



## **HUMAN RESOURCES STRATEGY FOR RESEARCHERS (HRS4R)**

*2008 - 2020 Report*

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## 0. Executive Summary

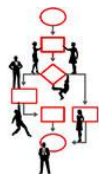
# 2007

Ikerbasque, the Basque Foundation for Science was created in 2007 by the Basque Government to contribute to develop scientific research in the Basque Country.



The European Commission adopted the European Researchers' Charter and the Code of Conduct for Researcher Recruitment, drafting two documents aimed at researchers as well as employers and providers of public and private sector funding.

Ikerbasque signed and adopted both documents in 2008.



To help accommodate the research institutions to the Charter and Code principles, the Commission set out a procedure through which those institutions interested in including them, could design their own Human Resources Strategy .



HR EXCELLENCE IN RESEARCH

Ikerbasque was invited by the European Commission to take part in the 2nd Cohort of HR Strategy Group to implement and HR Strategy related Action Plan.

We developed and deployed a Human Resources Strategy which led to the "HR Excellence in Research" acknowledgement in 2011.



Using a comprehensive approach involving all key stakeholders, Ikerbasque staff completed its second self-assessment in 2013 with positive results. A revised action plan was established for the 2014-2016 period based on this assessment.

# OTM-R

As a result of the seminar organized by the European Commission in January 2016, Ikerbasque has incorporated the OTM-R policy in its processes.



Ikerbasque was evaluated in 2017 by the European Commission after the completion of the 2014-2016 Action Plan. The HRS4R Strategy, the achievements and the overall coherence of the strategy were assessed and were considered an "excellent work" by the EU Commission experts.



After this evaluation, Ikerbasque deployed the 2017-2019 HRS4R Action Plan, which was an updated version of the previous Action Plan. This Action Plan was developed taking into account the results of the evaluations and including some modifications and new elements that were considered necessary.



In 2019, Ikerbasque confirmed again the Endorsement letter to those principles.



At the end of the 2017-2019 Action Plan, the results obtained were gathered, and using many other inputs from all stakeholders of Ikerbasque, the 2020-2022 Action Plan has been drafted under the coordination of the HRS4R Working Group.

## 1. Introduction

Ikerbasque, the Basque Foundation for Science was created in 2007 by the Basque Government to contribute to develop scientific research in the Basque Country by setting different activities, such as attracting researchers, creating new research centres and disseminating the science culture within the society.

During this period, Ikerbasque has recruited over 300 researchers from 28 countries, who have joined the universities and research centers of the Basque Country. These researchers have published more than 7,000 scientific articles in indexed publications, with over 10,000 citations per year. Similarly, the Foundation has contributed to the development of the BEREC (Basque Excellence Research Centres) research centers, a network that is currently comprised of 9 centers working on cutting edge research fields.

In these 13 years of Ikerbasque's progress, the Foundation's researchers have achieved a return of more than 200 million €. This implies that for each euro that the Basque Government has invested in Ikerbasque, a return of almost 2 Euros has been obtained. These resources have been used to foster research by contracting researchers of all levels and investing in equipment and infrastructures.

Ikerbasque has adopted the Advanced Management Model of Euskalit, an upgraded EFQM management model, and guided by its definitions we perform annual evaluations and revisions of the processes, in which all the staff is involved, to ensure the continuous improvement of the operations of the foundation. This management model was recognised in 2011 with the Q award for Management Excellence and in 2015 with the A award for Advanced Management.

## 2. HRS4R: background

The European Commission adopted in 2005 a European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers. These two documents, addressed to researchers as well as research employers and funders in both the public and private sectors, are key elements in the EU's policy to boost researchers' careers.

Specifically, the European Charter for Researchers is a set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers. It constitutes a framework for researchers, employers and funders which invites them to act responsibly and as professionals within their working environment, and to recognise each other as such.

Moreover, the Code of Conduct for the recruitment of researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. These principles and requirements are complementary to those outlined in the European Charter for Researchers. Institutions and employers adhering to the Code of Conduct will openly demonstrate their commitment to act in a responsible and respectable way and to provide fair framework conditions to researchers, with a clear intention to contribute to the advancement of the European Research Area.

