017

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## 1. ABBREVIATIONS USED

**FISIB:** Fundació d'Investigació Sanitària de les Illes Balears Ramon Llull - Foundation for Health Research of the Balearic Islands Ramon Llull

**HR:** Human Resources

**HRS4R:** Human Resources Strategy for Researchers

**HRS4R-WG:** Human Resources Strategy for Researchers Working Group

**IdISBa:** Institut d'Investigació Sanitària de Palma-Medical Research Institute of Palma

**ISC:** Internal Scientific Committee

**KTT:** Knowledge and Technology transfer

**T&C:** Training and Communication

**UIB:** Universitat de les Illes Balears-University of the Balearic Islands

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## 2. INTRODUCTION

### 2.1. *IdISBa AT A GLANCE*

The Balearic Islands Health Research Institute (IdISBa) was created on December 23, 2013, under the name of Palma Health Research Institute (IdISpa), through the signing of a collaboration agreement between the Health Research Foundation of the Islands Balears Ramon Llull (FISIB), the Ministry of Health of the Balearic Islands, the Health Service of the Balearic Islands -Hospital Universitario Son Espases and Management of Primary Care of Mallorca- and the University of the Balearic Islands. On February 17, 2017, the corporate name was changed, becoming known as the IdISBa Foundation (unifying the FISIB and the IdISBa into a single entity), and the Son Llätzer Hospital and the Balearic Islands Banc de Sang i Teixits Foundation were integrated as full entities.

The mission of IdISBa is to promote, develop, manage and disseminate excellent health research in the Balearic Islands. Our values are: 1) Excellence in research and management; 2) Cooperation and multidisciplinary; 3) Orientation to retention and attraction of scientific talent; 4) Focus on innovation and social return; 5) Knowledge transfer to the clinical practice; 6) Quality assessment and sostenibility; 7) Commitment with social, environmental and ethical responsibility.

The IdISBa strategic goals are:

- I. To integrate health research in the Balearic Islands.
- II. To attract and retain scientific talent.
- III. To contribute to the improvement of the population health status and economic progress.
- IV. To disseminate knowledge to society and nurture science vocations.

Research at the IdISBa is organized in seven scientific areas, which include 46 research groups hosting more than 550 researchers:

- Bioengineering and Experimental Surgery
- Clinical Epidemiology and Public Health
- Infectious and Immunological Diseases

- Metabolic Diseases and Nutrition
- Respiratory and Cardiovascular Diseases
- Neurosciences
- Oncohematology

IdISBa researchers are hired by the IdISBa, the UIB, the Health Service of the Balearic Islands or the Government of the Balearic Islands. Those researchers not directly hired by the IdISBa, become IdISBa researchers through an affiliation procedure that implies the acquisition of equal rights and obligations regarding their IdISBa affiliation.

## 2.2. *THE HUMAN RESOURCES STRATEGY FOR RESEARCHERS (HRS4R)*

The European Commission has adopted a European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers (“Charter & Code”), with the objective of making research an attractive career in the European Research Area (ERA) as a key factor in strengthening economic growth. Together, these two documents establish a set of 40 general principles and requirements defining the rights and duties of researchers and their employers.

In particular, the European Charter for Researchers addresses the roles, responsibilities and entitlements of researchers and their employers or funding organizations. It aims at ensuring that the relationship between these parties contributes to successful performance in the generation, transfer and sharing of knowledge, and to the career development of researchers. The Code of Conduct for the Recruitment of Researchers aims to improve recruitment and to make selection procedures fairer and more transparent.

IdISBa is committed to excellence in research and the fostering of technology and knowledge transfer to the health services and industries, and believes that these objectives cannot be met without the nurturing and attraction of exceptional scientific talent. Accordingly, IdISBa endorsed the “Charter & Code” in August 2015, and in doing so committed itself to aligning its policies and practices with the recommendations laid out by the European Commission.

The Human Resources Strategy for Researchers (HRS4R) is the European Commission's established tool to support research institutions in the implementation of the "Charter & Code" principles, and it is based in 5 steps that the institution must follow:

Step 1: Internal analysis (Gap Analysis) regarding current compliance with the 40 Charter & Code principles, grouped in 4 areas ("Ethical and professional aspects", "Recruitment", "Working conditions and social security" and "Training").

