CIC biomaGUNE

MEMBER OF BASQUE RESEARCH
& TECHNOLOGY ALLIANCE

Internal GAP Analysis & OTM-R

Human Resources Strategy for Researchers (HRS4R)

Edition 1

Donostia – San Sebastián, 15 September 2021

CIC biomaGUNE

MEMBER OF BASQUE RESEARCH
& TECHNOLOGY ALLIANCE

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NAME ORGANISATION UNDER REVIEW: CIC biomaGUNE

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PRESENTATION

The Human Resources Strategy for Researchers - HRS4R - is an initiative of the European Commission (EC) to encourage research institutions to implement the European Charter for Researchers and the Code of Conduct for the recruitment of research staff and to recommend the implementation of the seal of "Excellence in HR in Research".

CIC biomaGUNE, convinced of the benefits of generating and supporting a stimulating and favorable environment for research, has already adhered, as an initial step, to the European Charter for Researchers and to the Code of Conduct for the recruitment of researchers (Charter & Code), whose specific objective is the commitment to establish the people management strategy based on 40 principles, which in turn are grouped into 4 fundamental areas:

1. **Ethical and professional aspects**, referring to professional performance under high standards of professionalism related to confidentiality, diligence, ways of working, as well as the commitment to confidentiality and collaboration agreements, non-discrimination, or the dissemination of research results.
2. **Recruitment**, referring to the establishment of protocols and selection procedures that guarantee transparency, non-discrimination and the recognition of aspects such as scientific merit and mobility.
3. **Working conditions and social security**, referring to adequate salary aspects, environmental work conditions, job stability, equal opportunities, professional advice and development, training and skills development, participation in decision-making groups or communication protocols for suggestions, complaints or claims.
4. **Training and development**, referring to development, supervision, training and the establishment of appropriate relationships oriented to professional growth with supervisors.

Given the importance of having good practices in HR, the idea of implementing the HRS4R strategy was promoted internally by the Direction and the Management Team of CIC biomaGUNE and it was approved on June 2020.

The Endorsement of principles of the European Charter and Code and its notification of Commitment to complete the HRS4R process was submitted by CIC biomaGUNE on 19 October 2020.

The working group responsible for the implementation of the HRS4R process is composed by the following individuals:

- Luis Liz Marzán, Scientific Director
- Anna Llanes Pallàs. General Manager.
- Sheyla García Medel. Administration and HR Manager.
- Cristina Díez García. Project Management Manager.

These people above were proposed to be part of the working group responsible for the implementation of the HRS4R process, owing to the relationship between the responsibilities and duties of their positions, as well as their knowledge about HR and research environment.

Additionally, the Charter&Code Team (C&C Team) in charge of overseeing the process and ensuring the implementation of the proposed actions is composed by the following individuals:

Name	Position	Management line/ Department
Anna Llanes Pallàs	General Manager	Management & Services
Luis Liz Marzán	Scientific Director, Principal Researcher and Training Committee Member	Direction & Research
Sheyla García Medel	Administration and HR Manager	Management & Services
Cristina Díez García	Project Manager	Management & Services
Marcos Simón Soria	Tech Transfer Manager	Management & Services
Paola Ferreira Cabeza	Biosafety Manager and Equality Committee member	Management & Services
Sergio Moya	Soft Matter Principal Researcher and Ethics Committee member	Research
Ander Abarrategi López	Research Associate and Training Committee member	Research
Susana Velasco	Postdoctoral Researcher and Training Committee member	Research
Cecilia Wetzl	PhD Researcher and Training Committee member	Research
Vanessa Gómez Vallejo	Platform Manager and Outreach Committee member	Research

GAP ANALYSIS PROCESS

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:

1. Ethical and Professional Aspects.

2. Recruitment.

3. Working Conditions and Social Security.

4. Training.

An email was sent on 19 October 2020 to all CIC biomaGUNE employees, communicating the launching of this project and its content. In this communication, all employees were requested to fulfill a questionnaire (with deadline 26th October 2020) and to express their interest to participate in three focus groups (on a voluntary basis) to discuss the outcome of the questionnaire.

The Gap Analysis was thus conducted using two different methodologies: questionnaire and focus groups. First of all, an internal and quantitative analysis was made. A questionnaire was prepared and sent to all employees (researchers and staff) through Google Forms. Through this questionnaire all employees were asked to what extent they agree or disagree with the 40 principles included in the code, according to this Likert Scale:

1: Strongly disagree

2: Disagree

3: Neutral

4: Agree

5: Strongly agree

6: Do not know / Do not answer

The questionnaire was answered by 131 people (85% of all CIC biomaGUNE staff) from different areas and positions (Direction, Management & Services, Platform Managers, Postdoctoral Researchers, Pre-doctoral Researchers, Principal Researchers, Research Associates and Technical Team).

