TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review: Instituto de Investigación Sanitaria Hospital Universitario de La Princesa - Fundación de Investigación Biomédica Hospital Universitario de La Princesa (IIS Princesa) **Organisation's contact details:** Rosario Ortiz de Urbina Barba (Director). Email: secfundacion.hlpr@salud.madrid.org, Office Telephone: 91 520 24 76 62 Diego de León, Madrid, Madrid. **Web-link to published version of organisation's HR Strategy and Action Plan:** https://www.iis-princesa.org/instituto/human-resources/ **Web-link to organisational recruitment policy (OTM-R principles):** https://www.iis-princesa.org/instituto/human-resources/

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 04/11/2016

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 22/08/2019

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	*FTE*
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*520*
Of whom are international (i.e. foreign nationality)	*25*
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*84*
Of whom are women	*316*
Of whom are stage R3 or R4[1] = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*105*
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*165*
Of whom are stage R1 = in most organisations corresponding with doctoral level	*26*
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	*12*
RESEARCH FUNDING (figures for most recent fiscal year)	*€*
Total annual organisational budget	*7.500.000*
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,…)	*1.288.00*
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	*2.994.000*
Annual funding from private, non-government sources, designated for research	*4506000*
***ORGANISATIONAL PROFILE** (a very brief description of your organisation, max. 100 words)*	

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

Founded in December 2009, the *Instituto de Investigación Sanitaria de La Princesa (IIS PRINCESA)* is made up of Hospital Universitario de La Princesa, Hospital Universitario Santa Cristina, Hospital Infantil Universitario Niño Jesús, Área de Atención Primaria del Hospital Universitario de La Princesa, and the Autonomous University of Madrid.

The mission of IIS PRINCESA is: *"To offer and support initiatives framed by the health administration of the Autonomous Community of Madrid that encourages multidisciplinary biomedical and translational research, focused on basic, clinical and epidemiological research and the healthcare services, and motivates decision-making regarding the population health through the application of evidence-based healthcare approaches."*

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE (NARRATIVE)

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

The governing bodies of IIS PRINCESA have developed and approved the Institute´s Code of Good Scientific Practices, which is available through the Institute´s Portal of Transparency. This Code was approved by the Delegate Committee on the 25th of September 2018 and by the Governing Board on the 22nd of May 2019. The Code of Good Scientific Practices is the recognized framework in ethical principles and good practices of IIS PRINCESA, which also includes the definition of supervisory activities and other legal aspects. IIS PRINCESA has a Strategic Plan, which marks the institutional roadmap for a defined term. IIS PRINCESA is a public organization and is thus subject to national and regional legislation (autonomous communities) regarding principles of transparency, efficiency and equality and can be subject to open audits.

Furthermore, IIS PRINCESA has a Research Committee, an Ethics Committee for Research on Medical Products (CEIm) that ensures ethical compliance in research activities, and a Committee for the Adequacy of Clinical Trials. Moreover, the External Scientific Committee (CCE) of IIS PRINCSA supervises the scientific evaluation of the Institute and carries out an annual report with recommendations. IIS PRINCESA takes part in activities directed at the non-specialized public for the dissemination of scientific knowledge (e.g. Semana de la Ciencia, Pint of Science).

WEAKNESSES

The initial analysis of the Institute´s context revealed that the Code of Good Scientific Practices of the IIS PRINCESA was not publicly available through the Institute´s website. However, since this fault was identified, the Code has been approved the Governing Board and has been published in the portal of transparency of the Institute. Furthermore, a need to improve the dissemination of the Code of Good Practices to all the personnel within IIS PRINCESA was identified. The initial analysis also revealed a need to improve the dissemination of the procedures for obtaining authorizations from the Ethics Committee for Research on Medical Products (CEIm). Taking this into account, the Institute has since developed working procedure to encourage the dissemination of authorization procedures amongst research staff. The working procedure was valid from the 8th of February 2018 and has been published on IIS PRINCESA´s web page.

Recruitment and selection

STRENGTHS

IIS PRINCESA has defined hiring procedures, which is publically accessible through the Institute's web page. The hiring procedures of IIS PRINCESA are based on evaluating the minimum requirements defined for each position advertised, whilst taking into account the individual merits of candidates. This procedure ensures an open, transparent and efficient hiring process. Furthermore, it should be noted that the hiring procedures of IIS PRINCESA take into account the overall merits of candidates, regardless of variations in the chronological order of CVs. IIS PRINCESA also recognizes mobility as an important factor in its hiring procedures. IIS PRINCESA is also currently working on adapting its hiring procedures to the OTM-R principles, and has already started publishing international job posts on EURAXESS.

