

## GAP ANALYSIS BIODONOSTIA HRI

The Biodonostia HRI HRS4R has been coordinated by the [HRS4R Working Group](#), led by the Management and Administration of the Biodonostia HRI. Each of the 40 principles of the C&C were aligned with the reality of Biodonostia HRI, including the recommendations for the implementation of an OTM-R policy. Three meetings were held in the month of September 2016 (6, 8 and 16 September). The results of the research community participation exercises allowed the HRS4R Working Group to gauge the viewpoint of the Institute's staff, a key aspect if we bear in mind that the objectives of the actual HRS4R strategy include that of contributing to making Biodonostia HRI an attractive entity for the research community. 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 Action Plan](#).

### Staff participation:

- A total of [16 ninety-minute workshops](#) were held with two groups: a first group comprised inexperienced researchers and technical support staff, and a second group made up of research staff with a certain degree of experience and head researchers of groups or areas. Additionally, a head of Platforms and Support Services took part. In the workshops, the definition of the 40 criteria of the C&C was discussed, gauging the assessment of the status of Biodonostia HRI and highlighting priority areas for improvement. This information was incorporated in a summary document.

- In order to extend the participation to all of the staff of Biodonostia HRI while reducing possible biases, during January, an [online survey](#) was drafted and distributed to all the staff.

### HRS4R Working Group.

1 POSITION	NAME	ROLE 1
Scientific Director	Julio Arrizabalaga	Management of the strategy
Manager	Arantza Abad	Management of the strategy
Head of Human Resources Unit	Amaia Pedruzo	Coordination
Head of Projects Unit	Maria Isabel Arzamendi	Coordination
Head of Training	Miren Ametsa Saenz	Participant
Head of Technological Transfer	Andrea Salinero	Participant
Head of Communication Unit	Beñat Badiola <sup>1</sup>	Participant
Head of Methodological Support Unit	Cristina Sarasqueta	Participant

## Workshops. Group 1.

				Meetings Subject held
Category				
Beñat Badiola	HRS4R Coordinator			
Virginia Perez	Platforms and Area Laboratory Technician		18/10/2016	Ethical and professional aspects. Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia
Miren Zulaica	Area Laboratory Technician			
Alvaro Santos	Pre-Doctoral Researcher	R1	20/10/2016	Hiring and Selection Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia
Paula Aldaz	Pre-Doctoral Researcher	R1		
Maidier Muñoz	Post-Doctoral Researcher	R2	25/10/2016	Working Conditions and Social Security Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia.
Maria Goicoechea	Post-Doctoral Researcher	R2		
Ana Gorostidi	Head of Platform		27/10/2016	Training and Development Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia

## Workshops. Group 2.

Meetings Subject				
Name	Category	EU profile	1 held 1	
Amaia Pedruzo/Maria Isabel Arzamendi	HRS4R Coordinator			
Ander Izeta	Group Head	R4	17/10/2016	Ethical and professional aspects. Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia
David Otaegui	Group Head	R4		
Charles Lawrie	Area Head	R4	21/10/2016	Hiring and Selection Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia
Javier Ruiz Ederra	Group Head	R4		
Matxus Perugorria	Ikerbasque fellow	R3	27/10/2016	Working Conditions and Social Security Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia.
María Caffarel	Ikerbasque Fellow	R3		
Estefanía Carrasco	Post-Doctoral Researcher	R2	31/10/2016	Training and Development Degree of agreement with the definition of each principle and analysis of the situation of the IIS Biodonostia
Sara Arévalo	Senior Researcher/Physician	R3		
Ana Aiaitui	Head of Platform			