The questions were interpretated using a quantitative scale in order to analyse the results obtained.

The results obtained per group are represented in the following chart:

Summary of the results:

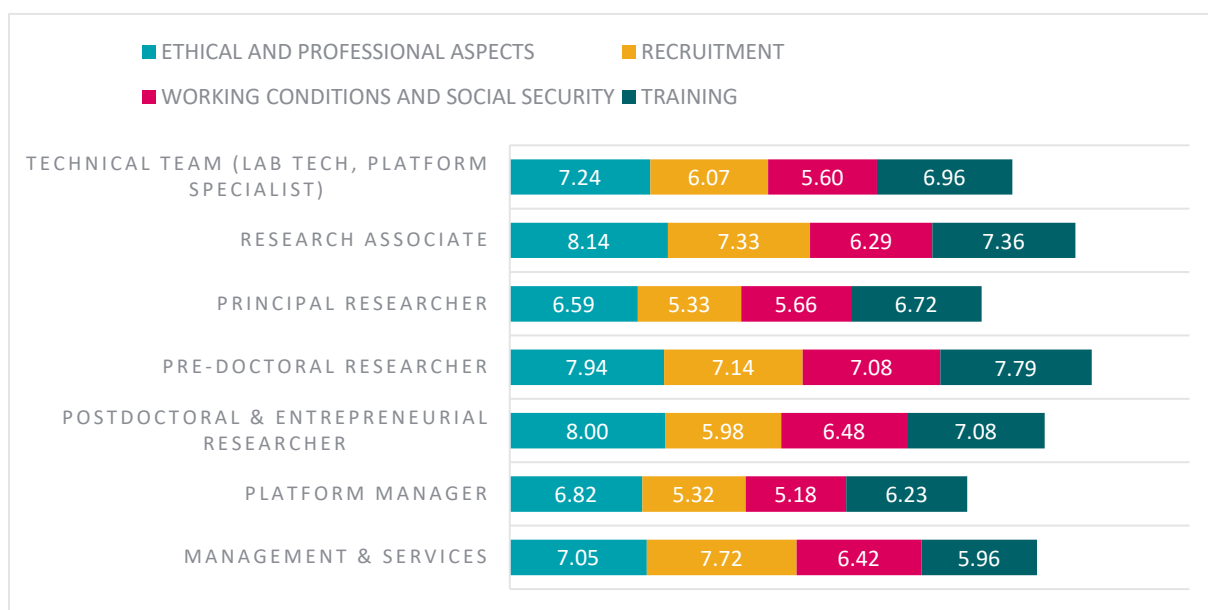*Figure 2.* *Average score per group of principles*

Figure 1. *Scores per Professional Category and group of principles*

• The global mean score is 6.88 out of 10.

• 17 principles (42% of the total) scored above 7 out of 10.

• 3 principles are scored below 5 out of 10.

• The lowest score is 3.34/10, which corresponds to the principle ACCESS TO CAREER ADVICE

• The highest scores are 8.52/10, which correspond to RESEARCH FREEDOM, ETHICAL PRINCIPLES and PROGRESSIONAL RESPONSIBILITY.