WEAKNESSES

Although IIS PRINCESA has a defined hiring procedure, there is room for improvement as the procedure has not been adapted to the principles of the OTM-R and the C&C. Presently, there are no protocols to regulate the composition of Selection Committees. Furthermore, the hiring procedures of IIS PRINCESA do require that candidates that are not selected be informed. Also, there are no procedures or guidelines to improve the qualitative evaluation of candidates during interviews. A need to promote elements for the career-development has also been identified.

Working conditions

STRENGTHS

IIS PRINCESA applies the salary tables defined by the *Instituto de Salud Carlos III (ISCIII)*, which is the principle source of research funding in health in Spain. These tables classify the salaries according to the maximum level of qualification of researchers. IIS PRINCESA has a defined scientific structure which includes a Scientific Direction, area coordinators, coordinators for each line of research and working group leaders that are responsible for the supervision of members in research groups under their jurisdiction. Researchers are represented in all decision-making bodies of the Institute, including both Governing Bodies and Advisory Bodies. IIS PRINCESA recognizes all of its employees, their intellectual and industrial property rights, as well as their right to authorship for new inventions. In accordance to the Action Plan, IIS PRINCESA has worked together with other foundations in R&D on the development of a Common Agreement that includes aspects regarding the management of staff.

WEAKNESSES

The number of courses and formative meetings offered to the employees of IIS PRINCESA does not adequately cover the organization´s needs. The educational program at IIS PRINCESA does not include activities to allow young researchers to gain teaching experience. Despite IIS PRINCESA valuing researcher mobility, the number of collaborations with other national and international centres needs to be increased to encourage employees taking part in exchange programmes. Currently, IIS PRINCESA is focusing its efforts on the attainment of national and international mobility grants for its employees.

IIS PRINCESA´s intellectual protection procedures have not been adapted to the New Spanish Patent Law of 24/2015 or the principles established by the C&C. IIS PRINCESA´s Innovation Department is currently working on adapting its internal procedures to Royal Decree 316/2017 of the 31 of March, under the framework on the Regulation on the implementation of the New Patent Law 24/2015 of the 24th of July. There is a need for IIS PRINCESA to develop career-development elements under current national and regional legislation (autonomous communities).

Training and development

STRENGTHS

IIS PRINCESA has a Training Committee, which is responsible for evaluating the educational needs of all the staff, from university students to high-level researchers. Moreover, IIS PRINCESA has a database that collects all scientific publications, results and projects carried out by all researchers, including those carried out by researchers in the early stages of their careers. IIS PRINCESA has a defined structure responsible for the coordination and supervision of its staff that includes coordinators of the different lines of research and group leaders. Moreover, a Scientific Research Committee and an External Scientific Committee support this structure and carry out supervisory activities.

Through the implementation of the Action Plan, IIS PRINCESA has developed a Resident Training Program, which has also resulted in educational actions with the goal of encouraging Hospital´s clinical staff to initiate careers in research.

One of the primary actions developed under the HRS4R framework has been the development of a platform titled "*Conocimiento Princesa*". This platform offers courses and training sessions that are currently directed at staff IIS PRINCESA. Nevertheless, the possibility of making these courses publicly available is currently being debated.

WEAKNESSES

IIS PRINCESA does not have designated staff responsible for the supervision of researchers in early stages of training. Despite IIS PRINCESA carrying out formative courses for continued education, there are no specific actions to encourage education and professional development, such as virtual learning tools. Nevertheless, following the initial situation analysis, the online platform "*Conocimiento Princesa*" has been launched.

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

The global priorities drawn from the Gap Analysis remain valid, as does the primary objective of adapting IIS PRINCESA´s internal processes to the principles of the C&C. Nevertheless, the need to prioritize new actions to ensure compliance with the hiring procedures outlined by the principles of the OTM-R, which was not included in the initial action plan, has now been identified.

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

On December 2009, IIS PRINCESA was founded under the agreement signed between health centres of the health administration of the Community of Madrid and Other Research Institutions. IIS PRINCESA is made up of Hospital Universitario de La Princesa, Hospital Universitario Santa Cristina, Hospital Universitario Infantil Niño Jesús, Área de Atención Primaria del Hospital Universitario de La Princesa, and the Autonomous University of Madrid.

