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BASQUE CENTRE FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

Implementation of the European Charter for Researchers
&
the Code of Conduct for the Recruitment of Researchers

European Commission

euraxess
RESEARCHERS IN MOTION

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Contents

1. Foreword

BC3, the Basque Centre for Climate Change – Klima Aldaketa Ikergai, is a world class interdisciplinary research centre located in Leioa for the study of the causes and consequences of the climate change.

It was created as a Basque Excellence Research Centre (BERC) by the Basque Government and the University of the Basque Country in 2008 and constituted as a non-profit association. The Associate Members are:

IKERBASQUE (Basque Foundation for Science)

UPV/EHU (University of the Basque Country)

IHOBE – Public Environmental Agency

The centre led by one of the most recognized scientist in this field, Prof. María José Sanz contributes to the decision-making at the Basque, Spanish and International level by integrating natural and social sciences to address the socio-economic implications of global climate change. This synergy is realized through our research on low carbon transitions, natural environment and ecosystem services, health, economics and policy.

Despite its short life BC3 has been recognized as the top climate change think tank under European category of the ICCG Think Tank ranking for 2012, and second best at the World wide level for 2013.

BC3's Steering committee decided to endorse the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers in the meeting celebrated in December, 2013:

 http://ec.europa.eu/euraxess/data/usgn_orgs/BC3_Letter_signed_20122013.pdf

BC3 conducted the initial survey on the 40 principles in June 2014 with a limited number of researchers that covered all the research HR categories at the centre and considering a gender balanced team. The results of the survey were quite satisfactory but BC3's Management Committee decided to elect a group of people to analyse the results. The elected a team was a group of researchers and managerial staff (HR EXCELLENCE Working Group) and their aim was to analyse the survey and to propose the action plan to improve those principles that had the lowest scores. After some brainstorming sessions, an action plan was developed and sent to the Commission for its approval. After undergoing the evaluation process, the European Commission approved the Strategy

proposed and in April 2015, BC3 was recognized with the "HR Excellence in research" award.

2. HR Excellence process – A general summary of the last 2 years

2.1 The context

BC3's core value is the people that conducts research or supports the research activity in order to fulfill the centre's excellence. The number of people has grown smoothly in the last two years as indicated in the table below. But the success of BC3 in terms of funding attraction allowed BC3 to grow significantly in the last year.

	2015	**2016**	**2017***
Total	**42**	**43**	**51**
Res.	*36*	*38*	*46*
Admin.	*6*	*5*	*5*

BC3's research categories are explained in the following table:

BC3 Scientific Positions		
Senior level	***Scientific Director*** – Defines the scientific goals and research topics of the centre. Guarantees excellence in the scientific production, execution and monitoring of the whole research centre.	
	Ikerbasque Professor – Senior level directly recruited by IKERBASQUE through an international call. - The applicants must have their PhD completed before January 2009 (for 2017 call). - Only researchers with a solid research track, senior level and international research experience are considered.	
	BC3 Research Professor – Senior level researcher with more than 7 years of research experience after having obtained his/her PhD.	
	Ikerbasque Research Fellow - Senior level directly recruited by IKERBASQUE through an international call. - The applicants must have their PhD completed between 1 January 2006 and 31 December 2014 for the call of 2017. This eligibility period might be extended under special circumstances such as maternity or long-term illness. - Promising young researchers with a solid research track and international experience.	
	BC3 Research Fellow – Senior level *r*esearcher with more than 4 years of experience after having obtained his/her PhD.	
Junior level	***BC3 Post-Doctoral Researcher*** – Junior Researcher who has recently obtained his/her PhD	
	BC3 PhD Student – Junior researcher part of a PhD programme.	
	Research Assistant – Junior level researcher whose function is to assist the most senior level researchers in their daily scientific activity.	

Particularly remarkable is the capacity of BC3 to attract international senior researchers through the Ikerbasque international call. To date, there are seven Ikerbasque Professors (considering the Scientific Director) and one Ikerbasque Fellow working at the centre. Two additional Ikerbasque fellows will be incorporated in 2018.

2.2 HR Excellence in BC3— Charter&Code Implementation

BC3 decided to commit with the **HR Excellence in Research process** in November 2013 after a deep analysis of BC3's people needs. After the communication and approval processes, BC3 started to implement the tasks needed to implement the **European Charter for Researchers** and **Code of Conduct for the Recruitment according to the action plan defined in April 2015.**

BC3 conducted the initial survey on the 40 principles in June 2014 with a limited number of researchers that covered all the research HR categories at the centre and considering a gender balanced team. The results of the survey were quite satisfactory but BC3's Management Committee decided to elect a group of people to analyse the results. The elected a team was a group of researchers and managerial staff (HR EXCELLENCE Working Group) and their aim was to analyse the survey and to propose the action plan to improve those principles that had the lowest scores.

BC3's **general conclusion in regard to the initial survey:**

- The groups of principles overall were very highly scored: the average a **94% of relevancy**.

- The "**Training**" group of principles got the highest score, followed by "**Working conditions and social security**" and **"Ethical and professional aspects**". The lowest of the groups scored was **"Recruitment"** but only with a difference of 1%.

- The average score of **BC3's position** was also very high **81%.**

- The general average **GAP** between the relative importante of each group and the assessment done of BC3 situation was **13%.**

- Taking into account those figures, BC3 conclude that the centre´s current HR strategy is quite well positioned although BC3 proceeded to deploy an Action Plan to improve the principles that got the lowest scores.

After some brainstorming sessions, an action plan was developed and sent to the Commission for its approval. After undergoing the evaluation process, the European Commission approved the Strategy proposed and in April 2015, BC3 was recognized with the "HR Excellence in research" award.

Each of the proposed actions had a coordinator with the capacity to select a team to help them on the development of the action. The proposed actions were:

- **Action 1**: Improvement of the evaluation/appraisal process.

- **Action 2:** Development of an individual Research Plan.

- **Action 3**: Improve the communication of the professional career development (PCD) process.

- **Action 4:** Mentoring System.

- **Action 5:** Development of a Conflict Management System.

- **Action 6:** Development of Guidelines for Supervision of PhD students.

The implementation of the Charter and Code has provided BC3 the opportunity to implement a participatory process for all research categories and administration staff, and to contribute to a stimulating working environment. The main challenge that BC3 faced during the implementation of the actions that the HR EXCELLENCE Working Group designed was the change of the Scientific Direction (January 2016). Once the new Scientific Director was informed on the whole process the HR EXCELLENCE Working Group continue its implementation.

2.3 Action Plan Follow up

The explanation on each principle and related action is provided in this section following 2015 Action Plan format. Additionaly an executive summary is provided:

Executive summary:

Title action	Timing	Responsible Unit	Indicator(s) / Target	Current status
Action 1: *Improvement of the evaluation/appraisal process*	*December 2015*	*BC3 Research Professor (as Coordinator) and all categories (WG) → approval from BC3's Management Committee*	*The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process* *100% of BC3 evaluations under the new evaluation process*	*The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.* *BC3 will execute the evaluations under this new process from 2018.*

