

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

“A Human Resources Strategy For Researchers Incorporating The Charter And Code”

**The Achucarro Basque Center for Neuroscience implementation process
4th cohort of the HRS4R**

August 2013

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INTERNAL ANALYSIS

0. Foreword

Ikerbasque – the Basque Foundation for Science (HR Excellence in Research awarded organisation) and the University of the Basque Country (UPV/EHU), fostered the creation of the Achucarro Basque Center for Neuroscience - a new research organisation within the Basque Network of Excellence Research Centres (BERC) - named in the memory of Nicolas Achucarro (Bilbao, 1880-1918), a pioneer of modern brain research.

The Achucarro Basque Center for Neuroscience private foundation was established in April 2012, and officially launched in July 2012.

The main strategic objective of **Achucarro** is to contribute to the development of a socially and economically sustainable Society. To do this we strive to perform world-class research in the study of **neuron-glia biology in the normal and pathological brain**. This research focus will allow us to contribute to the training of future generations of neuroscientists and be an active partner in the dissemination of the human knowledge about the brain.

The Mission and the Strategic Objectives set by the Board of Trustees of this research centre put a special emphasis in the central role of Achucarro with the compromise of collaborating with the raise of the new generations of neuroscientist, thus being an **active actor in the career development of the future neuroscientist**.

Although our will is to contribute in the future to more and better translational research, our current focus is more related to animal experimentation and in some cases, human samples (brain slices and blood taken from external Biobanks).

The Board of Trustees, in the first meeting for establishing the centre, decided to endorse the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers:
http://ec.europa.eu/euraxess/data/usgn_orgs/es%5Fachucarro%2Epdf

Besides, the **management model of the Achucarro centre is based in EFQM** (European Foundation for Quality Management), for which the management of and with people is a foundation for the success and excellence of an organisation. Taking this into account, the ethic compromise of Achucarro is with all the professionals working and developing their careers within the centre.

The main Legislation Framework (LF) related to recruitment and contracting of workers in the Science sector is defined by these laws, and also in particular with our activity in biosciences is this:

1. Spanish Constitution: Articles 44.2, 20.1, 20.4 and 149.15
2. Spanish Law on Science, Technology and Innovation (14/2011)
3. Spanish Law on Biomedical Research (14/2007)
4. Spanish Law on the Statute of Public Officials (7/2007)

Since most of it must in applying within the different statements of the Code & Charter, we preferred to state it here, to act as a framework for all our activities. The conclusion after analysing all of them is that in our case, it does not impede the implementation of the Charter and Code, although we would have to work out on some particular issues.

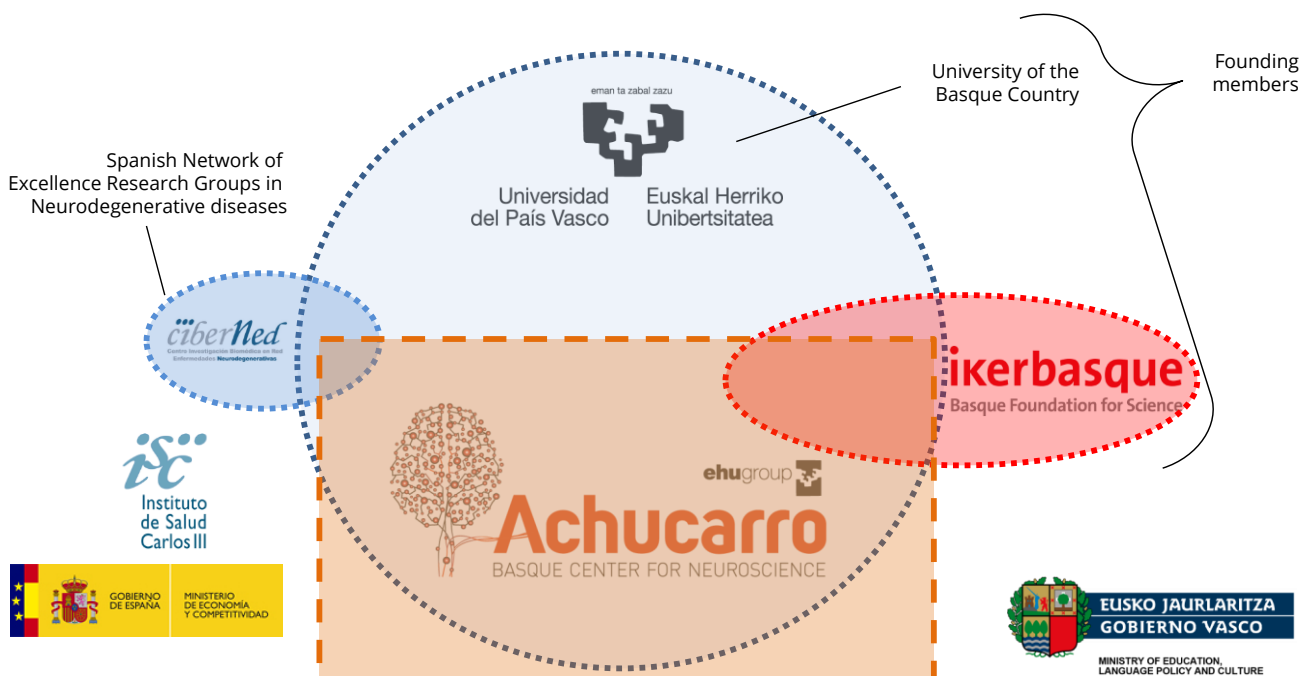
The centre is currently composed by 48 people, with the next representation of career stages and genders:



Even if we define them as “Achucarro personnel” for this purpose, we have different working/contracting schemes with the Achucarro appointed researchers, Technicians and Management staff. It is foreseen that in the future, Achucarro can have its own research staff, so the work done here is the base for the centre culture on career development and working rights and conditions.

The permanent Achucarro research staff (hereinafter Achucarro Staff) is composed by full professors (civil servants), professors, researchers or lecturers of the University of the Basque Country, and/or Ikerbasque –the Basque Foundation for Science. The younger researchers and technician are commonly hired via the competitive research projects granted by regional, state and international funding calls. In particular, the Spanish ciberNED project/platform for excellent research groups in neuroscience is a valuable resource for long-term research topics, and research-related personnel attraction, in our case technicians.

Currently, the Achucarro Staff works in 3 different locations, the University Campus in Leioa, and the Science and Technology Park in Zamudio, both within the metropolitan area of Bilbao (north of Spain).



So the creation of the Achucarro centre provides a new working environment and a framework to achieve more efficiently resources that cannot reach to our stakeholders (public University; virtual network and Science Foundation, to mention only three).

1. About the process

We would like to begin by stating some key aspects of the process:

- The General Manager of Achucarro was part of the Ikerbasque Management Team at the time that the Internal Analysis and Action Plan for that institution were completed, so this helped in the boosting of the process in Achucarro.
- The ideas and networking with other Spanish institutions in the Mutual Learning Seminar in Warsaw on April 2013 were fundamental to implement the process.
- As we already mentioned, the commitment with the professional ethics and the code of conduct for researchers comes from the Board of Trustees and the Direction (Scientific Director –SD- and General Manager –GM-) of the centre.

This has been the timeline of our implementation process so far.

Calendar of the process

When	What
March 2013	Collect the data about the Achucarro Staff profiles and selection of sample for surveying and profiles for working group
April 2013	First institutional communication about the C&C implementation process <ul style="list-style-type: none"> • via e-mail, • on behalf of the SD and GM, • reflecting the importance of this matter, • informing about the framework of the strategy, and • the next steps – surveying of a sample and requesting collaboration and commitment
April - May 2013	Surveying a sample of 18 people (nearly the 40%) taking into consideration: <ul style="list-style-type: none"> • level of seniority/position, • gender, and • years of experience in our research system <p>Response: 16 people (89% of the sample; 33% of the total)</p>
May - June 2013	Analysis and interpretation of the answers <ul style="list-style-type: none"> • First by the GM and SD, • Then by the a Task Force composed by 3 Principal Investigators/Senior researchers, 3 Postdoctoral researchers, 2 PhD students and the GM.
June - July 2013	Elaboration of the Draft of Action Plan approved internally, and subject to the validated by the Board of Trustees.

