

## TEMPLATE 3: INTERNAL REVIEW

<p>Name Organisation under review:</p> <p>ASOCIACION INSTITUTO DE INVESTIGACION SANITARIA BIOCRUCES BIZKAIA</p> <p>Organisation's contact details:</p> <p>ASOCIACION INSTITUTO DE INVESTIGACION SANITARIA BIOCRUCES BIZKAIA</p> <p>CIF: ESG95756334</p> <p>EDIF. BIOCRUCES BIZKAIA , PLAZA CRUCES 12, 48903 BARAKALDO</p> <p>SecretariaDireccion.BiocrucesBizkaia@osakidetza.eus</p> <p>Web-link to published version of organisation's HR Strategy and Action Plan: <a href="https://biocrucesbizkaia.org/estrategia-hr">https://biocrucesbizkaia.org/estrategia-hr</a></p> <p>Web-link to organisational recruitment policy (OTM-R principles):<sup>45</sup> <a href="https://www.biocrucesbizkaia.org/estrategia-hr">https://www.biocrucesbizkaia.org/estrategia-hr</a></p>
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**SUBMISSION DATE TO THE EUROPEAN COMMISSION: 25/04/2019**

### 1. ORGANISATIONAL INFORMATION

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

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	862 389 Principal Researcher 473 Collaborators
Of whom are international (i.e. foreign nationality)	11 Principal Researcher
Of whom are externally funded (i.e. for whom the organisation is host organisation)	353 Principal Researcher
Of whom are women	222 Principal Researcher
Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	240 Principal Researcher
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	57 Principal Researcher
Of whom are stage R1 = in most organisations corresponding with doctoral level	90 Principal Researcher
Total number of students (if relevant)	35
Total number of staff (including management, administrative, teaching and research staff)	23-Management 77-Research support 862 Research Staff

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
<i>Total annual organisational budget</i>	10.337.134 €
<i>Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)</i>	5.422.146 €
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	4.422.186 €
<i>Annual funding from private, non-government sources, designated for research</i>	492.802 €
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p><i>Biocruces Bizkaia is the scientific institution of Osakidetza at Bizkaia, a clinical assistance reference in the Basque Country that fosters a strongly established training and research career. It was created by the Department of Health of the Basque Government, the Basque Health Service (Osakidetza, the University of the Basque Country and the Basque Foundation for Innovation and Research (BIOEF) Additionally, Biocruces Bizkaia has collaborations with the main hospital and Cooperative Research Institutes of the Basque Country focused on the biosciences, for example, (CIC bioGUNE), the Basque Center for Applied Mathematics (BCAM), and Ikerbasque.</i></p> <p><i>Biocruces Bizkaia as an accredited Institute by the Carlos III Health Institute pursues improvement in the development of its activities, for which it keeps track of the indicators and objective promoted from the ISCIII. Since 2014, Biocruces Bizkaia is consolidating its structure, both technical as scientific, adapting it to the needs of evolution and development of the Scientific Areas of Research.</i></p> <p><i>The Biocruces Bizkaia HRI is scientifically configured into 7 Research Areas:</i></p> <ul style="list-style-type: none"> <li>- AREA 1: Primary care in health, prevention and chronic diseases</li> <li>- AREA 2: Cancer</li> <li>- AREA 3: Endocrine, metabolism, nutrition and kidney diseases</li> <li>- AREA 4: Autoimmune, inflammatory and infectious diseases</li> <li>- AREA 5: Diseases of the Nervous System</li> <li>- AREA 6: Innovation in surgery, transplantation and health technologies</li> <li>- AREA 7: Maternal health, child and assisted reproduction</li> </ul>	

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

Health Research Institute Biocruces Bizkaia was recognized with the HR Excellence Seal in February 2017, which marked the culmination of a process that started in June 2015. Since then, the HS4R strategy has been a transversal axis throughout the Institute's strategy. Our new Strategic Plan 2018 - 2022 is aligned with this strategy, taking into consideration that several actions are directly included within.

The Health Research Institute Biocruces Bizkaia has implemented the OTM-R policy through its procedures and by making explicit the principles by which our institute has been carrying out the recruitment processes. Processes that have been subject to constant improvement since 2017, so this implementation was more a formal declaration rather than in a change of mentality within the organization as they were already assumed.

