



**Institut
d'Investigació Sanitària
Illes Balears**

*Human Resources Strategy
for Researchers*

AWARD RENEWAL

April 2022

Review	Description of the change	Date
V.1	Award Renewal	28.04.2022

1. Organisational Information

ORGANISATIONAL PROFILE

(a very brief description of your organisation, max. 100 words)

The Balearic Islands Health Research Institute (IdISBa) is a young organization created on December 23rd, 2013. IdISBa aims to improve the health of the population by promoting and managing not only knowledge production but also translational research by creating synergies between basic and clinical research groups. Research at the IdISBa is organized in seven scientific areas, which include 55 research groups hosting more than 800 researchers. About 89 of them are hired directly by IdISBa, while the remaining are ascribed researchers that belong to one of the partner entities included in the Institute through a collaboration agreement: Balearics Islands Health Service, University of the Balearics Islands, Balearics Islands Health Ministry and Blood and Tissue Bank.

2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

ETHICAL AND PROFESSIONAL ASPECTS

Strengths and Weaknesses - Interim Assessment, max 500 words

IdISBa is a very young institution, which just turned 5 years old in December 2018. Therefore, one of its main weaknesses was the almost complete absence of established procedures and of an institutional strategy. In addition, the IdISBa is configured as a foundation of the public sector, and according to the national and local regulations, it is required to comply with the general procedures that apply to every entity belonging to the public sector, without contemplating many exceptions to adapt these to the peculiarities of the research sector.

Regarding the section of "ethical and professional aspects" of the Charter&Code (C&C), the gap analysis did not detect the existence of high priority improvement areas, probably due to the

existence of extra-institutional mechanisms that ensured compliance with ethical principles and legal obligations. However, the lack of an institutional policy for promoting good practice in research was in itself a weakness, and therefore several actions were defined in order to improve compliance and to define the institutional strategy.

The implementation of the actions proposed in the initial Action Plan regarding this section has been quite adequate, with most actions having been executed during this first two years of implementation. Amongst the completed actions is worth highlighting the definition of the IdISBa Strategic Plan 2016-2020. This Plan establishes 5 strategic objectives for IdISBa, being one of them “Promoting the uptake of human resources in research, including its retention and professional development”; this objective integrates the HR strategy 4 researchers (HRS4R) amongst its actions, thus aligning it with the institutional strategy. Also, alliances have been established with the Research Ethics Committee of the Balearic Islands, leading to the implementation of an institutional guide on Good Practice in Research, and the establishment of different training initiatives on ethical aspects of research that have been very well received by the research community.

The remaining actions are either already initiated (such as the definition of an Innovation Strategy and a Dissemination and Outreach Plan) or are of a less strategic dimension and are expected to be executed during the next two years of the Action Plan (such as the definition of a policy on travel and subsistence allowance, which informally already is in place).

Strengths and Weaknesses (Award Renewal, max 500 words) *

The new Strategic Plan for the period 2021-2024 was developed in 2021. As a final step in the strategic process design, different action plans for the period 2021-2024 were drawn up linked to the objectives, axes and strategic lines, previously established, leading to the identification of the actions to be done as well as its responsible and its temporary distribution. This was the reason for a new 2021-2024 HR Plan.

The Strategic Plan defines 5 strategic objectives. Two of them, strategic objectives 2 and 4, involve the HR plan and are highlighted here below:

- To promote the excellence in research at IdISBa by supporting each of its research groups in accordance with their needs. This will be achieved by adding lines of research able to

counter the challenges and needs of the Health system and by promoting translational research in coordination with basic and clinical researchers from different research groups.

- To support innovation in culture and activities, as well as the transfer of technology in the IdISBa, by promoting the production of ideas and the correct management of innovation.

Relationships with the business networks and with other institutions will be strengthened.

The implementation of the actions proposed in this review of the Action Plan has been done.

It should be noted the implementation of the Good Practices in Research Guide and, besides, the organisation of the annual training together with the Ethics Committee of the Balearic Islands.

The plans that were pending to be drawn up are already approved and executed. Those are the Equality Plan, the 2021-2024 Innovation Plan and the 2021-2024 Communication Plan.

The remaining actions are of a less strategic dimension and are initiated and expected to be fully executed by the end of this year (such as SOPs for Project Management and the policy on travel and subsistence allowance, which informally already is in place).

RECRUITMENT AND SELECTION

Strengths and Weaknesses - Interim Assessment, max 500 words

The HRS4R GAP analysis identified the recruitment processes in IdISBa as a high priority area of improvement, especially regarding their transparency. In fact, IdISBa lacked a specific recruitment policy, adhering only to the Public Sector general regulations.

During these last two years, the institution has gone through the process of defining a Recruitment Policy through negotiation with its staff and governing bodies. The agreed policy covers the selection, evaluation, composition of committees, etc, and incorporates the principles relating to Open, Transparent and Merit-based Recruitment policy defined by the European Commission, and the recommendations set out in the San Francisco Declaration on Research Assessment (DORA).