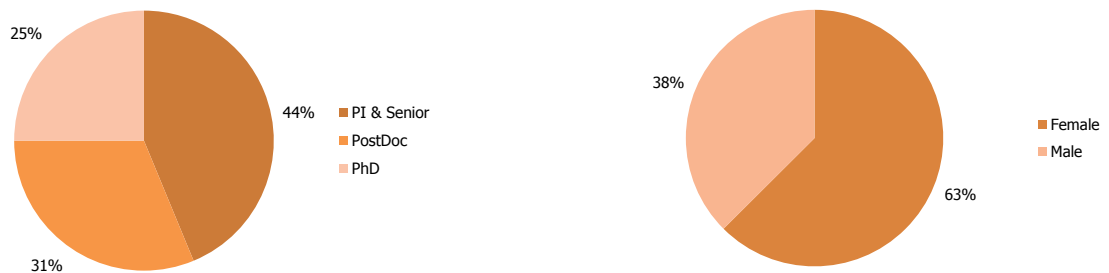
Survey

We wanted the survey to be anonymous, so we used “SurveyMonkey” platform for requesting the opinion of the selected sample according to the 40 principles in two different ideas:

- How much agree you are with the principle from 0 (Nothing) to 10 (Completely)
- How far is Achucarro to achieve this 0 (Very Far) to 10 (We got it)

So we could then discuss the bigger gaps and establish the foundations for the Action Plan. So the people had to provide 80 answers. This required us to provide enough time for everyone to complete the survey, because what everyone told us is that it requires time to ponder about, in many cases, such deep concepts.

Staff profile sample for the survey



Analysis and interpretation

Once all the answers were gathered and checked, we analysed (export to Excel) them so the Direction (Scientific Director and General Manager) could have a first glimpse at the results, to see if they met the intuitive idea we had.

Then, they were reviewed with the Task Force appointed for this job.

The main conclusions are:

- The 40 principles are common sense recommendations, and have been more or less implicitly implemented or have the impression that they have been implemented by all the researchers participating in the sample and the Task Force (Only a few of them have previous information about the C&C before, mainly the Ikerbasque researchers).
- There are no relevant differences in the opinion and perception between the researchers according to their position or gender.
- No answer below 7 has been provided for any item, which would mean that we are not really far from any of the principles.
- Since Achucarro does not have currently its own research and technical staff, these recommendations will be taken into consideration for the design and/or improvement of management processes (See Annex 1) and the Employee/Welcome manual (provided to all the staff, and updated regularly).
- The Direction of the centre will use the results of the survey to collaborate with the founding partners (The University of the Basque Country and Ikerbasque) to collaborate, disseminate, validate and improvement of the practices related to the 40 principles.
- Provided the research area of the centre, which has to do with biosciences, health and brain diseases, the researchers agreed to establish a particular Ethic/Conduct Code, aligned with the Values (Honesty, Cooperation and Excellence) of the centre, defined in the framework of the Foundation Statement and Strategic Plan of Achucarro for the 2013-2017 period. This could help to the creation and development of a particular organisation culture for the people working in Achucarro.

A special consideration related to the current situation of the Science system in Spain (and in general globally) was remarked by all the participants (Principles 23 to 26). The measures and decision taken by the Governments due to the financial situation of the states and Europe are really putting in risk the continuation of certain research projects, and therefore, the employment and the career linked to them.

The Basque Government is doing a special effort in this matter, to try to ensure that no position within the Basque Excellence research centres is finished, but if the financial restrictions extend more, this situation could be unsustainable.