### **Ethical and professional aspects**

The Health Research Institute Biocruces Bizkaia, as an accredited institute by the Institute of Health Carlos III , has always taken into consideration the aspects of Ethics and Professionalism in Research. These aspects are fully documented in the following documents of our organization: Guide of Good Scientific Practices, Annual Reports, Strategy HRS4R and Strategic Plan of the IIS Biocruces Bizkaia. At the same time, it has a prestigious external Scientific Committee as well as a Research Committee that is actively involved and informed of the actions and objectives proposed.

The researchers assigned to the Institute have a high commitment to the Ethical Codes of their discipline as well as to the principles of publicity and dissemination of results, and non-discrimination.

In the initial analysis, however, the need for evaluation systems of their professional practice was identified, which would correspond to an area of improvement in relation to the implementation of the criteria related to these principles.

In the analysis that was carried out in the procedure to obtain the HR Excellence Seal, the high participatory nature through various working groups was highlighted, as well as the completion of a general survey that allowed us to obtain a detailed analysis and suggestions for improvement from the start. Other strengths identified were:

- the high commitment to the ethical principles of research and an efficient and transparent management of both public and private funds,
- the permanent concern for the dissemination of results both to economic agents and to society in general and a firm attitude of non-discrimination

In relation to the need for action on the principle of Evaluation, several concrete actions were implemented to reinforce this weakness. These actions have been developed and in this way significant progress has been achieved in terms of demanding evaluation criteria for the research groups but at the same time maintaining room for improvement in the individual evaluations.

### **Recruitment and selection**

The Health Research Institute Biocruces Bizkaia has defined pay scales consistent with the research career in its different phases (R1-R4). It tries to ensure adequate recruitment of research staff despite certain difficulties encountered on the adequacy of work related to research projects and labor legislation.

Regarding recruitment, its procedures have always been public and subject to merit based evaluation. At this stage, The Health Research Institute Biocruces Bizkaia adheres to the OTM-R policy that was already integrated in the selection process although to date it was not disseminate.

The initial analysis indicated as strength of our organization the recognition that is made of the experience in other countries or research centers as a value to be considered in all recruitment processes.

### **Working conditions**

The Health Research Institute Biocruces Bizkaia has recently signed a commitment to gender equality on the occasion of the celebration of March 8. It plans to implement a Gender Equality Plan in the coming years while continuing to carry out specific actions such as participation in the Women for Africa Program, STEAM project to attract women to science, The March 8 Working Coffee. The principle of gender equality was already a strength that we now want to reinforce.

- In the analysis phase and the start of the implementation of the HR Excellence Seal, it was decided that priority objectives tackling some of our weaknesses were: The recognition of the "Researcher" profession. To this objective the first four actions of the plan were assigned. The dissemination and visibility of the actions of our researchers has been greatly increased while we are working with Basque Public Health System - Osakidetza to provide recognition to research in the professional career. There is still room for improvement in these points because the recognition

commission has not yet been created and the Institute continue to work with the Basque Government on a Researcher career plan. A concrete action implemented has been the Ezkertze awards for the years 2017-2018 and 2019.

- It remains pending the creation of a guide that defines the professional career of the researcher in the Institute and that includes all aspects that affect him from the start, initial categorization and subsequent assessment. In relation to this, the mentoring plan for young researchers has also been delayed.
- Regarding job retention and Researcher stability, measures have been implemented to give stability both to the organization and structure of the Institute and the research groups with a long-term career in order to maintain the strategic research lines.
- The institute has continued to evolve and grow as it is still a young organization. In the last two years, great progress has been achieved, both in terms of infrastructures and the implementation of measures of helping the work-life balance, reduction of working hours to care for children or family, flexible schedules, inauguration of the new building (More than 6000 additional m2 specifically dedicated to research, with new RTD platforms). This has meant a spectacular improvement in the staff working conditions, both researchers and management personnel.

However, we recognize that within our objective towards continuous improvement, a greater systematization of the objective criteria that support our salary scale defined in 2018 is needed. In this way, the rewards of each person and position will be better adapted to the OTM principles, in an effort towards dignifying the researcher conditions.

### **Training and development**

The training in the Institute is well valued as well as correctly systematized and disseminated in its Training Plan.

During this period, new training activities have continued to be incorporated, with a special effort to disseminate them both through digital media and through the Institute's own website, where it is easy to appreciate this activity.

Collaboration with Universities and other Research centres and Institutes has increased.

The whole process of identification of publication authorship was identified as an area of improvement: this issue is currently being discussed in joint meetings with other health research organizations in the Basque Country.

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All the principles of the HRS4R Strategy continue to be a priority in the Institute, and despite the fact that progress has been achieved in these years; further work is under way on the areas of improvement identified in the Plan and not yet achieved.