Step 2: Publication and dissemination of the institution "Human Resources Strategy for Researchers" on its website, presenting the resulting Action Plan.

Step 3: Acknowledgement of the European Commission that the research institution has adopted a Human Resources Strategy for Researchers ("HR Excellence in Research" award).

Step 4: Implementation of the HR strategy and regular self-assessment (at least every two years).

Step 5: External evaluation, at least every four years after the HR award.

The award "HR Excellence in Research" publicly recognizes the institutions committed in developing an HRS4R, aligning their HR policies with the principles of the "Charter & Code" with the objective of providing a stimulating and favorable working environment for researchers and research-related personnel that allows their professional growth and development.

### **3. METHODOLOGY**

The approach used to do the Gap Analysis and defining an HRS4R Action Plan included the following steps:

- Open presentation of the HRS4R definition project to the IdISBa community
- Documentation evaluation and preliminary analysis.
- Designation of an HRS4R working group (HRS4R-WG).
- Open online survey, to assess current compliance and priority of the 40 Charter & code principles.

- Periodic meetings of the HRS4R-WG.
- Sectoral meeting with researchers in tenure-track stage.
- Coordination meetings with the Health Service HR and Medical Direction and with the University management delegates.
- Data analysis, discussion and detection of target improvement areas (Gap Analysis).
- Documentation and draft write-up.
- Presentation of the Action Plan to IdISBa internal and external scientific advisory boards.
- Presentation of the Action Plan to IdISBa Board of Trustees for approval.
- Public presentation and dissemination of the Action Plan.

### 3.1. GAP ANALYSIS AND ACTION PLAN DEFINITION TIMELINE

	Aug- 15	Sep- 15	Oct- 15	Nov- 15	Dec- 15	Jan- 16	Feb- 16	Mar- 16
Open presentation of the HRS4R project to the IdISBa community								
Documentation evaluation and preliminary analysis								
Designation of an HRS4R WG								
Open online survey								
HRS4R WG meetings								
Sectoral meeting with researchers in tenure-track stage								
Coordination meetings with UIB and Health Service								
Data analysis, discussion and detection of target improvement areas								
Documentation and draft write-up								
Presentation of the Action Plan to								



IdISBa internal and external scientific advisory boards								
Presentation of the Action Plan to IdISBa Board of Trustees for approval.								
Public presentation and dissemination of the Action Plan.								

The HRS4R initiative was publicly presented to the Institute's staff during one of the bi-weekly scientific meetings. The presentation included an overview of the process involved in the definition of the strategy and its relevance for IdISBa and its staff was discussed, and everybody was encouraged to participate.

An HRS4R **working group** (HRS4R-WG) was established to develop the HR IdISBa Action Plan (2016-2019) with the aim of being inclusive and open. Representatives from all the professional categories and career levels were invited to participate in the group in a voluntary basis, including personnel from bodies involved in personnel development (work's committee representative, HR office personnel). HRS4R-WG conformation is listed below:

Coordination: Nuria Cases (Training officer) and Miquel Fiol (Scientific Director)

- Antonio Oliver (Group leader, not hired by IdISBa)
- Dora Romaguera (Group leader, hired by IdISBa)
- Carlos Río (Principal investigator)
- David Moranta (Postdoctoral researcher)
- Gabriel Cabot (Predoctoral researcher)
- Marcelo Pérez (Laboratory technician)
- Meritxell López (Core services technician)
- Joan Mas (HR officer)
- Àngel Rios (Work's committee representative)
- Salvador Marcus (Administration Unit representative)

- Pilar Roca (University of Balearic Islands representative)
- Magdalena Esteva (Primary Care of Mallorca representative)
- Borja Cosío (Son Espases University Hospital representative)
- Esther Cardo (Son Llàtzer Hospital representative)

The Training Office designed and undertook an open online survey aimed at the entire IdISBa community (researchers from all career stages and administrative and technical support personnel) with the purpose of identifying priorities in the area of HR and assessing the perceived compliance with the principles of the Charter & Code by the staff. The survey included 33 questions and statements and an open text section to allow for ad libitum expression of concerns. The link to the survey was sent via general mailing to the whole IdISBa community, together with a document including information regarding the HSR4R initiative and the Charter & Code documents; a week later, a reminder was sent.

The HRS4R-WG held three meetings between the months of October and December, in which the roadmap was defined, gaps were identified and prioritized, and actions to fill these gaps were proposed and discussed. The HRS4R-WG also contributed proposals and established discussions over e-mail. The initial gap analysis was conducted by establishing the current legal and regulatory IdISBa framework and identified legal limitations relating to the 40 Charter & Code principles, using the template provided by the European Commission. Next, current IdISBa policies and procedures were assessed and their scope checked against the Charter and Code. Those principles highlighted from the results of the open survey were discussed in-depth by the HRS4R-WG.

Given that one of the main priorities identified was the definition of a research career in the IdISBa, a sectoral meeting was organized with those researchers in a tenure-track stage, in order to better collect their specific views on the subject. Also, coordination meetings were held with the organizations hiring IdISBa researchers, i.e. the University and the Health Service.

An Action Plan draft including the results and proposals originated in the HRS4R-WG meetings was elaborated and distributed to the HSR4R-WG for review, discussion and final approval. The approved document was then submitted to the external and internal scientific advisory groups for further discussion and approval. Lastly, the Action Plan was

presented in the Board of Trustees meeting for final approval and incorporation to the IdISBa strategy. The Action Plan was presented and approved by the Board of Trustees on April 25<sup>th</sup>, 2016.

The discussion of the HRS4R was carried out in parallel to the definition of the IdISBa 2016-2019 Strategic Plan, with the participation of a specific working group where researchers from all career stages were also included, and with the coordination of the project managers of IdISBa in both cases, thus ensuring that the HRS4R Action Plan is fully integrated and coordinated with the strategic objectives of the institution.

#### **4. OUTCOMES OF THE GAP ANALYSIS**

The main areas for critical improvement detected by the HRS4R-WG through the Gap Analysis were the following:

- Research career definition
- Training program
- Mobility
- Recruitment procedures
- Health & Safety procedures

In a second place, the aspects where it was considered that opportunities for improvement existed were:

- Complains and appeals system
- Representation and participation of researchers in IdISBa governing bodies
- Intellectual property-related issues
- Professional recognition

Other concerns voiced through the different participation mechanisms in place (*ad libitum* comments on the online survey, opinions expressed during the various meetings) included the representativeness of predoctoral researchers, the salary scale, the balancing of clinical, teaching and research duties and the absence of an evaluation procedure.

#### 4.1. ONLINE SURVEY OUTCOMES

##### 1. General characteristics of respondents:

<b>Total number of responses</b>	<b>79</b>
Affiliated personnel	<b>49</b>
IdISBa-hired personnel	<b>30 (41.1%)</b>
<b>Mean age</b>	<b>42.8</b>
Affiliated personnel	<b>46.2</b>
IdISBa-hired personnel	<b>37.1</b>
<b>% female</b>	<b>48.1</b>
Affiliated personnel	<b>46.9</b>
IdISBa-hired personnel	<b>50.0</b>
<b>Number of responses according to professional category</b>	
Principal Investigator	<b>35</b>
Administration staff	<b>8</b>
Technicians and support staff	<b>18</b>
Postdoctoral researchers	<b>9</b>
Predocctoral researchers	<b>9</b>

##### 2. Top priority improvement areas (score below 5 out of 10):

<b>C&amp;C principle</b>	<b>Average score</b>
Access to research training and continuous development	3,6
Value of mobility	4,1
Recruitment	4,4
Research environment (Health and Safety)	4,8
Funding and salaries	4,9

3. Improvement areas (score between 5 and 7 out of 10):

C&C principle	Average score
Complaints/appeals	5,1
Participation in decision-making bodies	5,2
Contractual and legal obligations (*)	5,3
Working conditions (Access to sabbatical leave)	5,8
Recognition of the profession	6,0
Working conditions (Tele-working)	6,2
Working conditions (Part-time working)	6,2
Intellectual Property Rights	6,2
Research environment	6,9

(\*) Understanding of intellectual property rights regulations by staff

4. Maintenance areas (score between 7 and 10 out of 10):

C&C principle	Average score
Non-discrimination (political opinion)	7,2
Contractual and legal obligations (**)	7,3
Recognition of the profession (***)	7,4
Research environment (Infrastructures)	7,5
Working conditions (flexible working hours)	8,1
Non-discrimination (gender)	8,6

Non-discrimination (age)	8,8
Non-discrimination (beliefs)	9,0
Non-discrimination (ethnic origin)	9,2
Non-discrimination (sexual orientation)	9,2

(\*\*) Familiarity with legal and ethical obligations by staff

(\*\*\*) Adequate professional category

5. Priority rating questions: staff was asked to rate on a scale from 1 to 10 how important they felt the following items to be.

C&C principle	Average score
Dissemination and exploitation of results	9,4
Access to research training (Training Plan)	9,2
Supervision	9,1
Access to research training (specialized training)	9,1
Access to research training (transversal key competences)	8,5
Evaluation /appraisal systems	8,3
Career advice	7,4

6. Issues raised through the open text field.

Lack of representativeness of predoctoral students  
Lack of definition of professional career

Lack of definition of salary scales  
Need for improvement in recruitment procedures transparency

The HRS4R-WG also detected other areas of improvement, based on the analysis of the current compliance with the C&C principles. These are summarized in the following table:

C&C principle(s)	Area of improvement
1,2,3,4,5,7,31,32,37	Lack of institutional Good Practice in Research guidelines
4	Lack of institutional Strategic Plan
6	Lack of institutional policy on travel and subsistence allowance
6	Lack of indicator collection system to allow for accountability
7	Lack of an institutional policy on Digital Technology Acceptable Use & Internet Safety
10,27	Lack of a Gender equality plan and Equality Commission
23	Lack of a satisfaction survey
24,26	Lack of collective labor agreement
36,40	Undefined regulatory framework for predoctoral researchers

## 5. ACTION PLAN

The HRS4R-WG discussed the results of the gap analysis and, based on the outcome, put forward an Action Plan proposal, consisting in 30 actions addressing the major weaknesses detected with the objective of improving the research experience in IdISBa and improving the compliance with the Charter and Code principles. The actions appoint a

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responsible actor for each one, together with a timeframe for implementation and indicators and deliverables associated.

The IdISBa HRS4R Action Plan is presented in the following tables, with the actions grouped in each of the four dimensions of the Charter & Code.



### 5.1. ETHICAL AND PROFESSIONAL ASPECTS

Action	C&C principle	Who?	When?	Indicator/Deliverable
1. Definition and dissemination of a IdISBa Guideline on Good Research Practice	1,2,3,4,5,7,31,32,37	Quality officer	Q2-2016/Q3-2016	Documentation and dissemination
2. Training for predoctoral researchers on ethical aspects of research	2	T&C officer	Q2-2016/Q4-2019	Number of seminars Number of attendants Seminar satisfaction questionnaire
3. Dissemination of IdISBa intellectual property policy	3,5,31,32	KTT officer	Q3-2016/Q4-2016	Documentation and dissemination
4. Training in intellectual property and innovation and knowledge transfer	3,5,8,31,32	KTT officer	Q3-2016/Q4-2019	Number of seminars Number of attendants Seminar satisfaction questionnaire
5. Definition and dissemination of a IdISBa Strategic Plan	4	Strategic Plan Working group	Q1-2016/Q3-2016	Documentation and dissemination

<b>6.SOPs for Project Management</b>	4,5	Quality officer	Q4-2016/Q1-2017	Documentation and dissemination
<b>7.Definition of IdISBa researchers affiliation procedure</b>	5	ISC	Q2-2016/Q3-2016	Documentation and dissemination Number of affiliated researchers
<b>8.Development of a robust indicator collection system</b>	6	Information technologies officer	Q1-2017/Q4-2017	Balance scorecard
<b>9.Policy on travel and subsistence allowance</b>	6	Project Management Office	Q2-2017/Q3-2017	Documentation and dissemination
<b>10.Policy on Digital Technology Acceptable Use &amp; Internet Safety</b>	7	Information technologies officer	Q2-2016/Q4-2016	Documentation and dissemination
<b>11.Review of Health and Safety procedures</b>	7,23	HR officer	Q2-2016/Q4-2016	Number of incidents per year
<b>12.Definition of an Innovation and knowledge transfer strategy</b>	8	KTT officer	Q2-2017/Q4-	Documentation and dissemination