The legal framework that regulates Health Research Institutes in Spain is defined by:

Article 88 of the *Spanish Law 14/2007 of July 3rd on Biomedical Research*, establishes that the National Health System will collaborate with other institutions and organizations involved in research for the joint use of scientific infrastructure and the development of research projects. To this end, associations of research groups within centres of the National Health System are promoted for the establishment of Biomedical Research Institutes.

The *Spanish Royal Decree 279/2016 of June 24th on the Accreditation of Biomedical and Health Research Institutes,* defines the requirements and regulatory procedures for the accreditation of Biomedical and Health Research Institutes within the Spanish National Healthcare system. This legislation also defines the

requirements and monitoring activities necessary for accredited health research institutes to maintain their accreditations, as well as the necessary procedures for the renewal of accreditations.

Recently, a legislative change has occurred at a state level which is to positively impact the HRS4R:

The *Spanish Order of the 12th of April 2019* of the Ministry of Science, Innovation and Universities, approved the Technical Guide for the evaluation of the accreditation of biomedical and health research institutes.

This new regulation establishes, amongst other aspects, the importance of translational science, RRI (Responsible Research & Innovation) policies, and the HRS4R in Health Research Institutes. This regulation includes as a requirement for Health Research Institutes, the inclusion of specific actions regarding the HRS4R normative. IIS PRINCESA´s Governing Board is committed to RRI policies, as well as the successful implementation of its HRS4R strategy. Therefore, the need to revise the initial action plan to include actions to allow the organization to adapt to the new legislation has been identified.

The commitment of IIS PRINCESA´s Governing Board with the implementation of the HRS4R strategy, together with the recent legislative changes means that the HRS4R will positively shape the organization´s general strategy. It will therefore be necessary for the new general strategy to include new actions to accommodate for these changes and to comply with the new requirements imposed by the *Instituto de Salud Carlos III (ISCIII).*

Since 2018, the use of the HRS4R E-TOOL is compulsory for the attainment and renewal of the HRS4R recognition. IIS PRINCESA therefore needs to adapt to the new HRS4R procedures and carry out the self-evaluation step in accordance with the OTM-R checklist, review the initial action plan to redefine existing actions and include new actions.

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

The current Strategic Plan of IIS PRINCESA has been defined for the 2015-2019 and is approaching the end of its period of validity. IIS PRINCESA is currently redefining its strategy for the 2020-2024 period by developing a new Strategic Plan. The new plan will specifically include, amongst other aspects, a section on the development and implementation of the HRS4R and other aspects related to RRI policy (including Participation and Commitment to Society, Gender Equality, Open Access, Governance, Ethics, and Scientific Education). The new Strategic Plan will therefore define specific actions to favour the implementation of the HRS4R of IIS PRINCESA.

3. ACTIONS

Please consult the <u>list of all actions</u> you have submitted as part of your HR strategy. Please add to the overview the <u>current status of these actions as well as the status of the indicators</u>. If any actions have been altered, omitted or added, please provide a commentary for each action.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings:

The initial action plan included a total of 14 actions, all of which have been reviewed and classified as being completed, extended or in progress. The results of this classification is the following:

- 5 Actions have been completed (36%)
- 7 Actions have been extended (50%)
- 2 Actions are in progress (14%)

Proposed actions	Gap Principle (s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
1. Adjust the code of good practice to the principles of the Chapter and Code	1; 2; 3; 8	1st Semester 2018	IIS Technical Unit	Is it the Code of good practice adjust to the principles of the Chapter and Code / Current and future researchers	*COMPLETED*	The Code of Good Practices has been updated and adapted to the principles of the C&C. This code was approved by the Delegate Committee on September 25th, 2018, and by the Governing Bodies on May 22nd 20219.
2. Make the Code of good practice available on the website	1; 2; 3; 8	2nd Semester 2018	Web Site Manager	Is it the Code of good practice adjust to the principles of the Chapter and Code / Current and future researchers.	*COMPLETED*	The Code of Good Practices is available through the IIS PRINCESA web page: https://www.iis-princesa.org/wp-content/uploads/2019/05/c%C3%B3digo-buenas-practicas-investigacion_v06_revisado-final-19-03-19.pdf The Code of Good Practices has been distributed to all staff via email.
3. Make diffusion activities from the procedure of CEIm	4	The full period	CEIm secretary	Is there any triptych with information about the procedures of the CEIm / Researchers	*EXTENDED*	The Ethics Committee for Research in Medical Products (CEIm) of IIS PRINCESA has established a working procedure that is valid starting from 08/02/2018. To encourage dissemination amongst research staff, procedures are available through the IIS PRINCESA webpage: https://www.iis-princesa.org/wp-content/uploads/2019/02/P

