TEMPLATE 3: INTERNAL REVIEW

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	208
Of whom are international (i.e. foreign nationality)	*
Of whom are externally funded (i.e. for whom the organisation is host organisation)	0
Of whom are women	32
Of whom are stage R3 or R4[1] = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	208
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	0
Of whom are stage R1 = in most organisations corresponding with doctoral level	0
Total number of students (if relevant)	0
Total number of staff (including management, administrative, teaching and research staff)	5
RESEARCH FUNDING (figures for most recent fiscal year)	**€**
Total annual organisational budget	16,4 million
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,…)	12,4 million
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	4 million
Annual funding from private, non-government sources, designated for research	0
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
Ikerbasque, the Basque Foundation for Science, was created in 2007 by the Basque Government to strengthen the Basque Science System through programmes to attract and consolidate researchers, in cooperation with research centres and universities. *So far, Ikerbasque has hired 143 permanent researchers and 65 young researchers, who have published **4.209** articles in indexed journals and have obtained more than 120 million euros for research projects. These resources are used to foster science in the Basque Country by hiring researchers of all levels and investing in equipment and infrastructures.*	

---

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

2. NARRATIVE (MAX. 2 PAGES)

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 (MGA) of Euskalit.

The analysis has shown that long term priorities remain the same, which is coherent with the current Strategic Plan 2014-2017. Overall, short and medium-term priorities are shifting from *Recruitment and Selection* to *Working Conditions* aspects of the Charter and Code. Taking into account that in 2011 Ikerbasque was a small-sized institution primarily focused on attracting new researchers, but has now reached a respectable research community of over 200 researchers, this trend will probably continue during the following years. Ikerbasque's Strategy shifted accordingly: in 2011 ""Talent Attraction" was the key management process of the institution, but it is now assisted by another key Process, "Talent Management", which has more resources allocated and is essential to our Action Plan.

In 2016 Ikerbasque 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. 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 gap analysis has shown the following strengths and weaknesses under the 4 thematic areas of the Charter and Code, which have helped us updating our HRS4R Action Plan and also suppose a valuable asset for the development of our next 2018-2021 Strategic Plan, to be developed during 2017.

Ethical and Professional Aspects

Ikerbasque has approached the Ethical and Professional aspects of research since it was created, and they are embedded in the general Strategy and policies of the institution. Yet, there is some lack of knowledge of some of the ethical and good professional practice principles listed in the C&C, as well as contractual and legal obligations by the research staff.

Ikerbasque has also the opportunity of reducing its gender gap. The development and implementation of an Equality Plan will be one of the main challenges in the coming years.

In addition, there is a moderate interaction with society. Research results are not always fully disseminated or exploited. 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.

Recruitment and Selection

As stated above, Ikerbasque has been committed to open, transparent and merit-based recruitment since the institution was created in 2007. Most of our calls have been cofunded by the European Commission under the MSCA scheme and where thus designed to be completely transparent and accountable.

The systematic review under the OTM-R checklist and the participation channels for the Internal review have shown room for improvement in several aspects of our Recruitment and Selection processes. Advertisements positions could explain in more detail the working conditions and career development prospects, selection processes could be enriched by including other practices (such as face-to-face interviews), and even if long-

term career prospects for Ikerbasque Research Fellows are encouraging, the tenure process to Research Associate/Professor lacks clarity in some institutions. The analysis of this area has led to low-cost and potentially high-impact actions which can be implemented in the coming months.

Ikerbasque is the Euraxess Service Center in the Basque Country and plays an active role as a proactive agent in the Basque Science System. Ikerbasque could tkae advantage of ths positions to strenghthen the resources and tools made available to its own researchers.

Coordination with third parties (mainly, host institutions where our researchers develop their careers, although deemed satisfactory by most applicants, could be improved during recruitment and selection.

Working Conditions and Social Security

The number of Ikerbasque researchers has grown quickly over the last years and the form now a dynamic, international and heterogeneous research community. The overall satisfaction of this researchers is high and their prospects for future positive.

The analysis has shown that the effectiveness of certain areas (Career promotion policies, salary scales, participation in decision-making processes) could be improved by enhancing communication and including specific proposals of the researchers.

Coordination with third parties (mainly, host institutions where our researchers develop their careers, altough deemed very satisfactory by most researchers, could be improved to ensure best practices are implemented in all working enviroments. Specifically, there is room for improvement so Ikerbasque's policies on Research Expectations are properly aligned with working conditions in every host institution.

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.

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, leading to a negative perception by some researchers.