We also want to highlight that an important milestone has taken place during this period: the inauguration of a new building with an additional 6000 m2 and new equipment and platforms incorporation. Furthermore, An

important recognition of the Institute as a reference in health research and innovation in the Biscay region (1,100,000 inhabitants) has been achieved.

The Institute has a new Strategic Plan in which the HR policy together with the RRI principles have been a transversal axis in its definition so that the mission, vision, objectives and actions designed for the new period are perfectly aligned with the HRS4R Charter & Code principles.

### 3. ACTIONS

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
1. Increase visibility and communication of the results of the research to the Hospital and the society in general.	22	2018 Q1	Communication Commission	√ Number of communication activities: 2018: 87 per year, 7 per month. 2019: 10 per month.	Completed / Communication group working since 2017/New Social Networks: LinkedIn, Instagram...	√ Communication Plan new version
2. Implement a system of recognition of the professionals based on rewards and grants	22	2017 Q4	Recognition Commission	√ Number of initiative: Ezkertze 2017,2018,2019 Diffusion de activities of researchers	Recognition Commission: Delayed 2019 Q4	√ Recognition initiatives (calls, awards, etc.)/Recognition Commission in progress
3. Create grants for the timed release of clinic researchers based on the CV of the researcher.	22	2017 Q1	• Recognition Commission	√ Budget of calls: 2017:115.777€ 2018:116.000€	Fully completed	√ Intramural calls (internal Biocruces Bizkaia calls)
4. Promote a greater strategic bet by the Hospital towards research; timed releases, assessment of the research activity beyond the established working hours	22	2018 Q2	Biocruces(General Management) Osakidetza (Basque Public Health Service)	√ Number of proposals/ Numbers of Meetings: 17	Included in the new Strategic Plan/Initiated	Pending: Proposal to the Hospital Management and Agreements
5. Implement actions towards reconciling work and family	24	2018 Q3	Stability and Conciliation Improvement Group/ Director of Management and	√ % Execution:100% Requests solved	√ HHRR Management Plan: "Conciliation" section in progress	reductions in working hours due to legal guardianship / time adjustments / flexible entry times

			Organization			...
6. Improve work spaces, infrastructure and computer services (cloud storage, wifi)	24	2019 Q1	Infrastructures and Platforms	Number of improvement actions: New building, spaces adaptation...	Fully Completed 2018 Q3	Improvement actions: Equipment (new building), others
7. Create a procedure for the evaluation of the research groups.	11	2017 Q3	• Coordinator and scientific evaluator	√ Execution %: 100%	Completed 2018 Q3	√ Group evaluation procedure :Done the categorization and the revision of the new groups
8. Implement a periodical evaluation system for all professionals in Biocruces Bizkaia	11	2020 Q3	• Coordinator and scientific evaluator/ Quality	√ Execution % /√ Pilot test	Some pilots	√ Personnel evaluation procedure √ Evaluation pilot test to a sample of Research Group Coordinators
9. Review the criteria for the categorization of research groups	28	2017 Q1	• Scientific Director • External Scientific Advisory Board	√ Execution % 100	Completed	√ "Categorization criteria" document new version / √ "Integration Plan" document new version
10. Define and document a handbook that defines the professional career (categories and research periods)	28	2018 Q2	• Scientific Director / Director of Management and Organization	√ Execution %: 50% (Researchers)	In progress, the publication is still pending	√ HHRR Management Plan: "Professional Categories" section
11. Promote the incorporation of the research assessment criteria in the evaluation of the career development by Osakidetza	28	2019 Q1	• Health Research Centres(Basque Public Health Service)/ Osakidetza / General Management	√ Number of proposals/ Numbers of Meetings: 2	In progress.	√ Proposal of evaluation criteria for professional development at Osakidetza
12. Develop training and mentoring systems for the career development of researchers	28	2017 Q3	Training Department	√ Number of training activities: 70 (30 approx. Per year) √ Number of mentoring actions	Training plan completed / Mentoring plan not started and delayed until 2019 Q3. Pending to constitute the Mentoring Working Group.	√ "Training Plan" document new version / √ Mentoring Plan