2. Gap Analysis

1. Ethical and professional aspects

1. Research freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> Legislation Framework (LF) Endorsement of C&C (Commitment of Founding Partners) 	-	-

2. Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectorial or institutional Codes of Ethics.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> LF Endorsement of C&C 	-	-

3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> LF & Endorsement of C&C EFQM model based People Management process 	-	-

4. Professional attitude		
<p>Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> (All) Communication of Strategic Plan, Strategic Objectives (PIs) Participation in the follow-up meetings (once every semester) (PIs) Annual assessment from UPV/EHU and Ikerbasque 	<ul style="list-style-type: none"> Achucarro Code of Conduct (part of the Employee/Welcome Manual) Improve the coordination among Achucarro, UPV/EHU and Ikerbasque 	<ul style="list-style-type: none"> Direction Fall 2013 GM Spring 2014

5. Contractual and legal obligations		
<p>Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> LF Operation processes established in UPV/EHU, Ikerbasque and Achucarro 	-	-

6. Accountability		
<p>Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.</p> <p>Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> (PIs) Annual assessment from UPV/EHU and Ikerbasque Annual Audit Procurement Policy 	<ul style="list-style-type: none"> Improve the coordination among Achucarro, UPV/EHU and Ikerbasque 	<ul style="list-style-type: none"> GM Spring 2014

7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • Legally established Workplace Risk Prevention (WRP) monitoring • Data protection procedures (compliance with the Spanish Personal Data Protection Act and biomedical research best practices) 	-	-

8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF • Contractual framework of UPV/EHU, Ikerbasque and Achucarro • Achucarro Foundation Statement (Dissemination Process within the Management Model) • Neurogune (Basque Neuroscience Community) network for coordination and dissemination of research 	-	-

9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> Achucarro Foundation Statement (Dissemination Process within the Management Model) Collaboration with Science, Technology and Innovation related forums and institutions in our region, and the media. 	-	-

10. Non discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> LF & Endorsement of C&C Achucarro Foundation Statement (People Process) 	-	-

11. Evaluation/ appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> Endorsement of C&C UPV/EHU and Ikerbasque Career Promotion Policies Achucarro Foundation Statement (People Process) Achucarro International Scientific Advisory Committee reviews and validations 	-	-

2. Recruitment

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro Foundation Statement (People Process) • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

13. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro Foundation Statement (People Process) • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

14. Selection (Code)

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque recruitment panels and policies • Achucarro Foundation Statement (People Process) • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

15. Transparency (Code)

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro Foundation Statement (People Process) • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

16. Judging merit (Code)

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque recruitment/assessment policies • Achucarro People Process • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

17. Variations in the chronological order of CVs (Code)

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro People Process • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

18. Recognition of mobility experience (Code)

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro People Process • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

19. Recognition of qualifications (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro People Process • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

20. Seniority (Code)

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro People Process • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

21. Postdoctoral appointments (Code)

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque recruitment policies • Achucarro People Process • Achucarro International Scientific Advisory Committee reviews and validations 	-	-

3. Working conditions and social security

22. Recognition of the profession

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	-	-

23. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • Achucarro Strategy 2013-2017 	<ul style="list-style-type: none"> • Encourage Trustees to foster the groups within the centre and the use the BERC funding to support particular situations, if necessary. 	<ul style="list-style-type: none"> • Direction Fall-Winter 2013

24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, teleworking and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • (Legally established) Workplace Risk Prevention Plan • UPV/EHU and Ikerbasque Working Policy Statements • Achucarro People Process and Working Policy Statement 	-	-

25. Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the *EU Directive on Fixed-Term Work*.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	<ul style="list-style-type: none"> • Encourage Trustees to foster the groups within the centre and the use the BERC funding to support particular situations, if necessary. 	<ul style="list-style-type: none"> • Direction Fall-Winter 2013

26. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	-	-

27. Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	-	-

28. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	<ul style="list-style-type: none"> • Study the possibility of establishing an explicit Mentorship Programme 	<ul style="list-style-type: none"> • Direction Winter 2013

29. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	-	-

30. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • UPV/EHU and Ikerbasque services • Achucarro People Process 	<ul style="list-style-type: none"> • Study the possibility of establishing an explicit Mentorship (and Career Advisory) Programme 	<ul style="list-style-type: none"> • Direction Winter 2013

31. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque contractual framework • Achucarro People Process 	<ul style="list-style-type: none"> • Periodic training on IPR 	<ul style="list-style-type: none"> • Direction Annually

32. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	-	-

33. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU and Ikerbasque internal policies • Achucarro People Process 	-	-

34. Complains/ appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • UPV/EHU ombudsman and Ikerbasque services • Achucarro (anonymous) suggestion box (website) • Achucarro People Process (Organisation culture and values) 	-	-