The policy has been included in a “Decree for the Scientific Career for Health Researchers in the Balearic Islands”, given that it includes aspects that must overrule the existing legal dispositions.

This Decree (which can be downloaded here in its draft version: https://www.caib.es/sites/participacio/es/historico_participacion_2018/archivopub.do?ctrl=MCRST

[1285Z1257456&id=257456](#)) is at the moment under administrative processing, as it has to be approved by the Government of the Balearics Islands. The final approval is expected by April 2019.

Besides regulating the selection and recruitment procedures and ensuring that those comply with the OTMR principles, the Decree also establishes a research career structure that follows the recommendations of the European Commission and that allows for a predictable progression through stages of increasing responsibility and compensation according to merit and impact. Finally, it also establishes an evaluation and appraisal system for tenured researchers (R3 and R4 stages). Therefore, although none of the two actions initially proposed in this section of the Action Plan have yet been completed, it has to be clarified that it is due to the fact that the process for the approval of a Decree is cumbersome and long, and it clearly exceeds the scope of what had been originally planned, which only involved approval by the Governing Bodies of IdISBa.

It should also be noted that this will be the first regulation of this type with legal rank for a public research institute in Spain.

Besides, the interim assessment process has brought up some aspects that need to be improved regarding the recruitment and selection processes, and that especially affect the internationalisation of the institute. Up until now, and mainly because of the obligation to comply with the public sector procedures for recruitment, the job offers had to be advertised through very long texts that include very legal aspects of the recruitment process, and that pose difficulties for their dissemination and translation into English. Therefore, a new action has been included regarding the simplification of the job offers with the objective of making them clearer and more attractive and facilitating its diffusion, specially through international platforms such as Euraxess.

Finally, the approval of the Decree and implementation of the procedures that it defines will require that all the staff involved with recruitment and selection procedures get trained in OTMR policies, and thus an action for this objective has been included in the revised Action Plan.

Strengths and Weaknesses (Award Renewal, max 500 words) *

It has to be mentioned the approval of the Statute of Labour Research Personnel in the health research institutes of the Balearic Island within the Decree-Law 17/2019, of 15 March 2019, (available at: <https://www.caib.es/eboibfront/eli/es-ib/d/2019/03/15/17/dof/spa/pdf>). This statute aims at establishing the legal regimen of the research personnel working at Health Research

Institutes of the Balearic Islands integrated within the public sector of the Autonomous Community of the Balearic Islands. More precisely, it aims at setting up the research staff categories and their research career, the selection and contracting process, the evaluation system, as well as their rights and obligations, and the contract termination system.

This statute applies to the labour research personnel of the health research institutes of the Balearic Islands belonging to the public sector of the Autonomous Community of the Balearic Islands. The research personnel hired by the health research institutes of the Balearic Islands is governed by the Consolidated Text of the Workers' Statute Law, approved by Royal Legislative Decree 2/2015, of October 23 (available at : <https://www.boe.es/buscar/pdf/2015/BOE-A-2015-11430-consolidado.pdf>); the development regulations and the collective agreements that are applicable to them; Law 14/2011, of 1 June 2011 , on science, technology and innovation (available at : <https://www.boe.es/buscar/pdf/2011/BOE-A-2011-9617-consolidado.pdf>); Royal Legislative Decree 5/2015, of 30 October 2015 (<https://www.boe.es/buscar/pdf/2015/BOE-A-2015-11430-consolidado.pdf>), approving the Consolidated Text of the Basic Statute of Public Employees; Law 3/2007, of 27 March 2007, on the public function of the CAIB (available at: <https://www.boe.es/eli/es-ib/l/2007/03/27/3/dof/spa/pdf>), and by what is provided within it.

Once published, the next step is its execution. In addition, the approval of the 2021-2024-HR Plan has set as a goal for this year the definition the Open, Transparent and Merit-Based Recruitment Policy.

We are working on the simplification of job offers due to the legislative problems found out since we must to accomplish the policies of the General Directorate of Public Function of the Balearic Islands.

The job calls include legal aspects of the hiring process posing difficulties for their dissemination and translation into English. Therefore, this measure is still in progress to be implemented.

WORKING CONDITIONS

Strengths and Weaknesses - Interim Assessment, max 500 words

Regarding the issues related to the working conditions, the absence of a specific collective labour agreement that would consider the particularities of the research work was detected among other

weak areas. Not having this specific framework implies that the IdISBa personnel must abide by the rules of the common public servants working for the public sector in our region. Therefore, no consideration is taken to aspects such as mobility, participation in spin off enterprises, intellectual property rights, etc. It is for this reason that a specific collective labour agreement has been negotiated and agreed upon by both the management and the Work's committee, and is currently being processed, with its final approval scheduled by May 2019.

