TEMPLATE 1 – GAP ANALYSIS

PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. [1] These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4[2], as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

Ikerbasque HRS4R is coordinated by the **HRS4R Working Group.** This group is sponsored by the Governing Board and composed by General Manager (who coordinates the Group), the leaders of P04 "Talent Attraction" process and P05 "Talent Management", all the Management Staff and researchers from both categories: Research Fellows (R3) and Research Professors (R4).

The HRS4R strategy in Ikerbasque is embedded within the overall strategy of the institution. Our management framework was originally designed according to EFQM model and was upgraded to the Advanced Management Model of Euskalit. Accordingly, Ikerbasque evaluates annually the results of our strategy, involving all relevant stakeholders, and deploy a new Action Plan within the framework of the long term strategy. In addition, a specific PDCA 3 year cycle is used for the HRS4R strategy as proposed by EC.

During the self-assessment process in 2016, each of the 40 principles of the C&C were revised and aligned with the reality of Ikerbasque, including the implementation of an OTM-R policy. This process was coordinated by the HRS4R Working Group and in order to get a comprehensive approach, the analysis in Ikerbasque has involved all key players concerned: Researchers, Call Applicants, Scientific Advisory Board, Management Board and Staff. In order to be efficient, the participation of each group followed a procedure tailored to the specifics of each group, which included:

- Workshop with 87 researchers (10th June 2016)
- Workshop with Focus Group on Gender Equality (13 researchers + 1 management Staff + 1 member of the Governing Board)
- Personal detailed and structured interviews with 57 researchers (2nd semester of 2016)
- On-line survey with all Ikerbasque researchers (203 participants, September 2016)
- On-line survey with all applicants to our 2016 calls (637 applicants): this survey was tailored for each of our calls.
- Meetings of the Scientific Board (November 2016) and Management Board (May, October and November 2016)
- Meetings with the Scientific Directors of Research Centers and Universities in the Basque Country (6th and 7th June 2016, 26 participants).

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[1] *The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ‚level', type of contract etc. etc.*

[2] *For a description of R1-R4, please see http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf*

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

Status: to what extent does this organisation meet the following principles?	+ = **fully** implemented +/- = **almost but not fully** implemented -/+ = **partially** implemented - = **insufficiently** implemented	In case of -, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+		
2. Ethical principles	+		
3. Professional responsibility	+/-	Lack of knowledge of some ethical and good professional practice principles listed in the C&C by all the researchers and staff of Ikerbasque.	Incorporate this principle in the Ikerbasque Policies #1 and #5 on Research Expectations and improve the knowledge of all the researchers of these policies.
4. Professional attitude	+		
5. Contractual and legal obligations	+/-	Lack of knowledge of the contractual and legal obligations by the research staff of Ikerbasque.	Incorporate a summary of employees' rights and obligations in the welcome plan.
6. Accountability	+		
7. Good practice in research	+		

8. Dissemination, exploitation of results	+/-	Research results are not always fully disseminated or exploited. Moderate interaction with society.	Improve the knowledge of all the researchers of the Ikerbasque Policies #1 and #5 on Research Expectations. Involve all researchers in the dissemination strategy.
9. Public engagement	-/+	Some interesting work is not disseminated because it goes unknown to the PR team, and Ikerbasque and host institutions sometimes fail to make relevant research attractive.	Encourage researchers to communicate their work to the PR team. Developing new dissemination channels (Update for researchers, public engagement channels). Include public engagement in Ikerbasque 2018-2021 Strategic Plan and reinforce public dissemination efforts in coordination with host institutions.
10. Non discrimination	+/-	There is a gender gap and Ikerbasque needs to develop its Equality Plan to fulfil this principle.	Implementation of an Equality Plan.
11. Evaluation/ appraisal systems	+		
Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. **In addition**, your organisation also needs to complete the checklist on **Open, Transparent and Merit-Based Recruitment** included below, which focuses on the operationalization of these principles.			
12. Recruitment	+		
13. Recruitment (Code)	+/-	Advertisements positions do not include all competencies required and could explain in more detail the working conditions and career development prospects.	Review and update call templates to include all the elements foreseen in the relevant section of the OTM-R toolkit.
14. Selection (Code)	+/-	Selection processes could be enriched by including other practices such as face-to-face interviews. Composition and work of the Evaluation Committes should be governed by a public policy.	Review of P04 Talent Atraction Process. Develop and publish a policy for the Evaluation Committe.

