TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review:

Ikerbasque – Basque Foundation for Science

Organisation's contact details:

Iñigo Atxutegi (General Manager) – atxutegi@ikerbasque.net / +34 944052660

SUBMISSION DATE: 2020

DATE ENDORSEMENT CHARTER AND CODE:

- DECLARATION OF COMMITMENT: 19TH NOVEMBER 2008
- ENDORSEMENT CONFIRMATION: 15TH OCTOBER 2019

PROCESS (MAX. 300 WORDS)

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

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

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

---

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

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

- 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
- Workshop with Focus Group 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 (September 2019)
- Meeting of the Scientific Advisory Board (14th November 2019)
- Self-assessment of our processes, 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)

GAP ANALYSIS

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

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

Status: to what extent does this organisation meet the following principles?	+ = **fully** implemented +/- = **almost but not fully** implemented -/+ = **partially** implemented - = **insufficiently** implemented	In case of -, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+		
2. Ethical principles	+		
3. Professional responsibility	+		
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 debeloped to ease the selection processs.	Review of P04 Talent Atraction 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 Servce 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			