Also, as stated above, a Decree which includes the definition of a Research Career is going through the process of approval by the local government. Therefore, the two main action defined in the Action Plan regarding the working conditions are close to completion. Also, several other actions have been completed, such as the establishment of an annual satisfaction survey, or the creation of a Training Commission. On the other hand, three actions from this section have had to get extended (creation of an Ombudsman scheme, Internationalization Plan and Career Orientation seminars), although it is expected that its implementation will be feasible during the next two years of the Action Plan.

Finally, the interim assessment has detected the appearance of new needs that have to be addressed. This has to do with the fact that most of the major technical equipment was acquired at the same time and are therefore getting to the end of their service life in a synchronic fashion. As a result, a new action has been included regarding the renewal of equipment. Furthermore, the institution has gone through a significant expansion in these last years, with an 80% increase in the number of staffs in only 2 years. Consequently, another action has been included referring to the need of providing more space and facilities for research for IdISBa, and finally, an action has also been included targeted to defining a master plan that establishes the short, medium and long-term needs with regards to facilities and scientific equipment. Finally, it was suggested that a Welcome Manual could be a useful tool to ease the introduction of new researchers in the Institute, and has therefore been added as a new action in the revised action plan.

Strengths and Weaknesses (Award Renewal, max 500 words) *

The two main actions described in the Action Plan have been finished: the Collective Bargaining Agreement and the Research Career definition.

On 21 August of 2021 the Collective Labour Agreement was published at BOIB (Official Bulletin of the Balearic Islands) (available at: <https://www.caib.es/eboibfront/pdf/ca/2021/111/1095260>). The 26 August of 2021 was sent via e-mail by the Works Council to all IdISBa's employees and on 29 October 2021 and informative seminar took place to explain it to all IdISBa's employees.

As stated above, the Statute of labour research personnel within the health research institutes of the Balearic Islands was approved through the Decree 17/2019, 15 March 2019. This statute aims at establishing the legal regimen of the research personnel working at Health Research Institutes of the Balearic Islands integrated within the public sector of the Autonomous Community of the Balearic Islands. More precisely, it aims at setting up the research staff categories and their research career, the selection and contracting process, the evaluation system, as well as their rights and obligations, and the contract termination system.

Regarding the Infrastructure area, the mid-term evaluation detected new needs which had to be addressed. The renewal of the scientific equipment has to be carried out in a continuous mode by the institution in order to remove the damaged and/or obsolete equipment and to acquire the new one fulfilling the necessities of the research groups. In this way, during the period being analysed some competitive funds both national and international have been awarded. The use of these funds together with those of the institution have improved the technological endowment and contributed to technological renewal of the institution.

Besides, in June 2019 the Son Espases University Hospital ceded to IdISBa 251.58m² located in the module G, floor -1 at the Hospital. The provision of new space to IdISBa is assumed to be kept in the coming years taking into account its recent creation and its growth process.

Meanwhile, from the 3 extended actions described in the mid-term evaluation, lonely the Internationalisation Plan has been developed. The creation of the Establishment of an Ombudsman Scheme and the implementation of the Career Orientation Seminars for researchers in training has not yet been performed. These needs have been also shown up both in the review of the Action Plan and the in the survey distributed to the research staff and are expected to be started during this year.

Finally, and in order to ease the incorporation of new researchers to IdISBa, the Welcome Manual was approved in October 2019.

TRAINING AND DEVELOPMENT

Strengths and Weaknesses - Interim Assessment, max 500 words

At the time of the launch of the Action plan, the IdISBa training plan needed a major revision, as it did not establish the institution's strategic training priorities. Once the strategic plan and the HRS4R Action plan were approved, it was possible to identify which were the strategic formative areas and include them in a revised training plan, which was approved in July 2017. Among the priority areas detected are the training in leadership, in innovation and intellectual property management and in research ethics, as established in the Action Plan. This training has thus been included in the Training Plans for 2017 and 2018.

Steps have also been taken to strengthen the IdISBa training plan, incorporating more training activities and aligning these with those needs identified in the strategic documents of the institution and those detected by the professionals themselves and collected through survey. The improvement perceived by the workers of the Institute in reference to the training they receive and their working conditions in general has been reflected in the annual satisfaction surveys: thus, while in 2015 a 48% of the respondents of the survey considered that the training plan was adequate, this increased up to 84% in 2017 (results from the 2018 are still pending).

On the other hand, it has not yet been possible to address the planned action for the definition of a specific regulation for predoctoral investigators, given that it is first necessary to approve the aforementioned research career decree, in which the criteria for being considered a researcher in training are established, and then prepare a registry of the researchers that meet these criteria.

Strengths and Weaknesses (Award Renewal, max 500 words) *

As a result of the publication of the 2021-2024 Strategic Plan, the Formation Plan, in which is explained the Institute's Human Resources training strategy, was also updated. In addition, the emerging groups and researchers Plan was developed. This plan includes the mentoring plan for young and research staff as well as the training defined to provide the staff with the skills and knowledge in relation to research and innovation (leadership and team management; ethical

aspects of research and good practices; research methodology; innovation, intellectual property, knowledge transfer and entrepreneurship)

Thus, after the release of the career researcher decree (D 17/2019, 15 March of 2019), the development of the predoctoral researchers policy is still missing, which is scheduled to be performed next year.

There is a year-over-year decrease in the perception of improvement by the Institute's workers regarding the training they receive. Whilst the satisfaction regarding the received training was a 74% in 2018, in 2020 decreased to 51% (the evaluation of the results obtained in 2021 is in progress). As a result, The IdISBa's Training Plan have been updated incorporating the new strategic objectives and aligning it with the needs identified in the strategic documents of the institution and those detected by the professionals themselves and collected through the survey

Have any of the priorities for the short- and medium term changed?

(max 500 words)

The 2021-2024 Strategic Plan has been developed. As a final step in the strategic process design, Action Plans for the period 2021-2024 are drawn up linked to the objectives, axes and strategic lines previously established leading to the identification of the actions to be done as well as its responsible and its temporary distribution. That is why a new 2021-2024 HR plan has also been developed

The action plans are correlated; therefore a lot of actions are described in different plans, whilst other actions are synergic as a result of focusing on certain needs of the Institute from different perspectives. Concretely, a total of 10 Action Plans have been drawn up: Human Resources Plan, Training Plan, Shared Scientific Plan, Integration Plan, Emerging Groups Plan, Communication Plan, Quality Plan, Innovation Plan, Infrastructure Plan and Internationalisation Plan. Likewise, it should be noted that an additional plan is being prepared: the Fundraising Plan.

The actions that have been included in the revised Plan are the following

- To reinforce the PRISIB to offer researchers access to clinical data in accordance with ethical and legal regulations.
- To strengthen the methodological support unit with personnel providing advice to researchers on ethical evaluation of projects and its presentation to the Ethic Committee of the Balearic Islands (CEI).
- To establish activities favouring the woman leadership of clinical researchers.
- To establish a quality system that allows the traceability of research results (i.e. electronic notebook).
- To ensure the necessary financing to provide the necessary HR to emerging groups.
- To establish a telework policy.
- To train in Data Management Plans.
- To promote the mobility of research staff to facilitate their training in reference centres both at a national and international level.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?

(max 500 words)

In January 2019, IdISBa was recognised as "Accredited Health Research Institute", a status granted to those research institutions in the National Health Service that comply with certain requirements of quality in terms of management and scientific production. This recognition is awarded for a period of time of 5 years, after which the institution is re-assessed in order to renew the award.

On 21 August of 2021 the Collective Labour Agreement was published and it has immediately been implemented.

On 17 February 2022 a new Science law have passed in the Spanish Parliament modifying the previous one: Law 14/2011, 1 June of 2011, of Science, Technology and Innovation. During the present year this new law must be implemented and could affect the Insitute's HR strategy.

Are any strategic decisions under way that may influence the action plan?

(max 500 words)

There are not any strategic decisions under way that haven't been considered during the revision of the action plan.

1.1. ETHICAL AND PROFESSIONAL ASPECTS

Action	When?	Status Feb 2019	Remarks
1. Definition and dissemination of an IdISBa Guideline on Good Research Practice	Q1-2017/Q2-2017	COMPLETED Documentation and dissemination	The IdISBa Guidelines on Good Research Practice were approved in March 2017. The document is available in the IdISBa website. http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Gu%C3%ADa%20Buenas%20Pr%C3%A1cticas%20CI%C3%ADnicas%20IdISBa.pdf
2. Training for predoctoral researchers on ethical aspects of research	Q1-2017/Q3-2020	COMPLETED; CONTINUOUS ACTIVITY Number of training hours 2016: 0h; 2017: 14h; 2018: 6h; 2019: 6h; 2020: 3h y 20 min; 2021: 3h y 20 min.	Continuous activity. IdISBa, in collaboration with the Balearic Islands Ethics Committee, offer the introductory course in bioethics.
3. Dissemination of IdISBa intellectual property policy	Q2-2017/Q3-2017	COMPLETED Documentation and dissemination	The document is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Normativa%20Protecci%C3%B3n%20Resultados%20de%20Investigaci%C3%B3n%20IdISBa.pdf
4. Training in intellectual property and innovation and knowledge transfer	Q2-2017/Q3-2020	COMPLETED; CONTINUOUS ACTIVITY Number of training hours:	Continuous activity. Training in intellectual property and innovation and knowledge transfer is included in each yearly Training Plan.