35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • LF & Endorsement of C&C • Achucarro Management and Research processes • (PIs) Participation in the follow-up meetings (once every semester) • (UPV/EHU) Department Councils • (Ikerbasques) Ikerbasque Workshops 	-	-

4. Training

36. Relation with supervisors		
<p>Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • Pls educated in the international science system • "Journal Clubs" of each group 	<ul style="list-style-type: none"> • Recommendations to Pls about supervision duties 	<ul style="list-style-type: none"> • General Manager Fall 2013
37. Supervision and managerial duties		
<p>Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • Pls educated in the international science system 	<ul style="list-style-type: none"> • Recommendations to Pls about supervision duties 	<ul style="list-style-type: none"> • General Manager Fall 2013
38. Continuing Professional Development		
<p>Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • UPV/EHU and Ikerbasque internal training opportunities • Achucarro Seminars programme • Achucarro People Management Process 	-	-

39. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • UPV/EHU and Ikerbasque internal training opportunities • Achucarro Seminars programme • Achucarro People Management Process 	-	-

40. Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> • Endorsement of C&C • PIs educated in the international science system and internal group organisation • "Journal Clubs" of each group • Achucarro People and Research Management Processes 	-	-

3. General conclusions

Although Achucarro is a brand new centre, we have the advantage of being part of two already consolidated institutions, with well-established policies and services, which provides a solid foundation for the development of an excellent environment for research and researchers' career development.

The other side of this reality is that the collaboration efforts to coordinate the different policies between the different parties are bigger than in other organisations.

In order to maintain the good practices that the research groups, and its individuals already do, and to make them part of the Achucarro Management model and organisation culture, we will ensure that the related processes reflect the ideas behind the 40 principles. We need also to ensure that these processes are regularly communicated, so everybody knows about them, and receive feedback, so they can be improved, but these two systematic jobs are managed by our management model.

Finally, even if we are in a quite difficult situation due to the already mentioned Science system structural financing problems, we want to be positive, and take all this thoughts and reflections to establish the foundations of this project for the future, since the commitment of all the Achucarro staff with the Charter and the Code is complete.

