

‘Strengthened’ Human Resources Strategy for Researchers (HRS4R)

Internal Gap Analysis





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I. GAP ANALYSIS

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a. Process

Taken into account the importance of having good practices in HR, nanoGUNE has decided to start the process to implement the 40 principles of the 'European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers' (Charter and Code).

This idea was promoted internally by the Direction and the Management Team of the Center and it was approved on 5 June 2017.

The Endorsement of principles of the European Charter and Code and its notification of Commitment to complete the HRS4R process was sent by nanoGUNE on 30 August 2017.

After that, an email was sent on 15 February 2018 to all employees communicating the launching of this project and its explanation. In this call, all employees were requested to fulfill a questionnaire. Later on, a sample of employees were invited to participate in two focus groups. A team (the C&C Team) was also established to lead the project. The C&C Team is composed by the following individuals:

- Director (José María Pitarke)
- Finance Director (Miguel Odriozola)
- Research Director (Andreas Berger)
- External-Services Manager (Gorka Pazos)
- Facilities Manager (Gorka Arregui)
- Outreach Manager (Itziar Otegui)
- Projects Manager (Yurdana Castelruiz).

It was the responsibility of the Research Director to represent the views of the research team and the needs that the researchers have at each stage of their career.

On 13 February 2018, the C&C Team met to establish the milestones of the process.

On 22 February 2018, the C&C Team met to identify the existing documentation and the relevant legislation that must be taken into account in this process. To promote the participation all employees, a questionnaire was developed that included the 40 principles of the Charter and Code.

On 26 February, the questionnaire was sent to all employees indicating that it was anonymous and confidential (the deadline for the fulfillment of the questionnaire was 9 March 2018).

After analyzing the quantitative data achieved by the questionnaire, two focus groups were formed to receive a qualitative feedback. Both focus groups were composed by all kinds of researchers and by management&services staff. The collected information was confidential.



b. GAP analysis

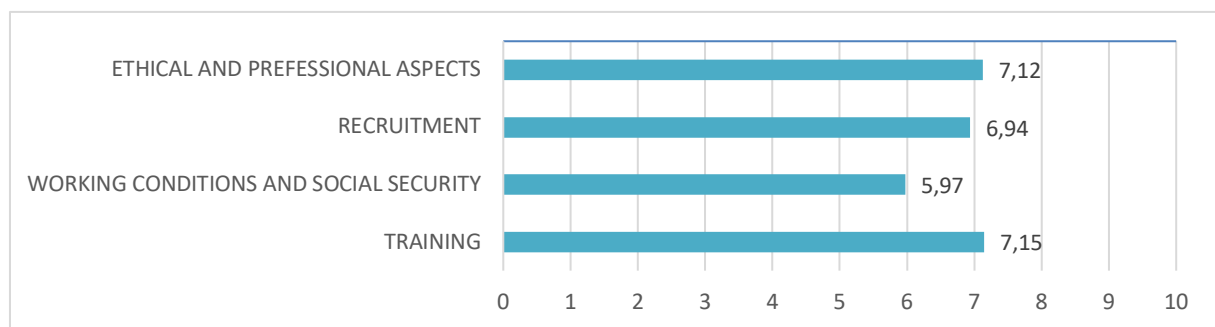
The Gap Analysis has been developed using two different methodologies: questionnaire and focus groups. First of all, an internal and quantitative analysis was made. A questionnaire was prepared and sent to all employees through Google Forms. Through this questionnaire all employees were asked to what 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

The survey was sent to all employees (99), establishing a 2-weeks deadline. After this time 68 answers were received, which were representative of nanoGUNE's gender balance, research stage, and seniority.

The average score corresponding to each group of principles was calculated in order to know to what extent researchers agree/disagree with the current implementation of the principles.

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



Summary of the results:

- The global mean score is 6.68 out of 10.
- There is no significant deviation in the answers corresponding to each principle.
- 90% of the principles are scored above 5 out of 10.
- 4 principles are scored below 5 out of 10.
- The lowest score is 3.81/10, which corresponds to the principle PARTICIPATION IN DECISION MAKING BODIES
- The highest score is 8.26/10, which corresponds to RESEARCH ENVIRONMENT.



In order to have a better representation of nanoGUNE's strengths and weaknesses, all scores are represented in the following chart:





In order to have a better understanding of the results of the questionnaire, it was decided to organize two focus groups. In each of these groups all kinds of employees were represented.

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 nanoGUNE's perception of the principles. The information obtained through the focus groups was taken into account in order to prioritize the Action Plan.



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

Status: to what extent does this organization 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 organization. If relevant, please list any national/regional legislation or organizational regulation currently impeding the implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+	Already implemented.	
2. Ethical principles	+	Already implemented.	
3. Professional responsibility	+	Already implemented.	
4. Professional attitude	+	Already implemented.	
5. Contractual and legal obligations	+/-	NanoGUNE researchers are aware of their contractual and legal obligations. Nevertheless, not everybody participating in confidential projects are aware of all specific rules related to property rights and legal information.	Internal communication actions will be defined and implemented once we get to improve more urgent principles.
6. Accountability	+	Already implemented.	
7. Good practice in research	+/-	NanoGUNE researchers are aware of national legal requirements regarding data protection and confidentiality, but do not have a deep knowledge of these issues.	Internal communication actions will be defined and implemented once we get to improve more urgent principles.
8. Dissemination, exploitation of results	+	Already implemented.	
9. Public engagement	+	Already implemented.	