			2017	Number of patents per year Number of CPGs per year
<b>13.Policy on Open Research</b>	8	ISC	Q1-2018/Q2-2018	% papers published in Open Access Number of papers in institutional repository Number of databases in institutional repository
<b>14.Dissemination and Outreach Plan</b>	9	T&C Officer	Q2-2017/Q3-2017	Documentation and dissemination Number of participations in dissemination activities Number of press releases
<b>15.Gender equality plan</b>	10,27	Equality Commission	Q1-2017/Q3-2017	Documentation and dissemination
<b>16.Establishment of Equality Commission</b>	10,27	Management	Q4-2016/Q1-2017	Documentation Number of meetings Meetings minutes

## 5.2. RECRUITMENT

Action	C&C principle	Who?	When?	Indicator/Deliverable
17.Implementation of an evaluation and appraisal system	11	Management	Q3-2016/Q2-2017	Documentation and dissemination
18.Definition of an Open, Transparent and Merit-based Recruitment (OTM-R) Policy	12,13,14,15,16,17,18,19,20,21	HR officer	Q3-2017/Q4-2017	Documentation and dissemination

## 5.3. WORKING CONDITIONS

Action	C&C principle	Who?	When?	Indicator/Deliverable
19.Definition of a Research Career Path	22,25,26,28,38	Management	Q3-2016/Q3-2017	Documentation and dissemination
20.Satisfaction survey	23	Quality officer	Q2-2016/Q2-2019	Survey results
21.Definition of a collective labor agreement	24,26	Management	Q1-2018/Q1-2019	Documentation and dissemination

<b>22.Creation of a Training Commission</b>	28	ISC	Q2- 2016/Q4- 2019	Number of meetings Meetings minutes
<b>23.Dissemination and implementation of the Training Plan</b>	28,38,39	T&C officer	Q2- 2016/Q4- 2019	Number of training activities Training plan budget Number of trainees
<b>24.Include link to Euraxess website on IdISBa home page</b>	29	Information technologies officer	Q1-2016	Website
<b>25.Internationalization Plan</b>	29	ICC	Q2- 2017/Q4- 2017	Number of mobility actions from IdISBa researchers Documentation and dissemination
<b>26.Career orientation seminars for researchers in training</b>	30	T&C officer	Q1- 2017/Q4- 2019	Number of seminars Number of attendants Seminar satisfaction questionnaire
<b>27.Establishment of an Ombudsman Scheme</b>	34	ISC	Q3- 2017/Q4- 2019	Number of managed complaints
<b>28.Include a representative for researchers in the Board of Trustees</b>	35	Management	Q3- 2016/Q4-	Board of Trustees composition

			2019	
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#### 5.4. TRAINING AND DEVELOPMENT

Action	C&C principle	Who?	When?	Indicator/Deliverable
29. Develop a policy for predoctoral researchers	36,40	T&C officer	Q4-2016/Q2-2017	Documentation and dissemination
30. Training in leadership and supervision	37	T&C officer	Q3-2017/Q4-2019	Number of seminars Number of attendants Seminar satisfaction questionnaire

## 6. IMPLEMENTATION AND FOLLOW-UP

Upon approval by the Board of Trustees, the Action Plan will begin implementation. The HRS4R-WG will be designated as the Monitoring Committee, and will carry out a follow-up of the implementation process reporting to the IdISBa Direction with a minimum periodicity of once a year. It will also have the faculty of proposing adjustments to the Action Plan when needed. Finally, the Monitoring Committee will also be responsible of the self-assessment two years after initiation of implementation. Changes in the composition of the Monitoring Committee might be introduced in the event of resignation, changes in the professional status leading to loss of representativeness or changes of the contractual or affiliation situation of any of the group members.

## 7. RELEVANT LINKS

Euraxess-Researchers in Motion

<http://ec.europa.eu/euraxess/>

The European Charter and Code for Researchers

<http://ec.europa.eu/euraxess/index.cfm/rights/>

Human Resources Strategy for Researchers

<http://ec.europa.eu/euraxess/index.cfm/rights/strategy4Researcher>

IdISBa

<http://www.IdISBa.es/>

IdISBa endorsement to the Charter and Code

[http://ec.europa.eu/euraxess/data/usgn\\_orgs/Charter%20and%20Code%20endorsement\\_IdISBa%20signed%20-%202.pdf](http://ec.europa.eu/euraxess/data/usgn_orgs/Charter%20and%20Code%20endorsement_IdISBa%20signed%20-%202.pdf)