15. Transparency (Code)	+		
16. Judging merit (Code)	+		
17. Variations in the chronological order of CVs (Code)	+		
18. Recognition of mobility experience (Code)	+		
19. Recognition of qualifications (Code)	+		
20. Seniority (Code)	+/-	Years of postdoctoral experience required for senior positions (Research Professors) are sometimes perceived as a barrier to entry.	Review the P04 Talent Atracction process to reduce the postdoctoral experience required for senior positions or explain better the reasons for such requirement.
21. Postdoctoral appointments (Code)	+/-	Long-term career prospects for Ikerbasque Research Fellows are encouraging but the tenure process to Research Associate/Professor lacks clarity in some institutions.	Review and improve the dissemination of the Ikerbasque Policy #6 on Research Fellows Assessment.
Working Conditions and Social Security			
22. Recognition of the profession	+		
23. Research environment	+/-	Some researchers consider start-up/internal funding should be available to establish/boost their groups.	Review the P05 Talent Management process to consider the possibility of funding instruments and if deemed not appropiate, explain better the Strategy of the institution.
24. Working conditions	+/-	Balance between the flexible approach of Ikerbasque and	Ensure that Ikerbasque Policies #1 and #5 on

		specific conditions of each host institution could be better coordinated.	Research Expectations are properly aligned with working conditions in every host institution.
25. Stability and permanence of employment	+/-	Long-term career prospects for Ikerbasque Research Fellows are encouraging but the tenure process to Research Associate/Professor lacks clarity in some institutions, adding uncertainty.	Review and improve the dissemination of the Ikerbasque Policy #6 on Research Fellows Assessment.
26. Funding and salaries	+/-	Ikerbasque has a comprehensive salary scale and career promotion scheme. Yet, salaries are not perceived as competitive enough by some researchers.	Review the salary scale and how individual sclae levels are established and communicated to individual researchers.
27. Gender balance	-/+	There is a gender gap. Female staff ratios are below average and are not improving. Ikerbasque has established a focus group on gender equality and developed certain activities, but a comprehensive Equality Plan needs to be implemented to fulfil this principle.	Implementation of an Equality Plan.
28. Career development	+/-	Ikerbasque has an specific policy on career development (Ikerbasque Policy #4 Career Promotion) but mentors could be included within this scheme.	Coordinate with host institutions mentoring within career development schemes.
29. Value of mobility	+		
30. Access to career advice	+/-	Career advice is offered through host institutions and the Euraxess Service Center managed by Ikerbasque, but could be strengthened.	Improve the dissemination of the services offered by the Euraxess Servce Center at Ikerbasque.
31. Intellectual Property Rights	+		
32. Co-authorship	+		

33. Teaching	+		
34. Complains/ appeals	+/-	Procedures to deal with complaints/appeals of researchers are in place and in compliance with national rules and regulations, and researchers are satisfied with their outcome, but it could be better communicated.	Improve communication of complain procedure and involve researchers in its review.
35. Participation in decision-making bodies	+/-	Ikerbasque's Governing Board is the top managing committee of the Institution, and it is established by its public statutes. Researchers are encouraged to share their opinions through several channels, both individual and collective, personal and anonymous, but do not have a direct participation in decision making bodies.	Include a comprehensive participation scheme for researchers in the process of elaboration of the 2018-2021 Strategic Plan of Ikerbasque. Explain adequately what are the channels established by Ikerbasque to involve researchers in decision-making processes.
Training and Development			
36. Relation with supervisors	+/-	Researchers in R3 are overall satisfied with supervision from mentors/supervisors (Ikerbasque does not have any researchers in R1 or R2 stages). Yet, a more structured relationship could be implemented in certain host institutions.	Coordination with host institutions to ensure that researchers in R3 stages have an structured relationship with supervisors allowing htem to take full advantage of their relationship.
37. Supervision and managerial duties	+		
38. Continuing Professional Development	+/-	Some researchers feel that Ikerbasque could give them more opportunities for professional development through access to training for skills and competencies.	See point 39 of Charter of C&C (below).
39. Access to research training and continuous development	-/+	Some researchers feel that Ikerbasque could give them more opportunities for professional development through access to formal training for skills and competencies.	A career guide could be created in coordination with host institutions, to ensure training in necessary skills and competencies for continuing professional development is

			fulfilled.
40. Supervision	+		
Any additional issues			