							NTs-CEIm-V.-01_08_02_18.pdf *As an additional dissemination action, instead of the triptych, the development of an explanatory video has been planned. The distanced-learning platform "Conociendo La Princesa" is currently being developed. This is a platform will include training courses and formative sessions that will be available to all staff. This platform will include all educational material regarding the CEIm, platforms for the support of research, statistical analysis etc.*
4. Draft a professional career document	*13; 19; 20; 21; 28*	*The full period*	*Coordination: Research commission. Aspect relationship with:* • *Working condition and social security: Department of Human Resources* • *Intellectual Property Rights: Innovation Department.* • *Teaching and training: Training Commission.* • *Supervision: Scientific direction*	*Is there any document with professional career / Current and Future researchers*	*EXTENDED*		*As a public entity, IIS PRINCESA must comply with the legal norms for the regulation of state public deficit; this limits the Institute´s management of total salary expenditure and on the generation of public permanent contracts.* *In the same way as other entities of the sector, most of the human resources for R&D must be funded through public funding calls. Therefore, the development of a professional career-development document specific to the institution is extremely complicated.* *It is thus necessary to refine this action, broadening its scope and focusing on collaborating with other institutions on the development of a common professional career development document.* *IIS PRINCESA is working with the competent Public Administrations. Recently, a common agreement for foundations working in R&D has been approved that includes a management*

						staff.
						The head administrative staff of IIS PRINCESA have also promoted the inclusion of BIOMAD in the Community of Madrid.
5. Drafting of Welcome document	4; 5; 7; 23	1st semester 2020	IIS Technical Unit	Is there a Welcome document / Future researchers	*EXTENDED*	Progress has been made on the Welcome Document. This document is still pending approval from the Governing Bodies of IIS PRINCESA. It´s approval and implementation is scheduled.
6. Include a person in charge of pre-PhD students.	40	2nd semester 2020	Training Committee	Is there any person in charge of pre-PhD students / PhD Students	*EXTENDED*	IIS PRINCESA encourages the training of young researchers. The Training Committee of the IIS has already carried out the first edition of the formative course for resident researchers. In 2019, and international exchange was proposed to all staff being trained through funding of the ISCIII. A total of 3 exchanges were granted. A need to increase participation has been identified. For this reason, the Working Group has identified the need to redefine this action so as to widen its scope. The development of a tutoring programme that specifically includes emerging groups, clinical research staff and young researches has been proposed. This program is to include the registration and evaluation of the tutoring activities.
7. Increase the number of collaboration with other centers, nationals, and Internationals.	29	The full period	Scientific direction	Number of new collaboration stablish every year / Members of the IIS	*IN PROGRESS*	Specific mobility grants have been granted to researchers, through agreements in collaboration with national and international organizations. This action will continue throughout the entire period of validity of the HRS4R strategy.

8. Adapt new legislation about patents	5; 31	1st semester 2020	Innovation Department.	Is it legislation about patients updated / Researchers	*EXTENDED*	The Innovation Department is currently working on adapting its internal procedures to the Royal Decree 316/2017 of the 31 of March, under the framework on the Regulation on the implementation of Patent Law 24/2015 of the 24th of July.
9. Develop a document in which it is included the minimum aspects that should be included in the selection process	15;	1st semester 2019	HR Department	Is it a document in which is included the minimum aspects that should be included in the selection process / Future members	*COMPLETED*	The Governing Bodies of IIS PRINCESA have approved the Institute´s hiring procedures. The hiring procedures have been implemented and distributed to all research staff. To support this action, additional actions will be defined following the evaluation carried out by the Working Group on the adaptation of procedures to the principles of the OTM-R.
10. Implement procedures to informed candidates no selected.	15;	1st semester 2021	HR Department.	Are the candidates not selected informed about their weaknesses and strengths / Candidates	*EXTENDED*	The hiring procedures of IIS PRINCESA state that all candidates that take part in first-stage interviews must be informed. A need to include requirements regarding the information of candidates that have not been selected in the hiring procedures of IIS PRINCESA has been identified.
11. Conduct annual surveys to get to know the aspects of training	23; 28; 33; 38; 39	The full period	Training Committee	Surveys with the training aspects / Member of the IIS	*EXTENDED*	There is a training committee at IIS PRINCESA that is in charge of determining the educational needs of the Institute. Currently, there are no methods of evaluating the formative courses carried out by the Institute. An educational platform is currently being developed which will include methods for the specific evaluation of educational activities.