		2016: 2h; 2017: 0h; 2018: 6h; 2019: 0h; 2020: 0h; 2021: 3h.	
5. Definition and dissemination of an IdISBa Strategic Plan	Q1-2021/Q4-2021	COMPLETED Documentation and dissemination	The new IdISBa Strategic Plan 2021-2024, is approved in November 2021, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Estrat%20A9gico%20IdISBa.pdf
6. SOPs for Project Management	Q1-2019/Q4-2022	ONGOING Documentation and dissemination	This action was planned for Q1-2019/Q4-2019. However, its implementation has been delayed due to unforeseen circumstances and has therefore been rescheduled. The procedure is under development by the units involved in the process.
7. Definition of IdISBa researcher's affiliation procedure	Q1-2017/Q2-2017	COMPLETED Documentation and dissemination. Number of affiliated researchers: 2017: 681 ; 2018: 759; 2019: 777 ; 2020: 806; 2021: 797	The IdISBa researcher's affiliation procedure, approved in December 2017, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Afiliaci%C3%B3n%20Investigadores%20IdISBa.pdf
8. Development of a robust indicator collection system	Q4-2018/Q3-2018	COMPLETED. CONTINUOUS ACTIVITY Balance scorecard (internal	The balance scorecard was approved by the Board of Trustees in June 2018. In the new 2021-2024 Strategic Plan, a new control panel has been drawn up that will be reviewed by the quality

		document)	commission.
9. Policy on travel and subsistence allowance	Q2-2022/Q4-2022	ONGOING Documentation and dissemination	This action was planned for Q2-2019/Q3-2019. However, its implementation has been delayed due to unforeseen circumstances and has therefore been rescheduled.
10. Policy on Digital Technology Acceptable Use & Internet Safety	Q1-2019/Q3-2019	COMPLETED Documentation and dissemination	The procedure is available to all the employees through the intranet.
11. Review of Health and Safety procedures	Q1-2017/Q3-2017	COMPLETED Documentation and dissemination (internal document). Number of incidents/year: 2019: 0 2020: 0 2021: 0	The H&S procedures have been reviewed and the revised version is available to all the employees through the intranet.
12. Definition of an Innovation and knowledge transfer strategy	Q1-2021/Q4-2021	COMPLETED Documentation and dissemination Patents granted. 2017: 4; 2018: 5; 2019: 9; 2020: 10 Clinical practice guidelines	The IdISBa Innovation Plan, approved in November 2021, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Innovaci%C3%B3n%20IdISBa.pdf

		2017: 9; 2018: 5; 2019: 9; 2020: 12	
13. Policy on Open Research	Q4-2018/Q1-2019	COMPLETED Documentation and dissemination. % open access publications. 2018: 47,97%; 2019: 49,79%; 2020: 60,71%.	The IdISBa Policy on Open Research, approved in December 2017, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Pol%EDtica%20Open%20Acces%20IdISBa.pdf .
14. Dissemination and Outreach Plan	Q1-2021/Q4-2021	COMPLETED Documentation and dissemination. Number of dissemination activities. 2017: 3; 2018: 7; 2019: 7; 2020: 4; 2021: 3	The IdISBa Dissemination and Outreach Plan, approved in November 2021, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Comunicaci%C3%B3n%20IdISBa.pdf
15. Gender equality plan	Q4-2017/Q2-2019	COMPLETED Documentation and dissemination	The IdISBa Gender Equality Plan, approved in October 2019, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Igualdad%20IdISBa.pdf

16. Establishment of Equality Commission	Q4-2017/Q2-2018	COMPLETED Documentation (internal document) Number of meetings 2016: 0; 2017: 0; 2018: 1; 2019: 1; 2020: 1; 2021: 0.	The Commission was established in September 2018 (Press release: http://www.idisba.es/cat/Actualitat/Not%C3%ADcies/ID/709/LInstitut-dInvestigacio-Sanitaria-Illes-Balears-inicia-lelaboracio-del-seu-pla-digualtat).
17. To reinforce the PRISIB to offer researchers access to clinical data in accordance with ethical and legal regulations	8	NEW ACTION Number of fulltime workers at PRISIB (2022:0,5)	New action identified during the award renewal.
18. To strengthen the methodological support unit with personnel providing advice to researchers on ethical evaluation of projects and its presentation to the Ethic Committee of the Balearic Islands (CEI).	7, 8	NEW ACTION Number of advisory services	New action identified during the award renewal.
19. To establish activities favouring the woman leadership of clinical researchers.	10, 27	NEW ACTION Number of PI women with welfare activity; Percentage of PI women with welfare activity	New action identified during the award renewal.

20. To establish a quality system that allows the traceability of research results (i.e. electronic notebook).	7, 8, 11	NEW ACTION Number of tool users	New action identified during the award renewal.
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1.2. RECRUITMENT

Action	When?	Status Feb 2019	Remarks
21. Implementation of an evaluation and appraisal system	Q1-2022/Q4-2022	ONGOING Documentation and dissemination	IdISBa has promoted the establishment of a specific job regulation for its researchers through the promulgation of a decree- by the Balearics Government. With its approval on 15 March 2019 (Decree-Law 17/2019) and the drawing up of the 2021-2024 HR Plan, the development of the evaluation and assessment system for researchers has been established as an objective for 2022. The IdISBa HR Plan, approved in November 2021, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/es/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20RRHH%20IdISBa.pdf
22. Definition of an Open, Transparent and Merit-based Recruitment (OTM-R)	Q1-2022/Q4-2022	ONGOING Documentation and	The approval of Decree 17/2019, on 15 March 2019, and the drawing up of the 2021-2024 HR Plan has set as a goal for 2022