Gender balance remains the biggest challenge for the Ikerbasque research community. Even if more women are obtaining PhDs, their share sharply diminishes once they get to postdoctoral and senior positions. Ikerbasque Research Fellow program intented to reduce this gap by recruiting promising postdoctoral researchers, but has partially failed to dos se. This issue will necessarily be addressed during the next years by developing and implementing an Equality Plan.

Training and Development

Researchers 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.

Moreover, some researchers feel that Ikerbasque could give them more opportunities for professional development through access to formal training for skills and competencies.

3. ACTIONS

<table>
<tr><th colspan="6">I. Ethical and Professional Aspects</th></tr>
<tr><th>C&C</th><th>ACTIONS</th><th>TIMING</th><th>RESPONSIBLES[2]</th><th>INDICATORS/TARGET</th><th>STATUS</th></tr>
<tr><td>1, 2, 3, 6</td><td>Define and publish Ikerbasque Code of Conduct.</td><td>2011</td><td>MT</td><td>Published: Yes</td><td>Completed</td></tr>
<tr><td>6, 7, 8, 9</td><td>Ensure that research activities are made known to society through newsletter and open conferences.</td><td>2011 - 2012</td><td>MT & IR</td><td>Number of press releases
Impact in Mass Media
Number of visitants to websites
Number of followers on social networks</td><td>Completed</td></tr>
<tr><td>1, 2, 6, 7</td><td>Define and deploy 2014-2017 Strategic Plan</td><td>2014 - 2016</td><td>EC, GM, MT, P01 Process leader</td><td>Published: Yes</td><td>Completed</td></tr>
<tr><td>2, 10, 16</td><td>Analysis of gender and science</td><td>2014 - 2015</td><td>EC, GM, MT, P03 Process leader</td><td>Number of female applicants and researchers</td><td>Completed</td></tr>
<tr><td>3, 8, 24</td><td>Review and improve Ikerbasque Policies on Research Expectations to align them with C & C</td><td>2017</td><td>MT, P05 Process leader</td><td>Last update of Ikerbasque policies
Satisfaction of IR</td><td></td></tr>
<tr><td>5</td><td>Updated and web-based Welcome Plan</td><td>2017-2018</td><td>MT, P05 Process leader</td><td>Last date of update
Satisfaction on new IR</td><td></td></tr>
<tr><td>9</td><td>Define public engagement tools in the 2018-2021 Strategic Plan</td><td>2017</td><td>EC, MT, IR, P07 Process leaders</td><td>Published:
Satisfaction of IR with their participation</td><td></td></tr>
<tr><td>10, 27</td><td>Implementation of an Equality Plan</td><td>2017-20198</td><td>GB, EC, MT</td><td>Published:
Number of female applicants and researchers</td><td></td></tr>
</table>

---

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

II. Recruitment and Selection					
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES**	**INDICATORS/TARGET**	**STATUS**
12, 13, 14, 15, 16, 1, 18, 19	Development of a transparent web portal with all research positions available in the Basque Country.	2011	MT	Number of positions Visitors to website	Completed
16, 17, 20	Offer complete on-line information about the phases and result of the evaluation process in the recruitment calls.	2011 - 2012	MT, SAC	Satisfaction of applicants	Completed
12, 13, 16	Definition and implementation of actions to foster applications from female researchers.	2011 - 2012	MT, EC	Share of female applicants	Completed
12, 13, 16	Increase the number of female researchers in the evaluation committees.	2011 - 2012	EC, MT	Share of female members in the evaluation committees	Completed
18	Adapt to new regularization process for foreign researchers in the Entrepreneurship Law	2014	P04 Process leader	Share of foreign researchers	Completed
14	Improve communication and feedback to non selected applicants	2014	MT, P05 Process leader	Satisfaction of applicants	Completed
13	New call templates	2017	P04 Process leader	Satisfaction of applicants	
14, 20	Review of Selection Process. Comprehensive Policy about the Evaluation Committe	2018	EC, GM, P04 Leader	Satisfaction of applicants Number of complains	
14, 15	Guide for Evaluators publicly available	2017-2018	MT, P04 Process Leader	Satisfaction of 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	
21, 25	Review and dissemination of Ikerbasque #6 Policy on RF Assessment	2017	MT, IR	Satisfaction of applicants	