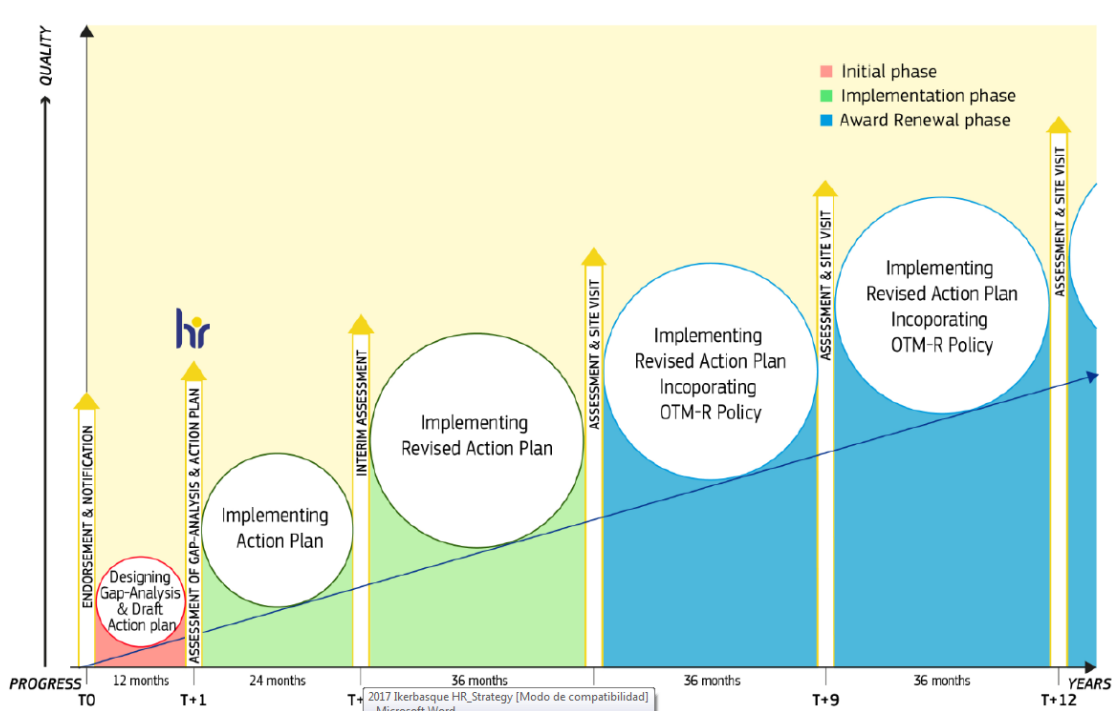
To help accommodate the research institutions to the Charter and Code principles, the Commission set out a procedure through which those institutions interested in including them, could design their own Human Resources Strategy.

This procedure consists of five steps:

1. Preparation of a rigorous Internal Analysis.
2. Publication of the Institution Strategy in the corporate website to maintain and improve the Charter and Code.
3. Evaluation and approval of the Strategy by the Commission.
4. Application and continuous self-assessment of the process by the institution
5. And finally, have the Strategy and its deployment evaluate externally by the Commission every 36 months after initiating the process.

### 3. Development of the HRS4R strategy

The HRS4R strategy in Ikerbasque is embedded within the overall strategy of the institution. We annually evaluate the results of our strategy and deploy a new Action Plan within the framework of the long-term strategy. In addition to the annual evaluation, a specific PDCA 3-year PDCA cycle is used for the HRS4R strategy as proposed by the European Commission.



The Ikerbasque Strategy for attracting talented researchers was established back in 2007 and reflects the commitment for excellence, openness, flexibility, pan-European focus, ethical awareness and ethical and human values. Ikerbasque signed the “Declaration of Commitment to the Principles of the European Charter of Researchers and Code of Conduct for the Recruitment of Researchers” in 2008.

Ikerbasque was invited by the European Commission to take part in the 2nd Cohort of HR Strategy Group to implement and HR Strategy related Action Plan (2011). We developed and deployed a Human Resources Strategy which led to the “HR Excellence in Research” acknowledgement in 2011.

At the end of 2013, Ikerbasque underwent a self-assessment process for reviewing and following-up the implementation of the Action Plan designed in 2011 as part of the continuous improvement of our talent recruitment, retention and recognition of careers processes. The process involved the Governing Board, Researchers, Staff and a variety of stakeholders. After completing that self-assessment, the Revised 2014-2016 Action Plan was developed, focused on the implementation of initiatives internally identified, and the recommendations suggested from the EC.

5 years after the “HR Excellence in Research” acknowledgement was received, Ikerbasque run a new self-assessment process in 2016, which resulted in the HRS4R 2017-2019 Action Plan. The self-assessment process was coordinated by the Ikerbasque HRS4R Working Group, and 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.

A new self-assessment was completed in 2017 with an external evaluation by independent experts of the European Commission and, as a result, Ikerbasque renewed the HR award until 2020.

In 2019, at the end of the 2017-2019 Action Plan, Ikerbasque confirmed its commitment with the Endorsement letter to the Charter and Code.

At the end of the 2017-2019 Action Plan, the results of the Plan were analysed and, along with the gathering of other information received from many other inputs from all stakeholders of Ikerbasque, the HRS4R Working Group developed a Gap Analysis which led to a Revised 2020-2022 Action Plan.

## **IKERBASQUE STRATEGY STATEMENT**

Ikerbasque fosters the professionalism and excellence of the research activity and research career in the Basque Country, Spain and Europe. Our policy for recruiting scientists guarantees impartiality through the whole selection process, by prevailing competency and evidence-based qualifications. The principles of openness and fairness guide the evaluation of every individual's achievement, this leads to a personal and personalised evaluation and degree of development which may include training and mentoring.

The remuneration policy is set taking into account the constraints of the Basque and Spanish Science system, and is based in personal situation, research path and performance.

At Ikerbasque, we prefer to use the term of Person or Researcher, instead of Human Resource when we are referring to research staff, but since the European Common Strategy uses this term (HR), we will use it within this document, to comply with the common terminology.

### ***The mean of the Charter and Code for Ikerbasque researchers***

Ikerbasque recognises that research merit of the research staff of the foundation that work on very different scientific areas, from experimental sciences to humanities, that can not only be evaluated based only in publication rates, but also in researchers' training, fund raising via competitive projects, dissemination and knowledge transfer, among others. Indeed, these broader skills are particularly valued as they are essential to modern science careers. Becoming an acknowledged institution for the Charter and Code offers a greater level of accountability and clarity for Ikerbasque.

### ***The mean of the Charter and Code for Ikerbasque managing staff***

The management team of Ikerbasque is selected by finding professionals with a strong background in research management, and also a wide range of competencies beyond the big science indicators, such as management and communication skills, teamwork and knowledge transfer, among others.



## 4. 2011-2013 Action Plan

Regularly a self-assessment is performed so the results of the Action Plan can be measured and the Strategy reviewed. Ikerbasque carried out its first self-assessment in 2013.

As a result of the feedback received by the different groups, Ikerbasque staff completed the self-assessment with the following results:

FOCUS POINT	ACTIONS	RESPONSIBLES	IMPLEMENTATION PERIOD	STATUS
General	Define and publish Ikerbasque Code of Conduct.	Develop: MT	2011	Completed
	Ensure that research activities are made known to society through newsletter and open conferences.	Develop: MT & IR	2011 - 2012	Completed
Recruitment	Development of a transparent web portal with all research positions available in the Basque Country.	Develop: MT	2011	Completed
	Offer complete on-line information about the phases and result of the evaluation process in the recruitment calls.	Develop: MT Supervise: SAC	2011 - 2012	Completed
	Definition and implementation of actions to foster applications from female researchers.	Develop: MT Supervise: EC	2011 - 2012	Completed
	Increase the number of female researchers in the evaluation committees.	Define: EC Develop: MT	2011 - 2012	Completed
Research Activity	Establish an "Ikerbasque Code of Conduct for staff and researchers" and communicate it to the stakeholders	Develop: MT Supervise: EC	2011/07 2011/09	Completed
Continuous improvement	Improvement of our intranet to foster long life training and continuous improvement of professional profile.	Develop: MT Supervise: IR	2011/09	Completed
	Provide additional information on the living and working conditions in Spain, such as retirement and pensions systems, working permits, etc.	Develop: MT Supervise: IR	2011/06	Completed
	Self-assessment.	Develop: MT Supervise: EC	2013	Completed

### Acronyms

IR: Ikerbasque Researchers | SAC: Scientific Advisory Board | EC: Executive Committee | MT: Staff/Management Team

## 5. 2014-2016 Action Plan

36 months after our first self-assessment, Ikerbasque conducted a second internal review at the end of the 2014-2016 Action Plan in order to ease the External Evaluation by the European Commission.

Our self-assessment is built using a comprehensive approach involving all key stakeholders who took part in the development of our Strategy & Action Plan, as well as new players who have become relevant during the past years to fulfill our Strategy.

Apart from building feedback channels with key stakeholders, a specific working group was created to address the gender inequality problem, which was already part of our 2011 Action Plan and is nowadays a key issue in our HRS4R Strategy.

As a result of the feedback received by the different groups, Ikerbasque staff completed the self-assessment with the following results:

FOCUS POINT	ACTIONS	RESPONSIBLE	IMPLEMENTATION PERIOD	STATUS
General	Define and deploy 2014-2017 Strategic Plan	EC, GM, MT, P01 Process leader	2014 - 2016	Completed
	Analysis of gender and science	EC, GM, MT, P03 Process leader	2014 - 2015	Completed
Recruitment	Adapt to new regularization process for foreign researchers in the Entrepreneurship Law	P04 Process leader	2014	Completed
	Renew and improve the Welcome Plan	P04 Process leader	2014	Completed
	Improve communication and feedback to non selected applicants	MT, P05 Process leader	2014	Completed
	Create an Access database to manage research talent	MT, P08 Process leader	2014 - 2015	Completed
Research Activity and Conditions	Improve salary conditions of Research Fellows	GM, MT	2015 - 2016	Completed
	Define and implement a consolidation process for Research Fellows	EC, GM, MT, EC	2015 - 2016	Completed
	Improve the triennial assessment process	MT, P05 Process leader	2014	Completed
	Establish personal interviews with each researcher prior to triennial assessment	P05 Process leader	2015 - 2016	Completed
	Annual joint workshop with Ikerbasque researchers	P05 Process leader	2014 - 2016	Completed

	Improve intranet options for triennial assessment	P05 Process leader	2015	Completed
	Reinforce the annual plan for personal interviews with researchers	MT, P05 Process leader	2014 - 2016	Completed
	Improve intranet for salary information and payslip documents	MT, P05 Process leader	2015	Completed
	Dissemination of research results of researchers	P07 Process leader	2014 - 2016	Completed
	InfoDays on H2020 calls for local researchers	EC, GM, MT, P03 Process leader	2014 - 2016	Completed
<b>Continuous improvement</b>	Improve the satisfaction surveys to stakeholders	MT	2014 - 2015	Completed
	External independent evaluation and assessment of management system	GM, MT, P01 Process leader	2015	Completed

Acronyms

IR: Ikerbasque Researchers | SAC: Scientific Advisory Board | EC: Executive Committee | MT: Staff/Management Team | GM: General Manager

**2014-2016 Action Plan Monitoring**

As a result of the feedback received by the different groups, Ikerbasque staff monitors regularly the deployment of the Action Plan.

Ikerbasque will be externally evaluated in 2017 by the European Commission. Our HRS4R Strategy will be assessed, including the achievements made so far and the overall coherence of the Strategy.

## 6. 2017-2019 Action Plan

An updated Strategy and Action Plan was drafted in 2016 after completing the above mentioned internal review, to be deployed in the 2017-2019 period.

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 European Commission.

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. This process involved the participation of over 1,000 people. In order to be efficient, the participation of each group followed a procedure tailored to the specifics of each group, which included:

STAKEHOLDER	PARTICIPATION METHOD
Ikerbasque Research Fellows	<ul style="list-style-type: none"> <li>Anonymous Satisfaction survey (on-line)</li> <li>Workshop</li> <li>Personal Interviews</li> <li>Focus Group on Gender Equality</li> </ul>
Ikerbasque Research Professors	<ul style="list-style-type: none"> <li>Anonymous Satisfaction survey (on-line)</li> <li>Workshop</li> <li>Personal Interviews</li> <li>Focus Group on Gender Equality</li> </ul>
Call Applicants	<ul style="list-style-type: none"> <li>Anonymous Satisfaction survey (on-line) tailored for each call</li> </ul>
Basque Research Community	<ul style="list-style-type: none"> <li>Anonymous Satisfaction survey (on-line)</li> </ul>
Host Institutions	<ul style="list-style-type: none"> <li>Anonymous Satisfaction survey (on-line)</li> <li>Periodic interviews</li> <li>Focus groups</li> <li>Meetings with the Scientific Directors of Research Centers and Universities</li> </ul>
Ikerbasque ISAB	<ul style="list-style-type: none"> <li>Working session</li> </ul>
Governing Board	<ul style="list-style-type: none"> <li>Board Meetings</li> </ul>
Executive Committee	<ul style="list-style-type: none"> <li>Committee meetings</li> </ul>
Staff	<ul style="list-style-type: none"> <li>Anonymous Satisfaction survey (on-line)</li> </ul>

	<ul style="list-style-type: none"> <li>• Focus groups</li> <li>• Personal Interviews</li> <li>• Management meetings</li> <li>• Focus Group on Gender Equality</li> </ul>
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2017-2019 Action Plan has been structured under the 4 thematic areas of the Charter and Code, specifically addressing the individual articles where a gap was detected during the gap analysis.

<b>I. Ethical and Professional Aspects</b>					
<b>C&amp;C</b>	<b>ACTIONS</b>	<b>TIMING</b>	<b>RESPONSIBLES<sup>1</sup></b>	<b>INDICATORS/TARGET</b>	<b>STATUS</b>
3, 8, 24	Review and improve Ikerbasque Policies on Research Expectations to align them with C & C	2017	MT, P05 Process leader	Last update of Ikerbasque policies Satisfaction of IR	Completed
5	Updated and web-based Welcome Plan	2017-2018	MT, P05 Process leader	Last date of update Satisfaction on new IR	Completed
9	Define public engagement tools in the 2018-2021 Strategic Plan	2017	EC, MT, IR, P07 Process leaders	Published: Satisfaction of IR with their participation	Completed
10, 27	Implementation of an Equality Plan	2017-20198	GB, EC, MT	Published: Number of female applicants and researchers	Completed

<b>II. Recruitment and Selection</b>					
<b>C&amp;C</b>	<b>ACTIONS</b>	<b>TIMING</b>	<b>RESPONSIBLES</b>	<b>INDICATORS/TARGET</b>	<b>STATUS</b>
13	New call templates	2017	P04 Process leader	Satisfaction of applicants	Completed
14, 20	Review of Selection Process. Comprehensive Policy about the Evaluation Committee	2018	EC, GM, P04 Leader	Satisfaction of applicants Number of complains	Completed
14, 15	Guide for Evaluators publicly available	2017-2018	MT, P04 Process Leader	Satisfaction of applicants Number of complains	Completed
12, 13, 15, 18	New Sciencecareers website connected to the revamped Euraxess site	2017	MT, P03 Process leader	Number of applicants Share of foreign applicants	Completed
21, 25	Review and dissemination of Ikerbasque #6 Policy on RF Assessment	2017	MT, IR	Satisfaction of applicants	Completed

<sup>1</sup> GB: Governing Board; EX: Executive Committee; IR: Ikerbasque Researchers; GR: General Manager; MT: Management Team; SAC: Scientific Advisory Committee

<b>III. Working Conditions and Social Security</b>					
<b>C&amp;C</b>	<b>ACTIONS</b>	<b>TIMING</b>	<b>RESPONSIBLES</b>	<b>INDICATORS/TARGET</b>	<b>STATUS</b>
23	Develop Science.eus website to include funding instruments	2017-2018	MT	Published:	Completed
26	Review Ikerbasque policies to explain better career development and salary promotions	2017	EC, GM, P05 Process leader	Satisfaction of IR with triennial assessment	Completed
28	Analyse best-practices in mentoring in other institutions	2018	GM, MT	Satisfaction of IR with career development	Completed
30	Develop a specific website for the Euraxess Service Center	2017-2018	MT	Satisfaction of IR with career development	Completed
34	Review the complains procedure with participation of researchers, Appropriate dissemination of the procedure-	2017-2019	GM, MT, IR	Number of complains Overall satisfaction of IR about Ikerbasque	Completed
35	Include a comprehensive participacion scheme for researchers in the 2018-2021 Strategic Plan	2017		Overall satisfaction of IR about Ikerbasque	Completed
22	New Ikerbasque website to enhance research results	2017		Awareness in society	Completed

<b>IV. Training and Development</b>					
<b>C&amp;C</b>	<b>ACTIONS</b>	<b>TIMING</b>	<b>RESPONSIBLES</b>	<b>INDICATORS/TARGET</b>	<b>STATUS</b>
36	Coordination meetings with Directors of host institutions to ensure appropriate supervision	2017-2019	GM	Satisfaction surveys results	Completed
38,39	Development of a career guide with training instruments for researchers	2018	MT, P05 Process leader	Satisfaction of IR with career development	
38,39	Improvement of the Intranet to ease interaction between Ikerbasque and researchers	2018	MT	Number of complains Overall satisfaction of IR about Ikerbasque	Completed

## 7. 2020-2022 Action Plan

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 our three categories: Research Fellows (R3), Research Associates (R4) 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 3-year PDCA cycle is used for the HRS4R strategy as proposed by EC.

During the self-assessment process in 2019 and early 2020, 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, as well as external consultats. In order to be efficient, the participation of each group followed a procedure tailored to the specifics of each group, which included:

- Personal detailed and structured interviews with all researchers (2016-2019)
- On-line yearly survey to all Ikerbasque researchers (2016-2019)
- On-line survey to all applicants of our 2019 calls (195 applicants), tailored for each call
- Focus Group Workshop on Gender Equality (researchers + management Staff) in 2019
- General Workshop with more than 130 researchers (July 2019)
- Benchmarking of experiences with other institutions regarding HRS4R (Sept 2019)
- Meeting of the Scientific Advisory Board (14th November 2019)
- Self-assessment conducted by an external consultant (December 2019)
- HRS4R Working Group meetings to analyze the results of the previous Action Plan (16th December 2019)
- Meetings with the Scientific Directors of Research Centers and Universities in the Basque Country (10th and 12th February 2020, with more than 30 participants)
- On-line survey to all researchers regarding the principles of the HRS4R Charter & Code (March 2020)
- On-line survey to host institutions regarding the principles of the HRS4R Charter & Code (March 2020)
- Meetings of the Management Board (31st March 2020)
- Revision and approval of the HRS4R 2020-2022 Action Plan by the Board (2nd April)

The Ikerbasque HRS4R Working Group gathered and analyzed all the information provided by these different inputs, and defined the next Action Plan.

The Action Plan was revised by the Management Board on the 31<sup>st</sup> March 2020, and presented to the Board on the 2<sup>nd</sup> April 2020. After debate, the specific HR Strategy 2020-2022 Action Plan was approved by the Board of Ikerbasque and its deployment started.

<b>I. Ethical and Professional Aspects</b>							
#	C&C	ACTIONS	TIMING	RESPONSIBLES <sup>2</sup>	INDICATORS	TARGET	STATUS
1	4, 5, 6, 8	Review and improve Ikerbasque policies.	2022	EC, GM, P05 Process leader	Renewal date of policies	> 2019	
2	10, 27	Improve the % of women incorporated.	2020-2022	GB, EC, MT, SAB	% of women incorporated	40%	Ongoing
3	All	Define the 2022-2025 strategic plan.	2021	EC, GM, MT, P01 Process leader	Strategic Plan approval	Y/N	
4	8, 9	Develop a dissemination tool of impact for researchers	2021	GR, MT, P05 and P07 Process leaders	Satisfaction of IR with dissemination tools provided	80%	
5	9, 10, 27	Consolidate an award for brilliant women researchers.	2020	GB, EC, GR, MT, SAB, Equality plan leader	Consolidation of the award in the 2020-2022 period	Y/N	Ongoing
6	10, 27	Create a forum to share good practices in gender policy including all interested Basque research institutions.	2020	GR, MT, Equality plan leader	Creation of the forum	Y/N	

<b>II. Recruitment and Selection</b>							
#	C&C	ACTIONS	TIMING	RESPONSIBLES	INDICATORS	TARGET	STATUS
7	14	Partial renew the Scientific Advisory Board (SAB) for recruitment and selection processes.	2020-2022	GB, EC, GR, SAB	Renewal date of some of the SAB members	> 2019	Ongoing
8	13	Produce new call templates.	2022	GR, MT, P04 process leader	Call template renewal date	> 2019	
9	13	Boost new channels of recruitment.	2020	GR, MT, P04 and P07 process leaders	Number of applicants to our calls	Δ > 0	

<sup>2</sup> GB: Governing Board; EC: Executive Committee; IR: Ikerbasque Researchers; GR: General Manager; MT: Management Team; SAC: Scientific Advisory Board



10	12	Further complete the Welcome Plan.	2021	GR, MT, P05 process leader	Welcome Plan renewal date	> 2019	
11	11, 14	Improve the evaluation area for website evaluators.	2020	MT, P05 and P08 process leaders	Number of evaluators at disposal	$\Delta > 0$	Ongoing
12	9, 12	Extend the science.eus website to present the Basque Country as an attractive place for researchers abroad.	2021	GR, MT, science.eus manager	+Number of applicants to our calls +Visits and job offers posted in the portal	$\Delta > 0$ in our calls +100 offers	
13	13	Review the Ikerbasque Fellows call.	2020	GR, MT, P04 process leader	Number of applicants to our calls	$\Delta > 0$ in RFs call	
14	11, 12, 16	Open the recruitment procedure from other calls.	2020	GR, MT, P04 process leader	Number of applicants to our calls	$\Delta > 0$	Ongoing
15	13	Review of the permanent positions call.	2020	GR, MT, P04 process leader	Number of applicants to our calls	$\Delta > 0$ in perm. call	

### III. Working Conditions and Social Security

#	C&C	ACTIONS	TIMING	RESPONSIBLES	INDICATORS	TARGET	STATUS
16	23, 24, 25	Review the working conditions of youngest researchers.	2020-2022	GR, MT, P05 process leader	Satisfaction of younger IR regarding their working conditions	80%	
17	26	Review Research Associates position definition.	2020-2022	GR, MT, P05 process leader	Overall satisfaction of Research Associates	80%	
18	28	Review the career promotion plan and its coherence between categories.	2020	GR, MT, P05 process leader	Satisfaction of IR with career development	80%	
19	37	Analyze best practices in mentoring in other institutions.	2020-2022	GR, MT	Satisfaction of IR with career development	80%	
20	All	Opt to the renewal of the HRS4R logo in 2021.	2021	EC, GR, MT	Launching of the HRS4R logo renewal	Y/N	

21	34, 35	Strengthen the HRS4R Working Group.	2020	GR, MT, IR	Satisfaction of IR with their participation in decision-taking bodies	80%	Completed
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IV. Training and Development							
#	C&C	ACTIONS	TIMING	RESPONSIBLES	INDICATORS	TARGET	STATUS
22	28, 30, 34, 35	Further develop the intranet content.	2022	GR, MT, P05 and P08 process leaders	Satisfaction of IR in their relation with management staff	80%	
23	8, 37, 40	Automate the publications of researchers in the intranet.	2020	GR, MT, P05 and P08 process leaders	Satisfaction of IR with dissemination tools provided	80%	Ongoing
24	32	Extend the Ikerbasque web page to ease contact between researchers to foster collaboration.	2022	GR, MT, P08 process leaders	Satisfaction of IR with professional development tools	80%	
25	30	Develop a career guide for researchers.	2022	GR, MT, P05 process leader	Career guide developed and published	Y/N	
26	All	Yearly self-assessment.	2020-2022	GR, MT	Self-assessment performed	Y/N	
27	36	Coordination meetings with host institutions Directors.	2020-2022	EC, GR	Number of coordination meetings held	6	
28	38, 39	Training about the incoming Horizon Europe program.	2020	GR, P05 process leader	Satisfaction of IR with training and professional development tools	80%	
29	38, 39	Information to researchers about opening calls and other funding instruments.	2020	GR, P05 process leader	Satisfaction of IR with training and professional development tools	80%	Completed
30	8, 9	Increase the visibility of the work done by the youngest researchers.	2020-2022	GR, MT, P07 process leaders	Satisfaction of IR with dissemination tools provided	80%	

## 8. Open, Transparent, Merit-Based Recruitment policy

As stated by the *Report of the Working Group of the Steering Group of Human Resources Management under the ERA*, “By ensuring that the best person for the job is recruited, open, transparent and merit-based recruitment of researchers (OTM-R) improves the effectiveness of national research systems, guarantees equality, especially for under-represented groups, and boosts trans and international co-operation. This in turn promotes optimal circulation of scientific knowledge”.

As member of the 2nd cohort of organizations involved in the development of HRS4R, we have analyzed, assessed and integrated the recommendations and principles of OTM-R into our internal recruitment policies.

In 2016 Ikerbasque used the Report of the Working Group of the Steering Group of Human Resources Management on Open, Transparent and Merit-based Recruitment (OTM-R) of Researchers and implemented the OTM-R toolkit and recommendations by the European Commission. This was a smooth process and highlighted that Ikerbasque has been recruiting researchers based on Open, Transparent and Merit-based processes since it was created in 2007.

Open, transparent and merit-based recruitment (OTM-R) brings benefits to researchers, institutions, a country's research system, contributes to the full implementation of the European Research Area (ERA) and to an increase in the cost-effectiveness of investments in research. More specifically, OTM-R ensures that the best person for the job is recruited, guarantees equal opportunities and access for all, facilitates developing an international portfolio (cooperation, competition, mobility) and makes research careers more attractive.

Nonetheless, the systematic review of our recruitment instruments using the OTM-R checklist has allowed Ikerbasque to improve its internal analysis, leading to an improved “Talent Attraction” process and an OTM-R policy.

The result is the current Ikerbasque OTM-R Policy, effective November 2016 and formally endorsed by the Governing Board in May 2017.

## Annex I: Gap Analysis (2020)

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 <b>indicate the actual "gap"</b> 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	+		
4. Professional attitude	+		
5. Contractual and legal obligations	+/-	Lack of knowledge of the contractual and legal obligations by some of the research staff of Ikerbasque.	Incorporate a summary of employees' rights and obligations in the welcome plan.

6. Accountability	+/-	Strengthen the accountability of researchers towards society to disseminate their results.	Improve the knowledge of all the researchers of the Ikerbasque Policies #2, #4 and #6 on Research Expectations. Involve all researchers in the dissemination strategy.
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 #2, #4 and #6 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. Develop new dissemination channels. Reinforce public dissemination efforts in coordination with host institutions.
10. Non discrimination	+/-	There is a gender gap and Ikerbasque needs to deploy its Equality Plan to fulfil this principle.	Implementation of an Equality Plan.
11. Evaluation/ appraisal systems	+		
Recruitment and Selection			
12. Recruitment	+		
13. Recruitment (Code)	+/-	Advertisements positions 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. Technical tools could be developed to ease the selection process.	Review of P04 Talent Attraction Process. Ease the candidates evaluation and selection process.
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)	+		
21. Postdoctoral appointments (Code)	+		
Working Conditions and Social Security			
22. Recognition of the profession	+		
23. Research environment	+		
24. Working conditions	+		
25. Stability and permanence of employment	+		

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. Benchmark with other funding programs.
27. Gender balance	-/+	There is a gender gap. Ikerbasque has developed an Equality Plan which needs to be implemented to fulfil this principle.	Deployment of the Equality Plan.
28. Career development	+/-	There is a clear career development scheme, but the new Research Associates position has to be adjusted to add cohesion to the whole track.	Improve the cohesion of the career development plan.
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 Service Center at Ikerbasque. Develop a career guide for researchers.
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.	Strengthen the channels of communication between Ikerbasque and its researchers to involve researchers in decision-making processes.
Training and Development			
36. Relation with supervisors	+		
37. Supervision and managerial duties	+/-	Our senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators.	Improve the knowledge of all the researchers of the Ikerbasque Policies #2 and #6 on Research Expectations. Involve senior researchers in the training of young researchers and leading research groups.
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.	Develop new tools of training for researchers.
40. Supervision	+		
Any additional issues			



## Annex II: OTM-R Checklist (2020)

	O	T	M	Answer: <i>Yes completely / Yes substantially / Yes partially / No</i>	Improvement actions	Suggested indicators (or form of measurement)
<b>OTM-R system</b>						
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	Yes partially	Translate the policy to Spanish and Basque	<ul style="list-style-type: none"> <li>Published Y/N</li> </ul>
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes substantially	Review last version of P04 "Talent Attraction" process	<ul style="list-style-type: none"> <li>Date of latest update</li> <li>Satisfaction of our call candidates with the information given</li> </ul>
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	Yes substantially	Specific working session of P04 "Talent Attraction" process working group about OTM-R procedures	<ul style="list-style-type: none"> <li>Training programs attended for OTM-R</li> <li>Number of staff following training in OTM-R</li> </ul>
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes substantially	Strengthen the dissemination of our calls in social networks	<ul style="list-style-type: none"> <li>Applicants number coming from online</li> <li>Subscribers to our international newsletters</li> </ul>

5. Do we have a quality control system for OTM-R in place?	x	x	x	Yes substantially	Continuous self-assessment of the recruitment process	<ul style="list-style-type: none"> <li>• Satisfaction of host institutions</li> <li>• Research Fellows consolidated</li> </ul>
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes completely		<ul style="list-style-type: none"> <li>• Trend of the share of external candidates in our calls</li> </ul>
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes completely		<ul style="list-style-type: none"> <li>• Trend in the share of applicants from abroad</li> </ul>
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	Yes substantially	Monitor women application and success rates	<ul style="list-style-type: none"> <li>• Trend in the share of applicants among underrepresented groups (frequently women)</li> </ul>
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes completely		<ul style="list-style-type: none"> <li>• Trend in the share of applicants from outside the institution</li> <li>• Overall satisfaction of our calls candidates with the process</li> </ul>
10. Do we have means to monitor whether the most suitable researchers apply?				Yes completely		<ul style="list-style-type: none"> <li>• Satisfaction of host institutions</li> </ul>
<b>Advertising and application phase</b>						
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes completely		<ul style="list-style-type: none"> <li>• Overall satisfaction of our calls candidates with the process</li> </ul>

12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		Yes completely		<ul style="list-style-type: none"> <li>Overall satisfaction of our calls candidates with the process</li> </ul>
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes completely		<ul style="list-style-type: none"> <li>The share of job adverts posted on EURAXESS</li> <li>Trend in the share of applicants recruited from abroad</li> </ul>
14. Do we make use of other job advertising tools?	x	x		Yes substantially	Explore social networks to increase visibility of our offers	<ul style="list-style-type: none"> <li>Applicants to our calls</li> </ul>
15. Do we keep the administrative burden to a minimum for the candidate?	x			Yes completely		<ul style="list-style-type: none"> <li>Overall satisfaction of our calls candidates with the process</li> </ul>
<b>Selection and evaluation phase</b>						
16. Do we have clear rules governing the appointment of selection committees?		x	x	Yes completely		<ul style="list-style-type: none"> <li>Statistics on the composition of panels</li> </ul>
17. Do we have clear rules concerning the composition of selection committees?		x	x	Yes completely		<ul style="list-style-type: none"> <li>Written guidelines, published in the web</li> </ul>
18. Are the committees sufficiently gender-balanced?		x	x	Yes substantially	Improve the gender balance in the Scientific Advisory Board	<ul style="list-style-type: none"> <li>Gender equality in the Scientific Advisory Board</li> </ul>

19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	Yes completely		<ul style="list-style-type: none"> <li>Written guidelines</li> </ul>
<b>Appointment phase</b>						
20. Do we inform all applicants at the end of the selection process?		x		Yes completely		<ul style="list-style-type: none"> <li>Share of applicants who receive an answer</li> </ul>
21. Do we provide adequate feedback to interviewees?		x		Yes completely		<ul style="list-style-type: none"> <li>Overall satisfaction of our calls candidates with the feedback given</li> </ul>
22. Do we have an appropriate complaints mechanism in place?		x		Yes partially	Review complaints procedure	<ul style="list-style-type: none"> <li>Statistics on complaints</li> </ul>
<b>Overall assessment</b>						
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				Yes substantially	Review assessment process	<ul style="list-style-type: none"> <li>OTM-R control panel</li> </ul>