13. Implement a wage scale based on categories and job functions.	26	2020 Q3	Director of Management and Organization / Administration Responsible	√ Execution %:75%	Worked and finished in 2018. Pending review and publication.	√ HHRR Management Plan: "Remuneration" section
14. Define a procedure for the distribution of benefits derived from the exploitation of the R&D activities (copyrights, intellectual property rights, etc.).	26	2018 Q3	• General Management / Health Research Centres(Basque Public Health Service) / Osakidetza	√ Number of agreements:1	General agreement	√ Benefit Distribution and Exploitation Agreement
15. Establish improvements in recruitment policies	25	2017 Q4	• Human Resources / Quality	√ Execution %: 100%	√ Labour stabilizations have been produced and proceeded, hiring according to the Law of Science, Cofinancing of Calls for Human Resources,	√ Recruitment Procedure: OTM Implemented
16. Create new ways of funding recruitment process and implement actions towards work stability for research personnel.	25	2020 Q1	• Stability and Conciliation Improvement Group	√ Number of initiatives Staff stabilized in the period 2017-2018: 24	In progress	√ Pending creation the Stability and Conciliation Improvement Group
17. Improve the Welcome procedures (Recruitment)	28	2017 Q2	• Human Resources / Quality	√ Execution %:70	Completed 2018 Q2 partially - √ Pending incorporation specific welcome to the researchers senior and the adaptation to the new building	√ Reception Guide: Improving,
18. Develop and communicate a procedure for defining authorship and co-authorship in publications	32	2018 Q1	Work Group integrated by research personnel and Scientific Director	√ Execution % 100	Work group with other Basque research Institutes.	√ "Unique Bibliographique Dénomination" new version
√ 19. Implement Equality Plan.	21	2020 Q2	General Management / Human Resources/ Equality Group	√ Execution %	NEW OBJECTIVE	√ Equality Plan in progress, Equality endorsement published

## OTM-R principles

The Health Research Institute Biocruces Bizkaia has implemented the OTM-R policy through its procedures and principles by which the organization has been carrying out its recruitment processes. Processes that have been subject to continuous improvement since 2017, so this implementation has consisted more on a formal explanation than a change of mentality in the organization. Different procedures have been implemented to assist in the process of evaluation of applications and formation of the Evaluation Committee. In the same way, the OTM policy has been published on our website. <https://biocrucesbizkaia.org/estrategia-hr>

## 4. IMPLEMENTATION (MAX. 1 PAGE)

The HRS4R policy is subject to continuous monitoring in a permanent working group formed by the Scientific Direction and Management, the human resources department, the quality department and different people affected from other departments as the needed changes for the implementation of the proposed actions were incorporated (communication, infrastructures, training, project management ...)

The leading group of the plan has continued to take care of the process. It has been in charge of preparing this new review and self- assessment phase internally in order to obtain a more precise identification of progress degree compared to the plan and with the vision of being able to incorporate new areas of the institute as the action plan requires.

Regarding the public and private stakeholders related to the science system in our region, we have involved them in meetings of the government bodies and between Basque Research Institutes.

The strategy has also been reviewed by the researchers and professionals of the Institute in different groups and commissions that meet periodically.

The HRS4R revision actions are also highlighted in the process of preparing the new strategic plan with interviews and working meetings.

The HR strategy is fully present in the Strategic Plan of the Health Research Institute Biocruces Bizkaia 2018-2022, through the following objectives and actions:

1. Promotion of the researcher career within the Institute and in the Basque Public Health System to guarantee the generational succession:
  - a. Systematization of the development of the professional career in the Health Research Institute Biocruces Bizkaia.
  - b. Design of a monitoring and evaluation model for the research staff of the Health Research Institute Biocruces Bizkaia.
  - c. Development of a system for the stabilization of research and innovation staff with talent.
2. Incorporate into the Health Research Institute Biocruces Bizkaia the good practices linked to the RRI and HRS4R:
  - a. Monitoring, Assessment and updating of the HR Plan of Health Research Institute Biocruces Bizkaia.

- b. Improvement of the hiring policy in the Health Research Institute Biocruces Bizkaia according to the OTM criteria.

The HRS4R plan and its principles compliance constitute a requirement to be evaluated in any accreditation and reaccreditation process by the Institute of Health Carlos III ,in order to be an accredited Institute.

The progress of the action plan has been monitored through KPIs, group meetings and self-assessment. Specific actions to expand the participation of key stakeholders has been proposed and initiated. In this regard, taking as starting point the initial schedule, on 15 actions to be executed in this period, 10 actions (66%) are already completed or according to plan and 4 more are initiated. This implies a compliance degree of 80%.

Within the Health Research Institute Biocruces Bizkaia, the implementation of the HRS4R plan is very internalized in the different professional categories and its objective is, with the help of the action plan, to continue to keep it alive.