The following chart shows the score of each principle:
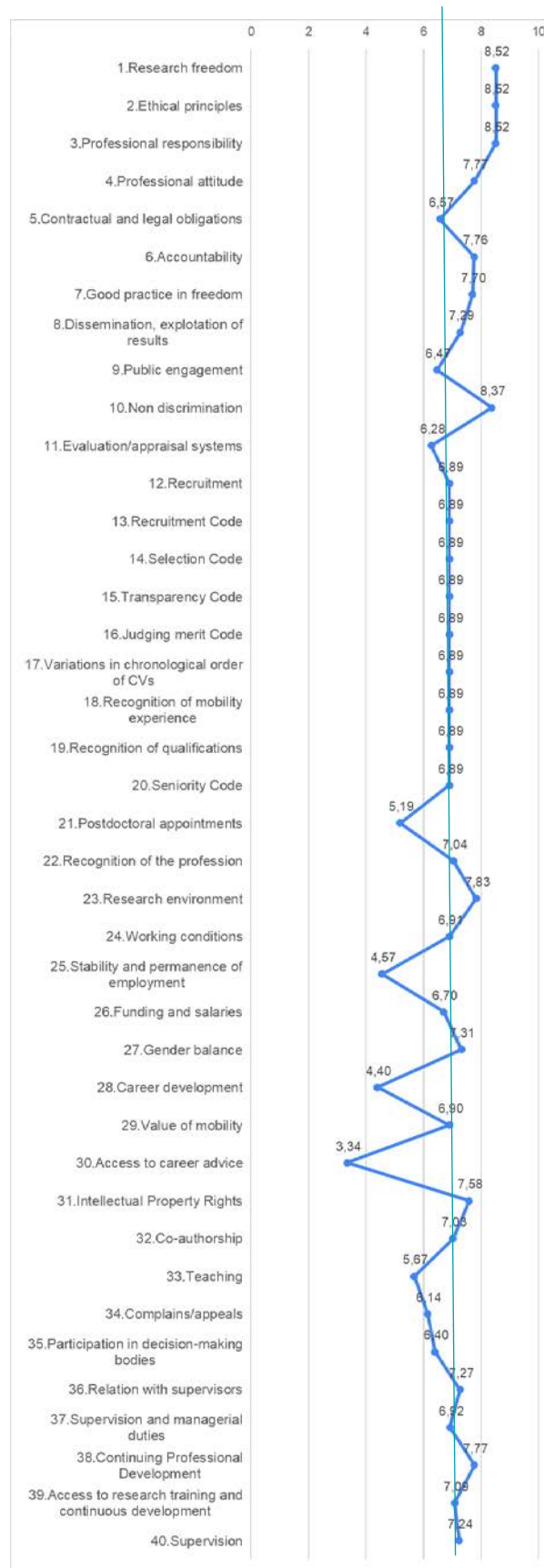
In order to have a better understanding of the results of the questionnaire, it was decided to organize three focus groups. In each of these focus groups the community of researchers ranging from R1 to R4 was represented. It was ensured that all collected information was anonymous and confidential.

The representation of the participants in each focus groups was the following:

Focus Group 1:

POSITION	GENDER
PI	Male
Research assistant	Male
Research Associate	Male
Postdoctoral researcher	Male
Platform Manager	Female
PhD	Female
PhD	Female
PI	Male
PhD	Female
Postdoctoral researcher	Male

Focus Group 2:

POSITION	GENDER
Postdoc researcher	Male
Management&Services	Male
Postdoctoral researcher	Female
PI and Ethics Committee member	Male
PhD	Male
PhD	Female
Research Associate	Female
PhD	Male

Focus Group 3:

POSITION	GENDER
Postdoctoral researcher	Male
Platform manager	Female
Technician	Female
Group leader	Male
PhD	Female
PhD	Male
PhD	Female
Research Associate	Male

Participants of the focus groups were asked about the results of the questionnaire and their suggestions were considered in order to proceed with a qualitative analysis of the perception of the principles.

The information obtained through the focus groups was taken into account in order to prioritize the Action Plan.

GAP ANALYSIS (CHARTER AND CODE CHECKLIST)

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?	Implementation: ++ = **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, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	++	Already implemented.	This principle is included under the Code of Ethics (link) and the M-IDI-00 I+D+i Management Procedure (link) (under the UNE 166002:2014). These documents are posted on the intranet.
2. Ethical principles	++	Already implemented.	This principle is included under the Code of Ethics (link). This document is posted on the intranet.
3.Professional responsibility	++	Already implemented.	This principle is included under the Code of Ethics (link). This document is posted on the intranet.
4. Professional attitude	++	Already implemented.	This principle is included under the Code of Ethics (link). This document is posted on the intranet.

5. Contractual and legal obligations	+/-	CIC biomagune researchers are aware of their contractual and legal obligations. Nevertheless, not everybody is aware of all specific rules related to property rights and legal information.	Researchers have signed the acceptance of the code of Ethics (link) and the annex to the employment contract (link), which refers to this principle.
6. Accountability	++	Already implemented.	Documents such as the Code of Ethics (link), HR procedure (P-16-03) (link), or the procurement procedure (P-16-02) (link) that refer to this principle are published on the intranet.
7. Good practice in research	++	Already implemented.	The Occupational Health Risk Prevention Plan and Risk Prevention Action Protocols (link) are published on the intranet.
8. Dissemination, exploitation of results	++	Already implemented.	The Project Management procedure (P-IDI-05) (link), Tech transfer procedure (P-IDI-06) (link) refer to this principle. These documents are published on the intranet.
9. Public engagement	+/-	There is an Outreach Committee that carries out these activities. Reports on the activities are made and published on the CIC biomaGUNE website.	More visibility should be given to this committee and the activities it leads. Information about the outreach activities can be found on the website (link).