## GAP ANALYSIS OVERVIEW

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview			
Principles	+ = <b>fully</b> implemented +/- = <b>almost but not fully</b> implemented -/+ = <b>partially</b> implemented - = <b>insufficiently</b> implemented	Actual "gap" between the principle and the current practice in Biodonostia HRI	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+/-	Lack of knowledge of the ethical and good professional practice principles listed in the C&C by all the researchers and staff of the Biodonostia HRI.	Improve the knowledge of all the researchers of the Ethical and Good Practices Code of the Biodonostia HRI.
2. Ethical principles	+/-	Lack of knowledge of the ethical and good professional practice principles listed in the C&C by all the researchers and staff of the Biodonostia HRI.	Improve the knowledge of the Ethical and Good Practices Code of the Biodonostia HRI.
3. Professional responsibility	+/-	Lack of knowledge of the ethical and good professional practice principles listed in the C&C by all the researchers and staff of the Biodonostia HRI.	Incorporate this principle in the Ethical and Good Practices Code of the Biodonostia HRI.
4. Professional attitude	+/-	Lack of knowledge of the ethical and good professional practice principles listed in the C&C by all the researchers and staff of the Biodonostia HRI.	Incorporate this principle in the Ethical and Good Practices Code of the Biodonostia HRI.
5. Contractual and legal obligations	+/-	Lack of knowledge of the contractual and legal obligations by the research staff.	Incorporate a summary of employees' rights and obligations in the welcome manual.
6. Accountability	+		
7. Good practice in research	+/-	Lack of knowledge of the rights and duties with regard to occupational safety, occupational risk prevention.	Intensify the training activity in occupational risk prevention.

8. Dissemination, exploitation of results	+		
9. Public engagement	+/-	Low interaction with society. Area for improvement in the communication of the strategic axes of Biodonostia HRI to society.	Measures will be implemented to disseminate the work of Biodonostia HRI and its strategic axes among social agents, using open workdays as tools.
10. Non discrimination	+/-	The gender balance is positive (59% women). However, Biodonostia HRI does not currently have an equality plan that extends the fulfilment of this principle.	The implementation of a work-life balance plan and an equality plan will contribute to continuing the progression in this area.
11. Evaluation/ appraisal systems	-/+	The External Scientific Committee of the Biodonostia HRI reviews the Institute's overall activity annually. The groups do not receive detailed feedback on this assessment. There is a procedure for the independent assessment of the researchers.	Meetings between Scientific Management and the heads of area/group to gauge the reviews and indications of the External Scientific Advisory Committee.
Recruitment and Selection			
12. Recruitment	+/-	Some 18% of those surveyed believe that this principle is not fully implemented. Some 30% see an area for improvement in the access requests.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
13. Recruitment (Code)	+/-	Although the Biodonostia HRI, as a public entity, has an open procedure for the selection and hiring of the research staff, it does not include all the requirements of an OTM-R policy. Many complete public subsidies for HR funding limit the qualifications and periods for the obtainment thereof, related to the contractual conditions referred to in the Spanish Science Act.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
14. Selection (Code)	-	The selection and hiring procedure does not envisage the compulsory candidate selection procedure. Selections do not generally take place by means of committees and there are no regulations to establish the members and their training in OTM-R.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
15. Transparency (Code)	+/-	Although the Biodonostia HRI has a selection and hiring procedure that outlines the content of the job announcements, all the sections recommended by the group	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.

		of experts in OTM-R are not envisaged.	
16. Judging merit (Code)	-	There are no guidelines that guarantee the application of this criterion in all cases. It is up to the Main Researcher to incorporate the merits it is considered necessary to assess.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
17. Variations in the chronological order of CVs (Code)	+/-	There are no guidelines that guarantee the application of this criterion in all cases. It is up to the Main Researcher to incorporate the merits it is considered necessary to assess. The only document requested from candidates is their CV in free format.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
18. Recognition of mobility experience (Code)	+/-	There are no guidelines that guarantee the application of this criterion in all cases. It is up to the Main Researcher to incorporate the merits it is considered necessary to assess.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R. The mobility aspect will particularly be taken into account.
19. Recognition of qualifications (Code)	+/-	There are no guidelines that guarantee the application of this criterion in all cases. It is up to the Main Researcher to incorporate the merits it is considered necessary to assess.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
20. Seniority (Code)	+/-	There are no guidelines that guarantee the application of this criterion in all cases. It is up to the Main Researcher to incorporate the merits it is considered necessary to assess.	Modification of the selection and hiring procedure of the Biodonostia HRI to adapt it to the recommendations of the C&C and OTM-R.
21. Postdoctoral appointments (Code)	-/+	The Biodonostia HRI does not have its own policy for the selection and hiring of post-doctoral staff. However, it should be pointed out that, in Spain, the Science Act sets a maximum term of 5 years for post-doctoral contracts. The generation of a development policy for post-doctoral staff requires public institutions like the Biodonostia HRI to have a source of income for the maintenance of this staff or to resort to public subsidies, which exist but do not make it possible to promote all post-doctoral researchers. The Biodonostia HRI does not have professional career elements for post-doctoral staff.	
<b>Working Conditions and Social Security</b>			
22. Recognition of the profession	+		