						The web page of IIS PRINCESA includes information on scheduled courses. The need to include all courses (scheduled and realized) on the Institute´s web page has been identified.
12. Include in the employment contracts, specific clauses about their funding calls.	*11*	*1st semester of 2017*	*HHRR Department*	*Is it included in contracts information about specific clauses about their funding calls / New employees*	*COMPLETED*	*This action has been completely achieved. Clauses regarding funding calls have been included in all signed contracts.*
13. Search economic resources to offer a higher number of training offers.	*23*	*The full period*	*Training Committee*	*The number of sponsors per year / The member of the IIS*	*IN PROGRESS*	*The Governing Board of IIS PRINCESA is committed to the development and launch of the educational platform. Through this platform, the number of training activities offered to staff will increase significantly.*
14. Including in the training program some activities in which young researchers teach.	*33*	*The full period*	*Training Committee*	*The number of courses imparted by younger researchers/ Youngers researchers*	*COMPLETED*	*This action has been completed. Seminars are carried out every Thursday that are specifically targeted at the interests of young researchers. Participation of young researchers as speakers is highlighted.*

The following 6 new actions have been proposed as a result of the evaluation carried out of by the Working Group taking into account changes in the context of the organization:

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status
15. To develop and implement a Gender Equality plan and a Diversity Management Plan.	10; 13	1st semester of 2020	HR Department	Gender Equality Plan developed and implemented.	NEW
16. To implement elements to further Research Careers – To work together with other health research Institutes in the Autonomous Community of Madrid on the development of common Research Career Elements	13; 19; 20; 21; 25; 26; 28	The full period	Coordination: Research commission. Aspect relationship with: • Working condition and social security: HR Department. • Intellectual Property Rights: Innovation Department. • Teaching and training: Training Commission. • Supervision: Scientific direction	Actions for the development of a research career developed under the framework of collaborations carried out with the Public Administration and with other Health Research Institutes of the Autonomous Community of Madrid.	NEW
17. Generational relief. Include the figure of a Co-PI in all internal procedures of IIS PRINCESA.	3; 25; 28	1st semester of 2020	Research commission.	At least 60% of research groups have defined the figure of a Co-PI.	NEW
18. Female Leadership. To include criteria to foster female leadership in internal procedures.	10; 13	1st semester of 2020	Research commission.	Reach the target of at least 50% of Principle Investigators (PI) being female.	NEW
19. Develop a Tutoring Plan that includes actions directed at emerging groups, clinical researchers, and young researchers. This plan should include methods for the registering and evaluation of tutoring activities.	40.	1st semester of 2020	Research commission.	Tutoring Plan carried out.	NEW
20. To adapt hiring procedures and include the necessary actions for the implementation of the principles of the OTM-R.	13; 14; 15; 16; 19; 20; 21	1st semester of 2020	Department of Human Resources/ Quality Commission.	- Actions on the OTM-R principles included in the recruitment procedure. - OTM-R policy developed and published in the institute´s web page.	NEW

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

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles

The following actions are refer to action 20 of the Action Plan: *To adapt hiring procedures and include the necessary actions for the implementation of the principles of the OTM-R.* These actions define in detail the necessary steps for adapting the hiring procedures to the principles of the OTM-R.

- **OTM-R (1; 2; 3; 4; 6; 7; 8; 9; 11;13;14) Improve the dissemination of the hiring procedures:** advertise job offers for researchers, administrative staff and technicians in the EURAXESS Jobs web page, carry out formative actions regarding OTM-R to all staff involved.

- OTM-R (12; 15) Adapt job offers to the principles stated by OTM-R: job offers advertised by IIS-PRINCESA must include a description of the position, the functions, working conditions, the minimum requirements for the position (qualifications, experience, languages), work merits (prior experience, general skills, attitude). Job offers must also specifically state the merits required for the position and how these will be graded.

- **OTM-R (16; 17; 18; 19) Procedure for the selection and composition of hiring committees:** procedures are to include information regarding the selection, appointment and the attainment of an adequate gender balance. Periodic formative actions are to be carried out to ensure that evaluations are correctly carried out according to the principles stated by the OTM-R.

- OTM-R (20; 21; 22) Include procedures for the information of candidates that have not been selected in hiring procedures.

- OTM-R (10), actions 4 and 16 of the Action Plan are defined to cover this principle of the OTM-R .