Policy		dissemination	the definition the Open, Transparent and Merit-Based Recruitment Policy. The IdISBa HR Plan, approved in November 2021, is available in the Transparency Area of the IdISBa website: http://www.idisba.es/es/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20ORRH%20IdISBa.pdf
23. Simplification of the job offers in IdISBa, with the aim of making them clearer and more attractive	Q3-2018/Q3-2019	EXTENDED % of international applicants	This action was planned for Q3-2018/Q3-2019. However, its implementation has been delayed due to unforeseen circumstances and has therefore been rescheduled.
24. Training in OTMR practices	Q3-2022/Q4-2023	EXTENDED Number of training hours	This action was planned for Q1-2020/Q4-2020. However, its implementation has been delayed due to unforeseen circumstances and has therefore been rescheduled.

1.3. WORKING CONDITIONS

Action	When?	Status Feb 2019	Remarks
25. Definition of a Research Career Path	Q2-2017/Q2-2018	COMPLETED Documentation and dissemination	Decree 17/2019, of March 15, approving the Statute of the research workforce at the service of the health research institutes of the Balearic Islands can be found in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Tran

			sparencia/Informacion%20Institucional/Decreto%20Carrera%20Investigadora.pdf http://www.idisba.es/es/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Decreto%20Carrera%20Investigadora.pdf
26.Satisfaction survey	Q1-2017/Q1-2020	COMPLETED. CONTINUOUS ACTIVITY Survey results	IdISBa annually performs a satisfaction survey and its results can be found in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Presentation/Transparency-portal/Institut-and-organisation-information .
27.Definition of a collective labor agreement	Q2-2018/Q3-2021	COMPLETED. Documentation and dissemination (internal document)	On 21 August of 2021 the Collective Labour Agreement was published at BOIB (Official Bulletin of the Balearic Islands) (available at: https://www.caib.es/eboibfront/pdf/ca/2021/111/1095260). The 26 August of 2021 was sent via e-mail by the Works Council to all IdISBa's employees and on 29 October 2021 an informative seminar took place to explain it to all IdISBa's employees.
28.Creation of a Training Commission	Q1-2017/Q3-2021	COMPLETED Number of meetings: 2016: 0; 2017: 0; 2018: 1; 2019: 1; 2020: 1; 2021: 1.	A new Training Plan for the period 2021-2024 has been developed resulting in an update in the composition of the training committee. Its composition can be found in: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Tran

			sparencia/Informacion%20Institucional/Plan%20Formaci%F3n%20IdISBa.pdf
29. Dissemination and implementation of the Training Plan	Q1-2021/Q4-2021	<p>COMPLETED. CONTINUOUS ACTIVITY</p> <p>Documentation and dissemination</p> <p>Number of training activities 2016: 34; 2017: 52; 2018: 42; 2019: 46; 2020: 29; 2021: 34.</p> <p>Number of training hours: 2016: 140h; 2017: 379h; 2018: 126,5; 2019: 149; 2020: 234; 2021: 233.</p> <p>Satisfaction survey 2016: 75%; 2017: 84%; 2018: 74%; 2019: 56%; 2020: 51%.</p>	<p>The new training plan 2021-2024 approved in November 2021, and it is available in the Transparency Area of the IdISBa website:</p> <p>http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Formaci%F3n%20IdISBa.pdf</p>
30. Include link to Euraxess website on IdISBa home page	Q1-2022	<p>COMPLETED</p> <p>Website</p>	<p>A banner with the Euraxess logo, linking to the Euraxess page, has been included on the main page of the IdISBa website.</p> <p>http://www.idisba.es/en/Human-Resources/Human-Resources-Strategy-for-Researchers</p>

31. Internationalization Plan	Q1-2019/Q4-2019	COMPLETED Documentation and dissemination	The internationalization plan 2021-2024 approved in November 2021, and it is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Internacionalizaci%C3%B3n%20IdISBa.pdf
32. Career orientation seminars for researchers in training	Q2-2022/Q3-2023	EXTENDED Number of training hours Number of attendants	This action is yet to be initiated. The approval of the career researcher decree (Decree 17/2019, 15 March 2019), the development of the predoctoral researchers policy will be performed next year.
33. Establishment of an Ombudsman Scheme	Q2-2022/Q3-2023	EXTENDED Documentation and dissemination Number of managed complaints	This action is yet to be initiated.
34. Include a representative for researchers in the Board of Trustees	Q2-2017/Q3-2020	COMPLETED Executive Committee composition	Due to legal constraints, a representative for researchers could not be included in the Board of Trustees. Therefore, a young researcher was included in the Executive Committee. http://www.idisba.es/en/Presentation/Organisation-chart/Governing-bodies
35. Definition of a Master Plan that establishes the short, medium and	Q1-2022/Q4-2024	EXTENDED	Objective Included within the new 2021-2024 Infrastructures