23. Research environment	+/-	<p>The Biodonostia HRI has its own building with more than 3,500m<sup>2</sup> of research infrastructure and spaces. In the development of the Strategic Plan, the opportunity to establish alliances with different agents to strengthen the spaces and platforms of the entity in the areas of Ageing, High-Precision Medicine and Bioinformatics was detected.</p> <p>The participation of the researchers and platforms in national and international networks is boosted, supporting the request for subsidies.</p> <p>Each platform has a web space for booking spaces.</p> <p>In the surveys, it is noted that the scientific facilities are adequate, although an area for improvement is detected in the facilities and material of communal areas.</p> <p>Some 48% believe that the Biodonostia HRI can improve the working environment to some extent. Some 40% are satisfied and only 9% think that not enough is being done.</p>	
24. Working conditions	-/+	<p>At the Biodonostia HRI, the legislation in terms of work-life balance is adhered to, and it is possible to reduce the working day for child or dependant care, and paternity or maternity leave is also available.</p> <p>Each group head can establish flexible working hours and the possibility of teleworking for researchers in their group.</p> <p>However, there is no internal regulation in this sense that establishes the minimum applicable parameters.</p>	Generating a Biodonostia HRI work-life balance policy would help to improve the fulfilment of this principle of the C&C.
25. Stability and permanence of employment	-	<p>As a public entity, the legal regulations for public deficit control, which include the limitation of the total payroll and of the granting of open-ended contracts, are applicable to the Biodonostia HRI, as employer.</p> <p>As with other entities in the sector, the majority of the human resources for R&amp;D&amp;I must be publicly funded through competitions. In practice, the competitions at state level only make it possible to fund new contracts, limited to the scope of the project. Moreover, the said contracts cannot be extended indefinitely, and the chaining thereof is not permitted (Spanish Workers' Statute [<i>Estatuto de los Trabajadores</i>]).</p> <p>The Biodonostia HRI does not have professional career elements making it possible to plan the development of a career in the Institute.</p> <p>Some 38% of those surveyed consider this principle not fulfilled.</p>	Working jointly with the other Basque Health Research Institutes and the Basque Government on the implementation of professional career elements is considered necessary.

26. Funding and salaries	-	The Biodonostia HRI has salary scales, in many cases dependent on the external funding received. The limitation of the total payroll, imposed as a public deficit control measure in Spain, does not permit pay rises for Biodonostia HRI workers. There is no Collective Agreement for the sector, which should in any case be developed with the collaboration and support of the Autonomous Community. As stated, there are not professional career elements in the Institute. Some 37% of those surveyed consider this principle not fulfilled.	Working jointly with the other Basque Health Research Institutes and the Basque Government on the implementation of professional career elements is considered necessary.
27. Gender balance	+/-	The Biodonostia HRI has a female staff ratio above 50%. However, this condition is not reproduced in positions of responsibility. Some 38% say they are satisfied with the gender balance policy at the highest levels and in the participation bodies. Some 6% believe that the Biodonostia HRI does not apply the adequate policies.	Developing an equality plan with special attention to the gender balance in positions of responsibility is considered an initiative that will contribute to the total implementation of this principle.
28. Career development	-/+	The Biodonostia HRI does not have its own professional career elements established. Some 20% of those surveyed believe that the Biodonostia HRI is not an entity committed to stability; some 13% think that it does not provide attractive economic conditions for researchers. And some 55% believe that the Biodonostia HRI must work to some degree on the implementation of the professional career (some 16% believes there is no career).	Working jointly with the other Basque Health Research Institutes and the Basque Government on the implementation of professional career elements is considered necessary.
29. Value of mobility	-/+	The Biodonostia HRI does not have professional career elements that assess mobility.	Working jointly with the other Basque Health Research Institutes and the Basque Government on the implementation of professional career elements is considered necessary.
30. Access to career advice	-	There is no comprehensive professional guidance system established, which would be of special interest for researchers at the start of their careers. It is considered particularly interesting to generate a personalised guidance system in this area.	The creation of the role of the career guide would increase the satisfaction of researchers with the fulfilment of this principle.
31. Intellectual Property Rights	+/-	The legislation relating to intellectual property rights is respected. However, a lack of knowledge among the research community is noted in this area, which makes it advisable to implement training measures.	The specific training at the Basque Foundation for Health Research and Innovation Research Results Transfer Office would result in better knowledge by the research staff.

32. Co-authorship	+/-	Some 12% of those surveyed believe that the Biodonostia HRI does not have strategies, procedures or regulations to guarantee its application.	Disseminating the Biodonostia HRI Ethical and Good Practices Code, which includes this principle, more widely and establishing a committee with advisory and conflict-resolution duties would assist the complete implementation of this principle of the C&C.
33. Teaching	--	Teaching is not remunerated or specifically recognised as a merit at the Biodonostia HRI, as it does not have its own professional career elements established, although the development of this activity is promoted, boosting its compatibility with the research activity. Only 18% of those surveyed believe that teaching is taken into consideration. Some 6% believe that it is not recognised in any way. Some 49% see an area for improvement in this sense.	Working jointly with the other Basque Health Research Institutes and the Basque Government on the implementation of professional career elements is considered necessary.
34. Complains/ appeals	+/-	The Biodonostia HRI Quality Management System envisages a complaints and suggestions receipt procedure. The website has a suggestions inbox open to the public. However, the role of mediator in staff conflicts does not exist, and nor is there an operational procedure to guarantee the resolution of possible disagreements or disputes in a confidential and informal manner. Some 19% of those surveyed believe that the Biodonostia HRI does not have a system to mediate in complaints. Some 57% believe that it is improvable to some degree.	Creating a committee with a research and multidisciplinary profile to act in mediations will contribute to the better fulfilment of this principle.
35. Participation in decision-making bodies	+/-	The research community participates in the Research Committee. Additionally, the General Assembly is advised by an External Scientific Committee, made up of renowned researchers. The responsibility for the execution of the strategies and conflicts falls, in turn, to the Scientific Director of the Biodonostia HRI, main researcher of one of the centre's research groups and of the Bioengineering Area. The researchers participate in the development of the Biodonostia HRI Strategic Plan through personal interviews. The Training Plan is assessed annually by means of satisfaction surveys. Members of the research community do not participate in the governance bodies. Within the framework of its quality management system, the suggestions inbox is contemplated as a tool for the	The Strategic Plan (2016-2020) incorporates the described participation actions. The need to raise awareness of the formulas for staff participation in the Institute is noted, which will contribute to improving the perception of the researchers and increasing their satisfaction.