	III. Working Conditions and Social Security				
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES**	**INDICATORS/TARGET**	**STATUS**
22, 24, 26	Improve salary conditions of Research Fellows	2015 - 2016	GM, MT		Completed
22, 25, 28	Define and implement a consolidation process for Research Fellows	2015 - 2016	EC, GM, MT, EC	Published: yes Satisfaction of RF with future expectations	Completed
22, 25, 28	Improve the triennial assessment process	2014	MT, P05 Process leader	Satisfaction with triennial assessment	Completed
28	Establish personal interviews with each researcher prior to triennial assessment	2015 - 2016	P05 Process leader	Satisfaction with triennial assessment	Ongoing
2, 23, 35	Annual joint workshop with Ikerbasque researchers	2014 - 2016	P05 Process leader	Satisfaction of IR	Completed
22, 23, 28, 30	Renew and improve the Welcome Plan	2014	P04 Process leader	Last update	Completed
22, 24, 28, 34	Create an Access database to manage research talent	2014 - 2015	MT, P08 Process leader	Satisfaction of IR about their relationship with MT	Completed
22, 25, 28	Improve intranet options for triennial assessment	2015	P05 Process leader	Satisfaction of IR with triennial assessment	Completed
22, 23, 28, 30, 34, 35	Reinforce the annual plan for personal interviews with researchers	2014 - 2016	MT, P05 Process leader	Overall satisfaction of IR about Ikerbasque Number of complains Share of visited researchers	Ongoing
24	Improve intranet for salary information and payslip documents	2015	MT, P05 Process leader	Satisfaction about intranet	Completed
22, 23	Dissemination of research results of researchers	2014 - 2016	P07 Process leader	Awareness in society	Completed
23	Develop Science.eus website to include funding instruments	2017-2018	MT	Published?	
26	Review Ikerbasque policies	2017	EC, GM, P05	Satisfaction of IR with	

			Process leader	triennial assessment	
28	Analyse best-practices in mentoring in other institutions	2018	GM, MT	Satisfaction of IR with career development	
30	Develop a specific website for the Euraxess Service Center	2017-2018	MT	Satisfaction of IR with career development	
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	
22	New Ikerbasque website to enhance research results	2017		Awareness in society	

IV. Training and Development					
C&C	**ACTIONS**	**TIMING**	**RESPONSIBLES**	**INDICATORS/TARGET**	**STATUS**
38, 39	Improvement of our intranet to foster long life training and continuous improvement of professional profile.	2011/09	MT, IR	Satisfaction of IR with career development and Intranet	Completed
38	Provide additional information on the living and working conditions in Spain, such as retirement and pensions systems, working permits, etc.	2011/06	MT, IR	Number of information requirements	Completed
38	Self-assessment.	2013	MT, EC	Organizational sef-assessment score	Completed
35, 36	Improve the satisfaction surveys to stakeholders	2014 - 2015	MT	Satisfaction surveys results	Completed
39	InfoDays on H2020 calls for local researchers	2014 - 2016	EC, GM, MT, P03 Process leader	Number of participants Results in H2020 programs	Completed
37	External independent evaluation and assessment	2015	GM, MT, P01 Process leader	External independent evaluation score	Completed

	of management system				
37	Self-assessment.	2016	MT, EC	Organizational sef-assessment score	Ongoing
36	Coordination meetings with Directors of host institutions to ensure appropriate supervision	2017-2019	GM	Satisfaction surveys results	
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	

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

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.

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.

---

4. IMPLEMENTATION (MAX. 1 PAGE)

Ikerbasque Strategy for attracting talented researchers was established 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 and was invited by the EC to take part in the 2nd Cohort of HR Strategy Group to implement a HR Strategy related Action Plan. We developed and deployed a HR Strategy which led to the "HR Excellence in Research" acknowledgement in 2011.

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).

As stated above, 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 (MGA) 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 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 was implemented. After 5 years since the "HR Excellence in Research" acknowledgement was received, Ikerbasque run a new self-assessment process, to be completed with an external evaluation, in order to set the HRS4R Strategy for the coming years.

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 more information can be found in the *Gap Analysis document (Template 1)*.

The results of these broad participation channels allowed the HRS4R Working Group to gauge the viewpoint of the Institution's staff, bearing in mind that Ikerbasque's HRS4R strategy is focused on fostering the professionalism and excellence of the research activity and research career in the Basque Country. The HRS4R Working Group undertook a **prioritisation** of the compliance gaps of the C&C to be addressed in the coming years, **developing the HRS4R Revised Action Plan**.

The HRS4R Working Group will monitor progress, ensuring that the proposed actions are implemented in the set timeframe and achieving the expected results, and will propose complimentary updates of the Action Plan if relevant deviations are found.

In addition, the participation channels for decision-making processes already established in the general Strategy and management model of Ikerbasque (which were also used, as stated above, for this internal review process) will remain active communication tools, enabling our HRS4R Strategy to be a dynamic one, in continuous evolution through the next 36 month period.