<p>long-term needs with regards to facilities and scientific equipment.</p>		<p>Documentation Satisfaction questionnaire</p>	<p>Plan and it is available in the Transparency Area of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Infraestructuras%20IdISBa.pdf</p>
<p>36. Increase the total area dedicated to research</p>	<p>Q3-2019/Q4-2020</p>	<p>COMPLETED. CONTINUOUS ACTIVITY m² dedicated to research</p>	<p>In June 2019 the Son Espases University Hospital ceded to IdISBa 251.58m² located in the module G, floor -1 at the Hospital. The provision of new space to IdISBa is assumed to be kept in the coming years taking into account its recent creation and its growth process. The information is included in the 2021-2024 Infraestructures Plan, available on the Transparency Portal of the IdISBa website: http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Infraestructuras%20IdISBa.pdf.</p>
<p>37. Ensure an adequate renovation and expansion of scientific and technical equipment</p>	<p>Q1-2021/Q4-2024</p>	<p>COMPLETED. CONTINUOUS ACTIVITY Budget dedicated to equipment acquisitions. Structural funds: 2019: 5379 €</p>	<p>The renewal of the scientific equipment has to be carried out in a continuous mode by the institution in order to remove the damaged and/or obsolete equipment and to acquire the new one fulfilling the necessities of the research groups. In this way, during the period being analysed some competitive funds both national and international have been awarded. The use of these funds together with those of the institution have improved the</p>

		<p>2020: 47500€</p> <p>2021: 21977€</p> <p>Competitive funds:</p> <p>2019: 0 €.</p> <p>2020: 0 €.</p> <p>2021: 325.000€.</p>	<p>technological endowment and contributed to technological renewal of the institution during the years: (2019, 2020, and 2021.</p> <p>Objective included in the new Infrastructure Plan 2021-2024, and is available on the Transparency Portal of the IdISBa website:</p> <p>http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Infraestructuras%20IdISBa.pdf</p>
38. Define a policy of allocation and use of facilities	Q1-2022/Q4-2024	<p>EXTENDED</p> <p>Documentation and dissemination</p>	<p>Objective included in the new Infrastructure Plan 2021-2024, and is available on the Transparency Portal of the IdISBa website</p> <p>http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Infraestructuras%20IdISBa.pdf</p>
39. Prepare an "IdISBa researcher's welcome manual"	Q3-2019/Q4-2020	<p>COMPLETED</p> <p>Documentation and dissemination</p>	<p>IdISBa researcher's welcome manual approved in October 2019, and it is available in the Transparency Area of the IdISBa website:</p> <p>http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Manual%20de%20bienvnida.pdf</p>
40 To ensure the necessary financing to provide the necessary HR to emerging groups	26	Number of identified annual calls.	New action identified during the award renewal.

		Number of annual applications requested.	
41. To establish a telework policy.	16	NEW ACTION Documentation and dissemination	New action identified during the award renewal.

1.4. TRAINING AND DEVELOPMENT

Action	When?	Status Feb 2019	Remarks
42. Develop a policy for predoctoral researchers	Q2-2019/Q4-2023	EXTENDED Documentation and dissemination	The approval of the career researcher decree (Decree 17/2019, 15 March 2019), the development of the predoctoral researchers policy will be performed next year.
43. Training in leadership and supervision	Q2-2018/Q3-2020	COMPLETED. CONTINUOUS ACTIVITY Number of activities: 2016: 1; 2017: 1; 2018:0 ; 2019: 1; 2020: 0 ; 2021: 0 Number of training hours: 2016: 30h; 2017: 14h; 2018: 0h; 2019: 8h; 2020: 0h; 2021: 0	Continuous activity. Training in leadership and supervision is included in the Training Plan periodically and support strategy for emerging groups. During the years 2020 and 2021 the training was postponed due to unforeseen circumstances.

44. To train in Data Management Plans.	38, 39	NEW ACTION Number of activities Number of training hours.	New action identified during the award renewal.
45. To promote the mobility of research staff to facilitate their training in reference centres both at a national and international level.	29, 38	NEW ACTION Number of calls Ratio applications/award	New action identified during the award renewal.

4. Implementation

General overview of the implementation process: (max. 1000 words)

Firstly, it should be noted that, while the original HRS4R Action Plan was drawn up between the months of August 2015 and March 2016, the approval by the European Commission was not granted until January 2017, due to an error in the handling of the case by the same Commission. It was therefore necessary to adapt the timeline for the original Action Plan in order to reflect January 2017 as the kick-off time of the project, extending till 2021. Also, during the implementation stage it has been made evident that some indicators were not representative of the objective to achieve and/or were too difficult to calculate for practical purposes and have therefore been modified to simplify the follow-up of the actions.