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website. Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

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https://www.iis-princesa.org/instituto/human-resources/

N.B. Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the renewal phase at the latest.

4. IMPLEMENTATION (MAX. 1 PAGE)

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

The Working Group was established to carry out the analysis of the context, and evaluate the implementation of the Human Resource Strategy for Researchers of IIS PRINCESA. The initial Working Group was composed of the following members:

Javier Aspa Marco Support Units Responsible Clinical researcher Emergent group leader; Jesús Capa Algara Management – Technical Unit; David Lafuente Alonso Management – Human Resources Unit; Mónica MarazuelaAzpíroz Clinical researcher Senior group leader; Lucas Moreno Martín Retortillo Clinical researcher Postdoctoral Researcher; Juan José Muñoz González Medical Deputy Director; Rosario Ortiz de Urbina Barba Fundación para la Investigación Biomédica Hospital Universitario de La Princesa Director; Javier Pérez Gisbert Clinical researcher Senior group leader; Francisco Sánchez Madrid IIS Princesa Scientific Director. Clinical Researcher Senior group leader; Miguel Vicente Manzanares Basic researcher Emergent group leader.

A Responsible Person designated for the implementation of each planned action that will ensure that the defined schedule of activities is followed where possible. Jesus Capa was assigned as the responsible person for the Institute´s Technical Unit. An evaluation was carried out in October 2018 in accordance to the initial Evaluation Plan. This evaluation consisted on determining the degree of attainment of each of the planned actions, as well as if they were carried out according to schedule.

The General Director of IIS PRINCESA, together with the Scientific Directorate have identified the need to adapt the Institute to the changes in its context to support the Human Resources Strategy for Researchers of IIS PRINCESA. Consequently, the need to establish an Advisory Committee was identified. In this case it was decided, that the Working Group was to also act as the Advisory Committee. Therefore, the Advisory Committee has representation of all the areas directly implicated in the development and implementation of the HRS4R.

Prior to the progress evaluation of the Action Plan for the year 2019, a meeting was carried out with the Working Group in which a need was identified to adapt to the new requirements established by the Commission for the maintenance of the HRS4R (adaptation to the HRS4R E-Tool, completion of the OTM-R Checklist, etc.). In this meeting, it was decided that the Advisory Committee and the Working Group would be composed of the same members to aid with the operability of the work.

One of the main novelties that were identified, was to include all levels of research staff and to increase their participation as much as possible. Therefore, the new Advisory Group/Working Group is made up of the following members:

The working group coordinators are the Director of the Foundation, Ms. Rosario Ortiz de Urbina (Director of the FIB), Mr. David Lafuente (Responsible for Human Resources and Legal), Ms. Sara Rodríguez (Legal and Clinical Trial Department), Mr. Sergio Luquero (R1) (Clinical Trial Coordinator), Ms. Noa Martín Cofreces (R2) Researcher of the Immunology Department (Responsible for the Department of High-Resolution Video-Microscopy), Ms. María Chaparro (R4) (Researcher and Clinical staff of the Digestive Department), Ms. Nuria Romero (R3-R4), Researcher Juan Rodés (Researcher and Clinical Staff of the Department of Medical Oncology) and Jesús Capa (Technical Unit of IIS-PRINCESA).

In November 2019, a questionnaire to evaluate employee satisfaction was distributed to all the staff of IIS PRINCESA, in accordance to the initial plan. The results of this questionnaire have been used to complete the defined table and verify the progress of the actions included in the Action Plan.

In this stage, the Advisory Committee and Working Group have identified a need to include new actions to the Action Plan; the internal review template has therefore been modified to include such new actions.

The Working Group will review again the principles of the C&C and the OTM-R policy, as well as any possible necessary adaptations in the case of any identified deviations from the attainment of the marked objectives. The degree of compliance with the Action Plan will be reviewed; any possible non-conformities will be identified and propose corrective actions will be proposed.

The next step will be to present this report to the Governing Bodies of the Institute, as well as the Scientific Director. The conclusions and progress of this review will then be distributed to the Governing Bodies.

All actions required for the external evaluation of the strategy, including logistical and administrative actions, will be coordinated from the Technical Unit. The Technical Unit will also be responsible for the coordination of all interview requests for all profiles of the Institute during the external evaluation.

Make sure you also cover all the aspects highlighted in the checklist below:

- **How have you prepared the internal review?**

In order to carry out the intermediate internal review, firstly, the composition of the Working Group and Advisory Committee was revised. Special attention was taken to ensure that members of these group included personnel involved in decision-making processes of aspects regarding the implementation of the HRS4R, as well as representatives of each research category. The purpose of this is to ensure a participative review and to take into account the views of al staff profiles involved.