10. Non discrimination	++	Already implemented.	The Equality Plan refers to this principle. The plan is posted on the web of CIC biomaGUNE (https://www.cicbiomagune.es/center/equality) and also on the intranet (https://intranet.cicbiomagune.es/equality-committee).
11. Evaluation/ appraisal systems	-/+	There is a clear appraisal procedure for Principal Researchers. The other groups of researchers do not have a standardised evaluation system, although this evaluation is usually carried out informally by each supervisor.	A common appraisal methodology should be developed and implemented for all stakeholder groups.
Recruitment and Selection			
12. Recruitment	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
13. Recruitment (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
14. Selection (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
15. Transparency (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.

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16. Judging merit (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
17. Variations in the chronological order of CVs (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
18. Recognition of mobility experience (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
19. Recognition of qualifications (Code)	++	Already implemented.	The description of professional profiles (F-16-03-01) at CIC biomaGUNE establishes the competence profiles. The professional career plan (link) establishes the possible professional progress that researchers can have at CIC biomaGUNE.
20. Seniority (Code)	++	Already implemented.	The description of professional profiles (F-16-03-01) at CIC biomaGUNE establishes the competence profiles. The professional career plan (link) establishes the possible professional progress that researchers can have at CIC biomaGUNE.
21. Postdoctoral appointments (Code)	++	Already implemented.	The HR procedure (P-16-03) (link) details how the selection processes in CIC biomaGUNE should be executed. This document is posted on the intranet.
Working Conditions and Social Security			
22. Recognition of the profession	++	Already implemented.	The description of professional profiles (F-16-03-01, Link) describes the characteristics of all professional categories of the research career. Likewise, Decree 109/2015 of June 23, 2015 of the Basque Government, regulates and updates the composition of the RVCTI and, in its Annex IV, sets the guidelines for the Professional Career. Additionally, the application

			agreement in CIC biomaGUNE is the General Collective Agreement of the Chemical Industry, approved by Resolution of the General Directorate of Labor on July 7, 2021.
23. Research environment	++	Already implemented.	CIC biomaGUNE promotes networking events (such as the PhD day, PhD seminars, etc.) as well as joint collaborative research projects through co-supervision of pre- and post-doctoral researchers. (https://www.cicbiomagune.es/sites/default/files/catalogue/Activity_report_2020_CICbiomaGUNE.pdf) Pages 58-64
24. Working conditions	++	Already implemented.	Working conditions (flexible working hours, holidays, work environment, salaries) are positively valued. CIC biomaGUNE employment contracts are subject to the General Collective Agreement of the Chemical Industry, approved by Resolution of the General Labor Directorate on July 7, 2021. There is also a guide (P-IDI-09, link) on registration of working hours, vacations, etc.
25. Stability and permanence of employment	-/+	Most CIC biomaGUNE positions (PhD students, post-docs, and Fellows) are not permanent because of the nature of the research activity. The Center promotes the mobility to other Public or private organizations.	Although there is a training plan for career development, it is highly oriented towards technical training. Actions should be developed to enhance the employability of researchers.
26. Funding and salaries	+/-	The collective agreement governing working conditions is published on the website. However, CIC biomaGUNE researchers do not	Develop communication actions to increase awareness of this principle.

		have a deep knowledge of its content.	
27. Gender balance	+/-	There is an Equality Committee which is charge of implementing the Equality Plan. Although in global terms there is parity, there are imbalances according to research rank.	CIC biomaGUNE Equality Plan includes several actions to ensure gender balance at CIC biomaGUNE.
28. Career development	-/+	There is a professional career plan for all CIC biomaGUNE employees and a PhD training programme. Addittionally, there is research training program highly oriented towards technical training	A soft-skills training programme should be implemented.
29. Value of mobility	++	Already implemented.	Mobility has been promoted and carried out in cases where grants allow it. (https://www.cicbiomagune.es/sites/default/files/catalogue/Activity_report_2020_CICbiomaGUNE.pdf) Pages 58-64
30. Access to career advice	--	It is currently done in a non-procedural way by some Principal Investigators.	A standardised way of acting will be defined and implemented for all stakeholders.

31. Intellectual Property Rights	++	Already implemented.	Information on this principle is collected in the annex to each person's employment contract (link). Additionally, the Tech transfer procedure (P-IDI-06) (link) refers also to this principle. This document is published on the intranet.
32. Co-authorship	-/+	There is ethical awareness of the parameters for the recognition of co-authorship, but it is not proceduralised.	This principle is included under the Code of Ethics (section V) (link). This document is posted on the intranet. Develop communication actions to increase awareness of this principle.
33. Teaching	-/+	Researchers express their interest in participating in teaching activities by the group leaders. It is an activity led personally by each researcher, rather than there being a policy for the promotion of this activity by the centre.	A few teaching opportunities are provided to researchers due to the fact that CIC biomaGUNE is not part of a University.
34. Complains/ appeals	+/-	There is a conflict resolution protocol and committee. This protocol is accessible on the intranet. However, there is a lack of knowledge about the aspects dealt with in this committee.	Establish actions to publicise the activities of the conflict resolution committee.