IdISBa is a very young organization, and as such, its policies and regulations, including those relating to HR, are still under development regarding several aspects. However, IdISBa has placed a strong accent in promoting HR policies that provide an attractive working environment for scientists, and thus defined an HRS4R very early on. Some key aspects that should be taken into consideration regarding the HR strategy in IdISBa are:

- The hired workforce in IdISBa has increased amounting now to around 137 workers.
- IdISBa also includes ascribed researchers from other organizations (university, hospitals, primary healthcare units, etc.). Although these researchers are not hired directly by IdISBa, it provides research training, infrastructures, project management and such services to them. Thus, these researchers are also targets of the IdISBa HR plan.
- The central element in the implementation of the IdISBa HR strategy is the "Research Career Decree". This project, which was initiated in early 2017 and now in its administrative approval stage, covers the following aspects: Definition, structure and regulation of a research career; Appraisal and evaluation system; establishment of a tenure-track pathway; access and promotion in the research career; OTMR-policy; measures to promote gender equality; measures to promote an evaluation system based on impact; measures to promote accountability; measures to promote mobility; measures to improve the researcher's retributions.

En enero de 2019, el IdISBa es reconocido como Instituto de Investigación Sanitaria acreditado por el Instituto de Salud Carlos III, ISCIII.

Detailed description and duly justification (max. 500 words)

The review process of the Action Plan has been carried out as follows:

- a) Review of indicators and status of each action proposed in the original Action Plan by a steering committee, including the Institute's management, the Quality unit and the HR unit.
- b) HRS4R working group meeting organisation to present and discuss about the status of the Action Plan.
- c) Sending to the research staff of a satisfaction survey.
- d) Update of the Action Plan including the result of the satisfaction survey. Submission of the reviewed Action Plan to the "HRS4R working group" for assessment. As a result, 8 more new actions were added.
- e) The reviewed Action Plan and the Interim Evaluation were submitted to the Executive Committee and the Board of Trustees for approval, which was obtained on 28 April 2022.

How have you involved the research community, your main stakeholders, in the implementation process?*

Detailed description and duly justification (max. 500 words)

The initial draft of the "Research Career Decree" was prepared through a "working group" composed by emergent researchers from the institute. The HRS4R working group is made up by representatives from each stage of the research career, from predoctoral students to established scientists, and also contains administrative and technical personnel.

The Institute has three advisory bodies: the internal scientific committee (made up by scientists from the institute representing the different scientific areas), the Scientific Advisory Board (made up by highly recognized external scientists) and the Social Council (which includes representatives from the society). These three bodies have been consulted in relation to the HR strategy being developed in IdISBa.

Do you have an implementation committee and/or steering group regularly overseeing progress?*

Detailed description and duly justification (max. 500 words)

The HRS4R working group, which includes representatives from researchers from every career stage, is not only responsible for the definition of the HR strategy, but also for the follow-up of the process.

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*

Detailed description and duly justification (max. 500 words)

The IdISBa 2021-2024 Strategic Plan includes as one of the strategic objectives the increase of the critical research mass through the recognition of its activity and the promotion of a research career, together with the development a culture and training of staff excellence.

Besides, in the 2021-2024 HR Plan the following strategic lines have been drawn up:

- ✓ Organisational transparency: excellence in HR.
- ✓ Recruitment of new talent and retention of current professionals.
- ✓ Professional development.
- ✓ Equality and female leadership.

Both plans can be consulted on the transparency portal of the IdISBa website, the links are here below:

<http://www.idisba.es/en/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20Estrat%C3%A9gico%20IdISBa.pdf>

<http://www.idisba.es/es/Portals/0/Documentos/Portal%20Transparencia/Informacion%20Institucional/Plan%20RRHH%20IdISBa.pdf>

How has your organisation ensured that the proposed actions would be also implemented?*

Detailed description and duly justification (max. 500 words)

The indicators that measure the implementation of the HR Action Plan have been included in the IdISBa Balance Scorecard, and therefore are routinely monitored, jointly with the remaining strategic KPIs.

How are you monitoring progress (timeline)?*

Detailed description and duly justification (max. 500 words)

The indicators measuring the progress have been included into IdISBa's Balance Scorecard, which is reviewed twice a year letting to identify the delay in the expected implementation progress.

How will you measure progress (indicators) in view of the next assessment?*

Detailed description and duly justification (max. 500 words)

The indicators are routinely monitored as part of the global Quality System of the Institute and included in the Balance Scorecard, which is reviewed twice a year.

After the conception of the 2021-2024 Quality Plan, the Quality Commission has been founded. The Commission meets at least twice a year to analyse the results of the indicators monitored in the scorecard.

How do you expect to prepare for the external review?*

Detailed description and duly justification (max. 500 words)

The external review will be jointly prepared by the steering committee and the HR Working Group. The objective is to repeat the process that originated the Action Plan, in order to be able to assess the implementation status of the Plan, and the actual level of compliance of the C&C of the Institute at this point, together with a new DAFO assessment that would lead to the definition of a new Action Plan.

The expected activities to develop for this would be:

- Using questionnaires to assess compliance with the C&C principles.
- Focus groups to discuss needs from different groups from the institution.
- Analysis of statistical data.
- Analysis of the legal framework.
- Meetings with the HR Working group to assess the results of the Original Action Plan and devise a new Action Plan.