On the 13th of October 2019, the members of the new Working Group and Advisory Committee were proposed by the Director of the Foundation. On the 6th of November 2019, a face-to-face meeting was carried out to formally name the members of, and establish the new Working Group and Advisory Committee. From then on, members of the Working Group and Advisory Committee also communicated with each other electronically. In these communications included the elaboration of the different drafts of the internal review.

Once the Working Group and Advisory Committee were established, the degree of attainment of the actions defined by the initial action plan was reviewed.

The Working Group designed a questionnaire, which was sent out to all the staff of IIS PRINCESA. This questionnaire was designed to evaluate the degree of staff satisfaction on the implementation of the institute´s HRS4R and take into account additional comments and inputs. The questionnaire was sent out on the 18th of November and remained open until the 27th of November 2019. Results from the questionnaire were collected and aligned with the evaluation which was previously carried out by the Advisory Committee and the Working Group.

The Working Group and Advisory Committee held a face-to-face meeting on the 29th of November 2019 to analyse the conclusions of the internal review and validate the actions proposed in the Action Plan.

- **How have you involved the research community, your main stakeholders, in the implementation process?**
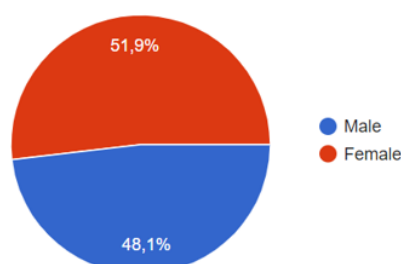
The need to directly involve research staff from all categories of research in the implementation of the Human Resources Strategy was identified. Therefore, representatives from all research categories were included as members in the Working Group and Advisory Committee, as well as the members of all the working areas involved in the implementation of the institute´s HRS4R Strategy. The results of the internal review were also validated by the Working Group and the Advisory Committee.

In order to attain a higher involvement of employees of IIS PRINCESA, an online questionnaire was also carried out. This questionnaire was distributed to all staff of the Institute and its results have been taken into account for the elaboration of the internal review report.
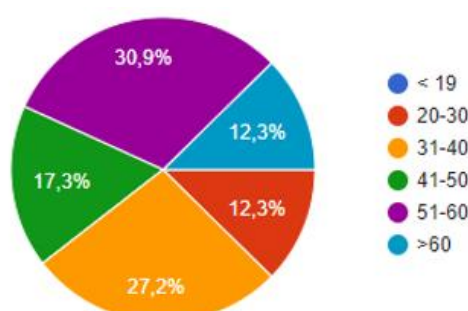
In total, 80 people completed the questionnaire out of all the personnel of IIS PRINCESA.

The breakdown of the candidate profiles that took part is as follows:
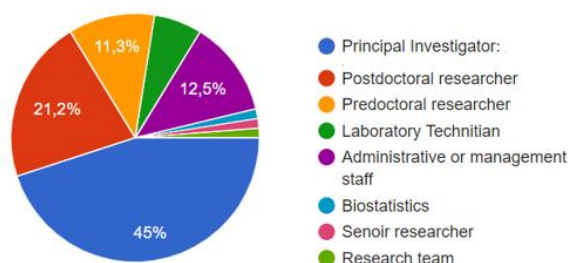
- **GENDER**

- **AGE**

- **PROFESSIONAL CATEGORY**

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

The need to directly involve research staff from all categories of research in the implementation of the Human Resources Strategy was identified. Therefore, representatives from all research categories were included as members in the Working Group and Advisory Committee, as well as the members of all the working areas involved in the implementation of the institute´s HRS4R Strategy. The results of the internal review were also validated by the Working Group and the Advisory Committee

The Advisory Committee and the Working Group are led by the General Director the Foundation, who represents the highest governing authority of IIS PRINCESA. The Scientific Director is also involved in the development of the HRS4R.

The Working Group and the Advisory Committee are coordinated by the Director of the Foundation and are scheduled to meet on a quarterly basis to evaluate the attainment of the proposed actions. Furthermore, the Technical Unit is responsible for coordinating electronic communications between members of the Working Group and the Advisory Committee.