35. Participation in decision-making bodies	++	Already implemented. Several committees are in place.	The person in charge of each committee is appointed by the Center management, although the participants are gender and professional category balanced. The composition of the committees (Equality, Gender, Training, Outreach, Ethics committee) is available at the intranet. Link.
Training and Development			
36. Relation with supervisors	++	Already implemented.	There are PhD monitoring committees and group meetings to evaluate the fulfilment of tasks.
37. Supervision and managerial duties	++	Already implemented.	These tasks are defined in the career plan and in the job definition (link).
38. Continuing Professional Development	++	Already implemented.	There is a training offer provided by the centre (https://intranet.cicbiomagune.es/training-committee-information and https://www.cicbiomagune.es/careers). Additionally, researchers are encouraged to participate in external training events to improve their professional development. The description of professional profiles (F-16-03-01, link) at CIC biomaGUNE establishes the competence profiles.
39. Access to research training and continuous development	++	Already implemented.	Communications have been made from the Center Management to encourage people to register for training actions (https://intranet.cicbiomagune.es/training-committee-information) All CIC biomaGUNE staff can take part in these actions. In the case of external training, the supervisor must approve the application.
40. Supervision	++	Already implemented.	This principle is mentioned among the tasks in the job description for supervisors (link).

OPEN, TRANSPARENT, AND MERIT-BASED RECRUITMENT (OTMR)

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). We report on the status of achievement, also detail on the indicators and the form of measurement used.

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	--	Our HR procedure is used as an internal document.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-	Our HR procedure includes how to develop a selection process under these criteria.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+	Our HR procedure specifies how to implement the process, yet there are not specific traning programs in place.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	Job offers are published on the CIC biomaGUNE website and other recruitment platforms such as

					sciencecareers.eus or Euraxess. They are also disseminated on the Center's social networks: Twitter, Facebook and Linkedin.
5. Do we have a quality control system for OTM-R in place?	x	x	x	-/+	Job offers are reviewed by the HR department before being published in the different platforms.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	Our offers are always disseminated worldwide. Most of our current employees were external candidates.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	Our offers are always disseminated worldwide and in English. A good number of our current employees were candidates coming from abroad.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	-/+	Our HR procedure stablishes an equal opportunities policy.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	We enjoy competitive working conditions that are in line with our environment.
10. Do we have means to monitor whether the most suitable researchers apply?				--	Although we do not have the means implemented to control the suitability of the researchers who apply, we do have evidence such as extensions of temporary contracts, passing probationary periods...
Advertising and application phase					

11. Do we have clear guidelines or templates (eg EURAXESS) for advertising positions?	x	x		++	Templates for advertising positions are available on our intranet (link) and are based on EURAXESS template. Job offers are posted on EURAXESS, and on other platforms.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		-/+	The requirements are well described in the job advertisement. Selection criteria in terms of specific weights are not included.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++	Job adverts are posted on EURAXESS.
14. Do we make use of other job advertising tools?	x	x		++	Jobs are also posted on sciencecareers.eus and on our social networks (twitter, facebook, Linkedin) among others.
15. Do we keep the administrative burden to a minimum for the candidate?	x			++	The request for supporting documents is limited to those which are really needed in order to proceed with a fair, transparent, and merit-based selection process.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?		x	x	--	Selection processes are led by the Principal Researcher, Platform Manager or Head of Department, who is sometimes accompanied by part of the team.
17. Do we have clear rules concerning the composition of selection committees?		x	x	-/+	On our HR procedure it is established that it is the Principal Researcher, Platform Manager or Head of Department who leads the selection.

18. Are the committees sufficiently gender-balanced?		x	x	--	The committees are usually composed of only one person, the recruiting manager. Sometimes, Associate Researchers assist in the selection.
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	--	No specific guidelines are available for this.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		--	All applicants are informed that they will only be contacted if preselected.
21. Do we provide adequate feedback to interviewees?		x		--	This information is provided to candidates who request it.
22. Do we have an appropriate complaints mechanism in place?		x		--	No specific complaints mechanism is in place
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				--	No specific system is in place in order to assess whether OTM-R delivers on its objectives.