		<p>participation of the research community.</p> <p>Some 14% of those surveyed believe that the Biodonostia HRI does not promote the participation of researchers in the decision-making process. Some 65% believe it is an area for improvement.</p>	
<b>Training and Development</b>			
<b>36. Relation with supervisors</b>	+	<p>The relationship with supervisors is one of the strong points detected by the researchers. Some 92% believe that the researchers in training and their supervisors maintain a relationship completely in accordance with this principle.</p> <p>In the case of the staff in training, activity projects and activity monitoring reports are developed that are sent to the funder. The summer internships programme for students is monitored through the initial programme outlined by the head researcher and the activity reports generated at the end of the internship.</p>	
<b>37. Supervision and managerial duties</b>	+	<p>Some 92% of those surveyed believe that the researchers in training and their supervisors maintain a relationship completely in accordance with this principle.</p>	
<b>38. Continuing Professional Development</b>	+/-	<p>The Biodonostia HRI has its own training plan. This includes activities in the form of seminars. For its development, from 2017, training needs detection surveys are carried out. These are analysed by the head of training for the planning of the next annual period. The Biodonostia HRI also has a joint programme with the UPV (University of the Basque Country) for the development of summer internships for students in its groups. The Communication Unit provides information on the Biodonostia HRI training activities programme, accessible to all of the staff.</p> <p>Provided that the budgetary limitations so permit, other training activities are organised at the proposal of the staff. The Training Plan is assessed bi-annually.</p> <p>The Biodonostia HRI does not have professional career elements established. Although, the Projects Unit informs the researchers who so request of the possible public grants to incentivise the professional career in R&amp;D&amp;I.</p>	<p>Training plan reformulation and deployment action plan (see Biodonostia HRI Strategic Plan). Establishing collaborations with the institutions making up Biodonostia HRI to introduce improvements in the training strategy would be of special interest for the full development of this principle of the C&amp;C.</p>
<b>39. Access to research training</b>	-/+	<p>The Biodonostia HRI has a Training Plan developed based on</p>	<p>The creation of the role of the career guide would</p>

and continuous development		<p>the needs detected in the research community and budgetary availability. The Projects Unit advises those who so request on the professional development opportunities through public grants available. The HR Unit responds to doubts on work-related matters.</p> <p>The role of the Main Researcher is essential in the guidance of inexperienced researchers.</p> <p>However, the Biodonostia HRI does not have the figure of a "career guide". Some 22% of the researchers consider that the Biodonostia HRI does not give guidance in professional matters. The total degree of satisfaction in this area is 30%.</p>	increase the satisfaction of researchers with the fulfilment of this principle of the C&C.
40. Supervision	+	<p>All trainee researchers have a head researcher who is a specialist in their field of R&amp;D&amp;I.</p> <p>In professional matters, the head of HR advises all the researchers who request advice. Some 62% believe that the Biodonostia HRI ensures that the trainee or inexperienced researchers have a mentor to whom to turn.</p>	

## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list<sup>1</sup>

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/- Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	X	x	x	--	▪ [web link]
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	X	x	x	+/-	▪ [Date of latest update; ensure that it is sent to all staff]
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
4. Do we make (sufficient) use of e-recruitment tools?	X	x		++	▪ Web-based tool for (all) the stages in the recruitment process
5. Do we have a quality control system for OTM-R in place?	X	x	x	--	▪ Quality Management System Manual including OTM-R revision ▪ Date of the latest internal audit performed
6. Does our current OTM-R policy encourage external candidates to apply?	X	x	x	+/-	▪ Trend in the share of applicants from outside the organization
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
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	X	x	x	+/-	▪ Trend in the share of applicants among underrepresented groups
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 organization
10. Do we have means to monitor whether the most suitable researchers apply?				--	▪ Results on annual revision of OTM-R
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	X	x		++	▪ Advertising procedure ▪ Templates availability

<sup>1</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	X	x		-/+	▪ Number of elements referenced/linked
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	X	x		--	▪ The share of job adverts 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		++	▪ -Number of job positions published in other webs or using other advertising tools
15. Do we keep the administrative burden to a minimum for the candidate?	X			++	▪ -Number of documents required
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees?		x	x	--	▪ Statistics on the composition of panels
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	--	▪ Womens %
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
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		x		++	▪ Applicants informed (%)
21. Do we provide adequate feedback to interviewees?		x		--	▪ Applicants informed about the results (%) ▪ Feedback to final stages applicants (%)
22. Do we have an appropriate complaints mechanism in place?		x		+/-	▪ Statistics on complaints
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				--	▪ Date of the latest revision of the OTM-R results