ACTION PLAN

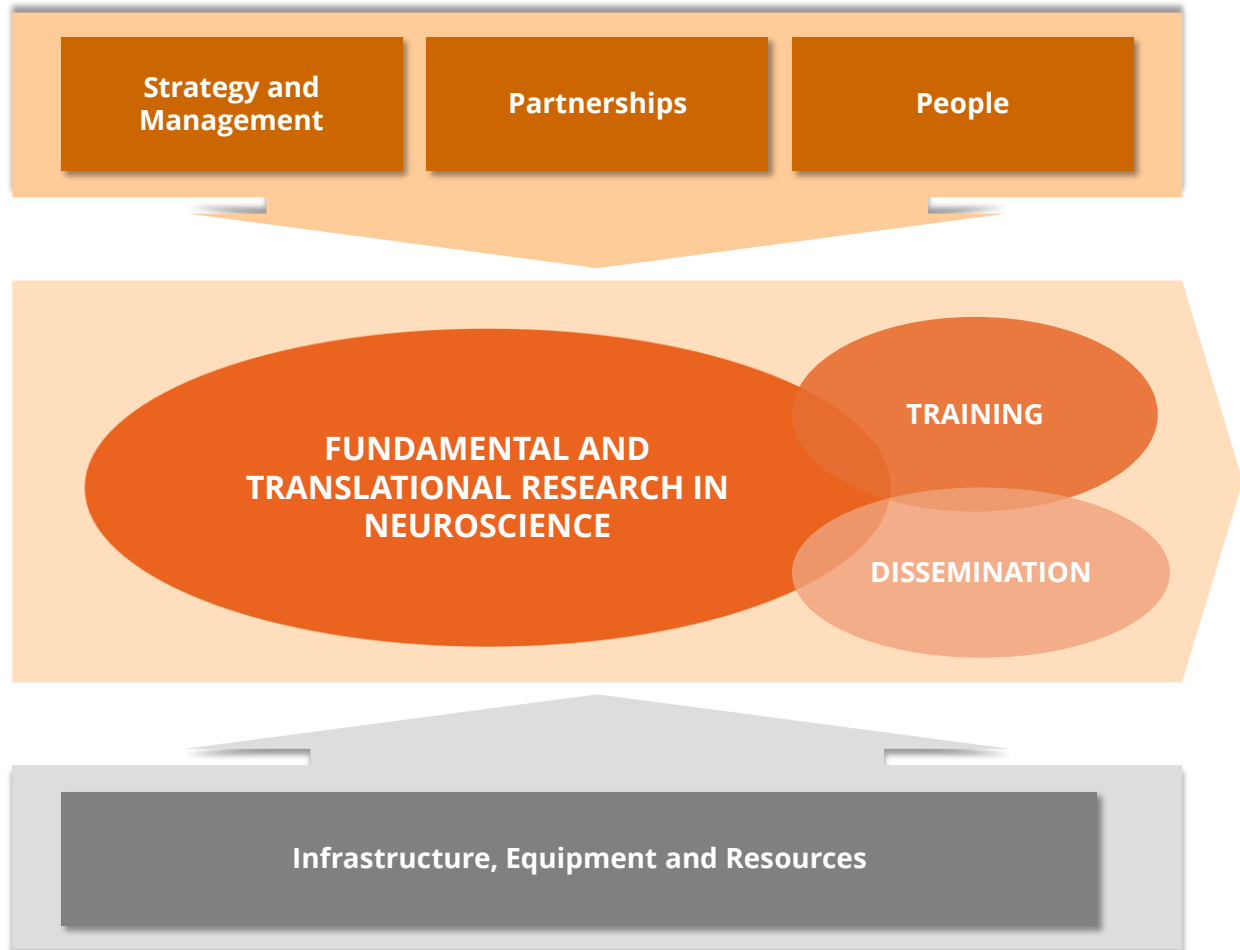
Achucarro calendar and responsibilities for the implementation of the Action Plan

When	What	Who	Indicator(s)
Fall 2013	Achucarro Code of Conduct (part of the Employee/Welcome Manual) Benchmark: ISCII Code fo Good Research	Direction	Code Validated and Endorsed
Spring 2014	Improve the coordination among Achucarro, UPV/EHU and Ikerbasque	General Manager	Process for information exchange working
Fall-Winter 2013	Encourage Trustees to foster the groups within the centre and the use the BERC funding to support particular situations, if necessary.	Direction	No. People in December 2013 equal or more than January 2013 (except natural leaves)
Winter 2013	Study the possibility of establishing a Mentorship Programme	Direction	Completeness
Annually	Periodic training on IPR	Direction	No. of Patents
Fall 2013	Recommendations to PIs about supervision duties	General Manager	Document validated by SD

These actions will be included in the Management Plans for the next years of the main processes (Strategy and Management, People and Research) of Achucarro. See Annex 1.

ANNEX 1: ACHUCARRO MANAGEMENT PROCESS MAP

The EFQM (European Foundation for Quality Management) Excellence Model is a non-prescriptive management framework that provides a holistic view of the organisation. The Model can therefore be used in conjunction with any number of other tools, based on the needs and function of the organisation, as an overarching framework for developing sustainable excellence.



More information here: <http://www.efqm.org/efqm-model/fundamental-concepts>

ANNEX 2: PEOPLE MANAGEMENT PROCESS OVERVIEW

People is one the 9 fundamental concepts in the EFQM model. In particular, it is defined as “Succeeding through the Talent of People”.

The model defines the People concept, and rarely uses “Human Resource” to mean employees, that’s why the widely use People instead of HR.

The processes in EFQM can be defined just as a sequence of activities.

Within that simple approach, those activities need to fulfil a complex set of objectives: describe the organisation of the actions (the know-how), ensure (it has indicators) that adds value by producing required the outputs (from a variety of inputs). The processes must then have a holistic view of all the scopes of the concept they manage. Processes can have subprocesses that will deal with specific parts, and will have to ensure that they meet the same requirements as processes (stakeholders, know-how, indicators,...).

In our case, the People Management process manages these subprocesses:

