HUMAN RESOURCES STRATEGY FOR RESEARCHERS (HRS4R)

2008 - 2019 Report

Content

0. Executive Summary

2007

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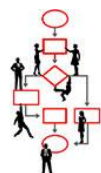
To help accommodate the research institutions to the Charter and Code principles, the Commission set out a procedure through which those institutions interested in including them, could design their own Human Resources Strategy .

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 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.

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

Ikerbasque will be externally evaluated in 2020 by the European Commission. Our HRS4R Strategy will be assessed, including the achievements made so far and the overall coherence of the Strategy.

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 24 countries, who have joined the universities and research centers of the Basque Country. These researchers have published more than 6,000 scientific articles in indexed publications, with over 10,000 citations per year. Similarly, the Foundation has contributed to the development of the BERC (Basque Excellence Research Centres) research centers, a network that is currently comprised of 9 centers working on cutting edge research fields.

In these 10 years of Ikerbasque's progress, the Foundation's researchers have achieved a return of € 175 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 EFQM (www.efqm.org) as 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 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. Both documents have become key elements of European Union policy, making research an attractive career and stimulating economic growth and employment in Europe.

Specifically, the European Charter for Researchers outlines the functions, responsibilities and rights of investigators and their employers. The aim is to ensure that the relation between these parties contributes to successful performance in the generation, transfer and shared use of knowledge, as well as the professional development of researchers from the early stages.

Moreover, the Code of Conduct for the hiring of researchers was drawn up to improve enrolment, so that selection procedures are fair and transparent. The researcher's merit should be measured not only by the number of publications, but also by a wider range of evaluation criteria such as education and teaching, supervision, teamwork, knowledge transfer, management and public awareness-raising activities.

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.

The initiative of defining and deploying this Strategy is carried out in collaboration with the Commission and other institutions, members of the pilot group, including the other institutions that already have this acknowledgement and those in the process of obtaining it, which constitutes the best forum for exchanging and sharing best practices.

The European Charter for Researchers and Code of Conduct for the Recruitment of Researchers are best practice guidelines for research institution and individuals within the European Research Area (ERA). They are designed to promote equal rights and obligations for individual researchers throughout Europe by specifying the roles, responsibilities and entitlements of researchers, as well as those of funders and/or employers of researchers. They guarantee attractive research careers and improve employment and working conditions for European researchers. The guidelines of the Charter and Code address all European research organisations and universities, both public and private.

3. Development of the HRS4R strategy

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

The HRS4R strategy in Ikerbasque is embedded within the overall strategy of the institution. Annually we 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 cycle is used for the HRS4R strategy as proposed by the European Commission.
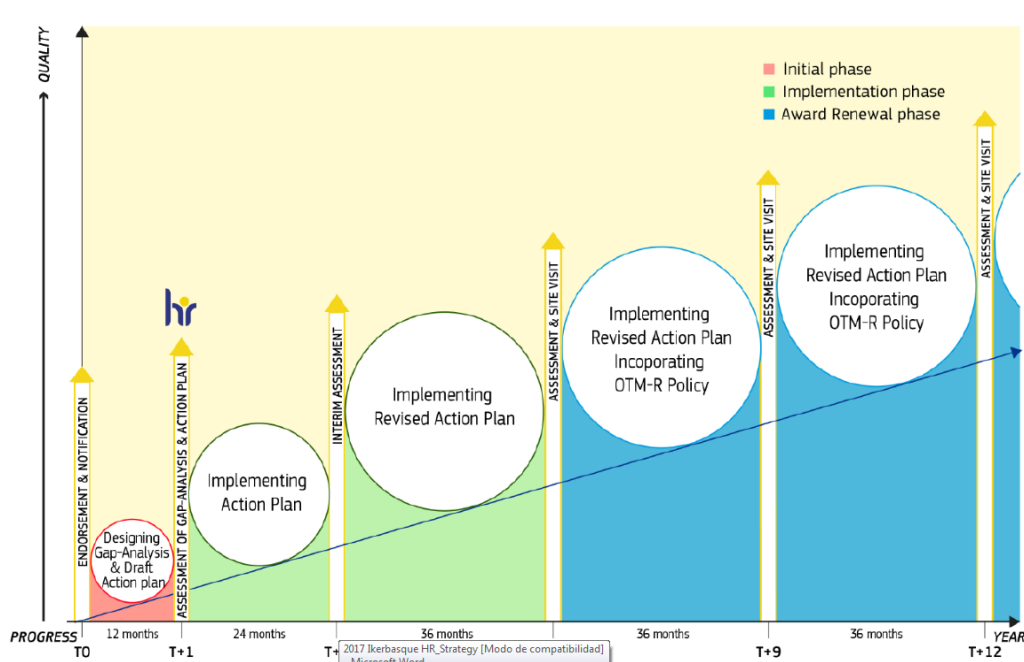
During 2013, Ikerbasque developed a self-assessment process which involved the Governing Board, Researchers, Staff and a variety of stakeholders. A new revision with further improvement actions was proposed and implemented.

2011	2013	2016
•Internal analysis •Action Plan	•Self Assessment •Revised Action Plan	•Self Assessment •External Evaluation •Revised Action Plan

After 5 years since the "HR Excellence in Research" acknowledgement was received, Ikerbasque run a new self-assesment process in 2016, which resulted in the proposed 2017-2019 Action Plan, to be completed with an external evaluation, in order to set the HRS4R Strategy for the coming years.

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 (mainly the public University 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, 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: Self assessment

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: Self assessment

36 months after our first self-assessment, Ikerbasque , conducted a second internal review 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	Ongoing
	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	Ongoing
	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
Continuous improvement	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. Updated Action Plan 2017 -2019

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	• Anonymous Satisfaction survey (on-line) • Workshop • Personal Interviews • Focus Group on Gender Equality
Ikerbasque Research Professors	• Anonymous Satisfaction survey (on-line) • Workshop • Personal Interviews • Focus Group on Gender Equality
Call Applicants	• Anonymous Satisfaction survey (on-line) tailored for each call
Basque Research Community	• Anonymous Satisfaction survey (on-line)
Host Institutions	• Anonymous Satisfaction survey (on-line) • Periodic interviews • Focus groups • Meetings with the Scientific Directors of Research Centers and Universities

Ikerbasque ISAB	• Working session
Governing Board	• Board Meetings
Executive Committe	• Committee meetings
Staff	• Anonymous Satisfaction survey (on-line) • Focus groups • Personal Interviews • Management meetings • Focus Group on Gender Equality

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.

I. Ethical and Professional Aspects					
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES[1]**	**INDICATORS/TARGET**	**STATUS**
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	Ongoing
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	Ongoing

II. Recruitment and Selection					
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES**	**INDICATORS/TARGET**	**STATUS**
13	New call templates	2017	P04 Process leader	Satisfaction of applicants	Completed
14, 20	Review of Selection Process. Comprehensive Policy about the Evaluation Committe	2018	EC, GM, P04 Leader	Satisfaction of applicants Number of complains	Ongoing
14,	Guide for Evaluators	2017-	MT, P04	Satisfaction of	

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[1] GB: Governing Board; EX: Executive Committe; IR: Ikerbasque Researchers; GR: General Manager; MT: Management Team; SAC: Scientific Advisory Committe

15	publicly available	2018	Process Leader	applicants Number of complains	
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

III. Working Conditions and Social Security					
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES**	**INDICATORS/TARGET**	**STATUS**
23	Develop Science.eus website to include funding instruments	2017-2018	MT	Published:	
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	
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

IV. Training and Development					
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES**	**INDICATORS/TARGET**	**STATUS**
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	Ongoing

7. 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 transand 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

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	Review of P04 Talent Atraction Process. Develop and publish a policy for the Evaluation

		work of the Evaluation Committes should be governed by a public policy.	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 specific conditions of each host institution could be better coordinated.	Ensure that Ikerbasque Policies #1 and #5 on 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			

Annex II: OTM-R Checklist

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list[2]

OTM-R checklist for organisations

	Open	Trans-parent	Merit-based	Answer: ++ Yes, *completely* +/-Yes, *substantially* -/+ Yes, *partially* -- *No*	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	+/-	http://www.ikerbasque.net/en/about-us/ethics-and-code-conduct
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-	Last version of P04 " Talent Atraction" process [Last update: January 2016]
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	Existence of training programmes for OTM-R Number of staff following training in OTM-R Working session of P04 "Talent Atraction" process Working Group about OTM-R procedures
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	All our recruitment processes use a Web-based tool (http://calls.ikerbasque.net)
5. Do we have a quality control system for OTM-R in place?	x	x	x	-/+	Results of Satisfaction survey to applicants Number of review meetings of the Talent Atraction" process Working Group
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	Trend in the share of applicants from outside the institution
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	Trend in the share of applicants from abroad Trend in the share of applicants who meet MSCA mobility criteria

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[2] *http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies*

Question						Comments / Indicators
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	+/-		Trend in the share of female applicants Trend in success rates of female applicants
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++		Trend in the share of applicants from outside the institution
10. Do we have means to monitor whether the most suitable researchers apply?				++		Trend in the share of eligible applicants Trend in the internal scores assigned by the Evaluation Committee to applicants Trend in the number of applicants who reach the expected threshold
Advertising and application phase						
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++		See "00 Ikerbasque Call Template"
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [*see Chapter 4.4.1 a) of the OTM-R expert report*[3]]	x	x		+-		See "00 Ikerbasque Call Template"
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++		All our job adverts are posted on EURAXESS; Trend in the share of applicants recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x		++		Outreach Plans for each Call.
15. Do we keep the administrative burden to a minimum for the candidate? [*see Chapter 4.4.1 b)* [45]]	x			++		Trends in the "Application Process" item in the Satisfaction Surveys for Applicants. Number of documents required to applicants
Selection and evaluation phase						
16. Do we have clear rules governing the appointment of selection committees? [*see Chapter 4.4.2 a)* [45]]		x	x	+/-		Share of external experts in our Evaluation Committee (external meaning outside the institution)
17. Do we have clear rules concerning the composition of selection committees?		x	x	+/-		Written guidelines
18. Are the committees sufficiently gender-balanced?		x	x	-/+		Share of women in our Evaluation Committee

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[3] http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies

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	++	Written guidelines Structured Web-Based evaluation tool
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Web-based tool: "Status of your application" Templates for communication with applicants
21. Do we provide adequate feedback to interviewees?		x		++	Web-based tool: Individual evaluation reports
22. Do we have an appropriate complaints mechanism in place?		x		+/-	Statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	Indicators of P04 "Talent Atraction" process P04 "Talent Atraction" process review meetings