- **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?**

The general strategy of IIS PRINCESA is currently defined by the 2015-2019 strategic plan. As the period of validity is of this plan is nearing its end, IIS PRINCESA is currently redefining its strategy for the 2020-2024 period. This new strategy will include, amongst other aspects, the development and implementation of the Institute´s HRS4R strategy, as well as other aspects related to the *RRI (Responsible Research and Innovation)* policy (public engagement, open access, gender, ethics and science education). The updated strategy includes specific actions that will, in many cases, positively favour the implementation of the HRS4R strategy of IIS PRINCESA.

Overall, IIS PRINCESA´s HRS4R strategy will be closely linked to the general strategic plan of the Institute. The HRS4R will be completely integrated in the hiring procedures of IIS PRINCESA, as well as other procedures according to the actions prioritized through the Action Plan.

- **How is your organisation ensuring that the proposed actions are also being implemented?**

IIS PRINCESA´s Action Plan has been approved by the General Director and the Scientific Director of the Institute. This Action Plan therefore has the support of the highest representatives of the organization, which is necessary to ensure its implementation.

Furthermore, the Evaluation Plan, which was initially designed to ensure the implementation of the proposed actions, has been reviewed, and the person responsible for each action has been defined. The General Director of the Institute is responsible for the monitoring of the implementation of the HRS4R. The Working Group and the Advisory Committee, which are also coordinated by the Director of the Foundation, will meet on a quarterly basis to evaluate the degree of attainment of the defined actions.

Furthermore, the Technical Unit will coordinate electronic communications between the Working Group and the Advisory Committee.

- **How are you monitoring progress?**

In addition to the scheduled face-to-face quarterly meetings of the Working Group and Advisory Committee and the coordination of electronic communications by the Technical Unit, an annual survey directed at all the staff of the institute will be carried out. This questionnaire will evaluate the implementation of the HRS4R strategy and the degree of attainment of the actions defined in the action plan.

The original Evaluation Plan has been reviewed and adapted, to include the new proposed actions as well as an increased in the frequency of meetings (quarterly meetings) and communications of the Working Group and Advisory Committee.

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

The Working Group will review the principles of the C&C and the OTM-R policy again, and will carry out any possible necessary adaptations if deviations from the attainment from the defined objectives are identified. The degree of attainment of the Action Plan will be reviewed, non-conformities will be identified and proposed corrective actions will be indicated.

Next, this report will be presented to the Foundation´s General Director, Scientific Director and the Governing Bodies for a final validation.

The Technical Unit will coordinate all the proposed actions including logistics and administrative actions, that are necessary to complete the external review of the strategy. This unit will coordinate interviews with the different employee profiles of the Institute.

Additional remarks/comments about the proposed implementation process: (max. 1000 words):

IIS PRINCESA was founded in December 2009 and is made up of Hospital Universitario de La Princesa, Hospital Universitario Santa Cristina, Hospital Universitrio Infantil Universitario Niño Jesús, Área de Atención Primaria del Hospital Universitario de La Princesa, and the Autonomous University of Madrid.

Presently, there are more than 500 research staff that belong to IIS PRINCESA. The Institute has a recognised prestige within the international scientific community and has the necessary first-level technology to carry out high-quality research.

The mission of IIS PRINCESA is: *"To offer and support initiatives framed by the health administration of the Autonomous Community of Madrid that encourages multidisciplinary biomedical and translational research, focused on basic, clinical and epidemiological research and the healthcare services, and motivates decision-making regarding the population health through the application of evidence-based healthcare approaches."*

The *Human Resources Strategy for Researchers (HRS4R)* was developed by the European Commission is intended to serve as a tool for the implementation of the recommendations regarding the rights and responsibilities of researchers and their employers and / or funders, as listed in "*The European Charter for Researchers"* and "*The Code of Conduct for the Recruitment of Researchers*" (C&C).

Since 2016, IIS PRINCESA has adhered to the principles of the C&C, and is thus committed to align its Human Resources Policies and Practices with those of the abovementioned documents.

The implementation and development of the HR4RS is an important of the Institute. Both the Governing Bodies and the Scientific Director are committed to the Human Resources Strategy for Researchers of IIS PRINCESA and have promoted the completion of all the actions laid out by the initial Action Plan. The General Direction of the Foundation is responsible for the coordination of the Advisory Committee and the Working Group, and is in charge of the overall development of the HRS4R. Outstandingly, the defined Advisory Committee and Working Group represent all research staff of the Institute, as well as the key individuals responsible for carrying out the actions approved for the Action Plan. Furthermore, a schedule of periodical reviews has been defined and is to be carried out by the Working Group and the Advisory Committee as a means of monitoring the progress in the implementation of the Action Plan in the most effective way possible.

Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.