10. Non-discrimination	-/+	The score was focused on gender balance issue. There are no women in directorial positions and all senior researchers are men.	A Gender Equality Committee has been launched aimed at women's career progression, the representation of women in nanoGUNE's overall activities, and the welfare of women at nanoGUNE.
11. Evaluation/appraisal systems	+/-	There is not a formal and standardized evaluation system for all employees, although feedback is generally given to all researchers in some form.	The implementation of an evaluation/appraisal system will be addressed once we get to improve more urgent principles.
Recruitment and Selection – please be aware that the items listed here correspond to 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	+	Already implemented.	
13. Recruitment (Code)	+	Already implemented.	
14. Selection (Code)	+	Already implemented.	
15. Transparency (Code)	+	Already implemented.	
16. Judging merit (Code)	+	Already implemented.	
17. Variations in the chronological order of CVs (Code)	+	Already implemented.	
18. Recognition of mobility experience (Code)	+	Already implemented.	
19. Recognition of qualifications (Code)	+	Already implemented.	
20. Seniority (Code)	+	Already implemented.	
21. Postdoctoral appointments (Code)	-/+	Recruitment procedures guaranteeing an effective communication with researchers has been implemented. Nevertheless, the advice on career development to be given by senior scientists to PhD students and post-docs needs to be improved.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced.



Working Conditions and Social Security			
22. Recognition of the profession	+/-	There is a clear difference in the data compiled, as the lowest scores come from PhD students and technicians.	Actions will be defined and implemented once we get to improve more urgent principles.
23. Research environment	+	Already implemented.	
24. Working conditions	+/-	In general terms, working conditions (flexible working hours, holidays, work environment) are positively valued. Salaries for PhD students are not positively valued, although they are competitive at the national and international level.	Actions will be defined and implemented once we get to improve more urgent principles.
25. Stability and permanence of employment	-	Most nanoGUNE 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 organizations, and, in particular, to local technology centers and companies. Since its creation, nanoGUNE has founded 5 spin-off companies where some of our researchers have been hired permanently.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced.
26. Funding and salaries	-/+	Salaries and working conditions for permanent positions and post-docs are perceived as good, but salaries for PhD students are perceived as low. Our salaries for PhD students are in line with the salaries offered by public institutions and universities in our environment.	Clear information about their salaries will be given to PhD students and post-docs.
27. Gender balance	+/-	There are no women in directorial positions and all senior researchers are men.	A Gender Equality Committee has been launched aimed at women's career progression, the representation of women in nanoGUNE's overall activities, and the welfare of women at nanoGUNE.
28. Career development	-	Soft-skills training courses are currently limited to (mainly) PhD students.	Soft-skills training courses will be broadened to all employees. And the role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced.
29. Value of mobility	+	Already implemented.	
30. Access to career advice	-	The advice on career development to be given by senior scientists to PhD students and post-docs needs to be improved.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their



			career development will be reinforced.
31. Intellectual Property Rights	+/-	Researchers are aware of Intellectual Property Rights; but there is certain lack of information in connection with specific projects.	Actions will be defined and implemented once we get to improve more urgent principles.
32. Co-authorship	+	Already implemented.	
33. Teaching	+/-	A few teaching opportunities are provided to senior researchers; but that is limited by what can be offered by the universities, as nanoGUNE is not part of a university.	Actions will be defined and implemented once we get to improve more urgent principles.
34. Complains/ appeals	-/+	There is no formal procedure for the handling of complaints.	A protocol will be implemented for the handling of Grievance and Complaints in the framework of the 2019 Health and Safety Plan.
35. Participation in decision-making bodies	-	An open doors policy is recognized by the researchers; but they would like to be better informed about the decisions that might impact their research activity.	The role of senior scientists as individuals to have their researchers well informed about the decisions that might impact their research activity.
Training and Development			
36. Relation with supervisors	+	Already implemented.	
37. Supervision and managerial duties	+/-	The supervision of senior scientists is perceived as good in general. Common criteria for all senior scientists would, however, be desirable.	Actions will be defines and implements once we get to improve more urgent principles.
38. Continuing Professional Development	+	Already implemented.	
39. Access to research training and continuous development	+/-	Soft-skills training courses are currently limited to (mainly) PhD students.	Actions will be defined and implemented once we get to improve more urgent principles.
40. Supervision	+	Already implemented.	
Any additional issues			



Annex: Open, Transparent, and Merit-based Recruitment Check-list					
	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 recruitment policy 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	++	There is a document on the intranet with the recruitment policy that is accessible to all employees.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+	There are not specific OTM-R training programs in place.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	There is a web-based tool for all the stages in the recruitment policy. A wide range of on-line job boards is also used.
5. Do we have a quality-control system for OTM-R in place?	x	x	x	++	Our web-based tool allows to track the whole recruitment process.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	Our offers are always published 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 published worldwide and in English. A good number of our current employees were candidates coming from abroad. We have personnel coming from 25 different countries.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	A number of our current employees belong to underrepresented groups. A Gender Equality Committee is being put in place.
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?				++	Our web-based tools allow for this.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	Templates for advertising positions are available on our intranet.
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!]	x	x		+/-	The requirements are well described in the job advertisement and they include links to more detailed information online. 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		++	Yes, e.g. infojobs.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ^{45]}	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? [see Chapter 4.4.2 a) ^{45]}		x	x	+ -	The Finance Director and the person in charge of the opening are responsible for the recruiting process.
17. Do we have clear rules concerning the composition of selection committees?		x	x	+ -	The Finance Director and the person in charge of the opening are responsible for the recruitment process.
18. Are the committees sufficiently gender-balanced?		x	x	-/+	As all senior scientists are men, this point is difficult to fulfill.
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		++	Applicants are informed about the outcome of their application once the selection process is finished.
21. Do we provide adequate feedback to interviewees?		x		++	Applicants receive feedback in terms of strengths and weaknesses.
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.