Action 2: Development of an individual Research Plan.	December 2015	BC3 Research Fellow (Coordinator) and all categories (WG) → approval from BC3's MC	The Management Committee of BC3 endorses the new evaluation/appraisal process and the Individual Research Plan template	This action was grouped with Action 1, and currently is in the process of validation as the new BC3 Strategy is already developed.
Action 3: Improve the communication of the professional career development (PCD) process	June 2016	Operations Manager (Coordinator) and depending on the topic: several categories Res/Admin (WG).	Creation of BC3all email group Meet at least once per year with all BC3 employees and make a stop on the Evaluation/Appraisal + PCD plan Publish the Evaluation/Appraisal + PCD plan at the Intranet and send reminders to check the intranet	Completed. 2017's meeting completed. BC3 will publish the Evaluation/Appraisal + PCD s from 2018.
Action 4: Mentoring System	October 2015	BC3 Postdoctoral Researcher (Coordinator) and Senior/Postdoc/PhD student (WG) → approval from BC3's MC	The BC3's MC endorses the guidelines of the Mentoring System The Mentoring Guidelines are published in the intranet 10% of Researchers have appointed an internal/external mentor	Completed. Completed. 15% of BC3's researchers appointed a mentor.
Action 5: Development of a Conflict Management System.	February 2016	Ikerbasque Research Professor (Coordinator) and all categories (WG) → approval from BC3's MC	The BC3's MC endorses the guidelines of the Conflict Management System The Conflict Management System is published in the intranet	Completed. Completed.
Action 6: Development of Guidelines for Supervision of PhD students.	May 2015	PhD students (Coordinators) and juniors/supervisor (WG). → approval from BC3's MC	The BC3's MC endorses the Guidelines for Supervision of PhD students Guidelines for Supervision of PhD students are published in the intranet	Completed. Completed.

I. 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
– 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, sectoral or institutional Codes of Ethics.		
Existing Institutional rules and/or practices	**Actions required**	**When/Who**
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners).	-	-

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – EFQM model based People Management process.	-	-

4. Professional attitude
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.

Existing Institutional rules and/or practices	Actions required	When/Who
– Communication of Strategic Plan, Strategic Objectives. – Participation in Management Committee meetings (once every month by senior researchers) and in the General Meeting (all BC3 employees, every 6 months). – Annual assessment from BC3 and Ikerbasque.	-	-

5. Contractual and legal obligations
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.

Existing Institutional rules and/or practices	Actions required	When/Who
– Legislation Framework (LF). – Operation processes established in BC3.	-	-

6. Accountability

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.

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.

Existing Institutional rules and/or practices	Actions required	When/Who
– Annual assessment from BC3 and Ikerbasque. – Annual Audit. – Procurement Policy.	-	-

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – 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
− Legislation Framework (LF). − Contractual framework of BC3 and Ikerbasque. − BC3's Dissemination Process within the Management Model.	-	-

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
– BC3's Dissemination Process within the Management Model). – Collaboration with Science, Technology and Innovation related forums and institutions in our region, and the media.	– **Action 1**: Improvement of the evaluation/appraisal process.	**When :** December 2014 –December 2015. **Who:** BC3 Research Professor (Coordinator) and all categories (WG).

Indicators & current status :

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.

- *100% of BC3 evaluations under the new evaluation process*: BC3 will execute the evaluations under this new process from 2018.

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3's 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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque Career Promotion Policies. – BC3's People Process. – BC3 International Scientific Advisory Committee reviews and validations.	– **Action 1**: Improvement of the evaluation/appraisal process.	**When :** December 2014 –December 2015. **Who:** BC3 Research Professor (Coordinator) and all categories (WG).

Indicators & current status :

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.

- *100% of BC3 evaluations under the new evaluation process*: BC3 will execute the evaluations under this new process from 2018.

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3'a People Process. – BC3 International Scientific Advisory Committee reviews and validations.	– **Action 1**: Improvement of the evaluation/appraisal process.	**When :** December 2014 –December 2015. **Who:** BC3 Research Professor (Coordinator) and all categories (WG).

Indicators & current status :

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.

- *100% of BC3 evaluations under the new evaluation process*: BC3 will execute the evaluations under this new process from 2018.

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3 's People Process. – BC3 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment panels and policies. – BC3's People Process. – BC3 International Scientific Advisory Committee reviews and validations.	– **Action 1**: Improvement of the evaluation/appraisal process.	**When :** December 2014 –December 2015. **Who:** BC3 Research Professor (Coordinator) and all categories (WG).

Indicators & current status :

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.

- *100% of BC3 evaluations under the new evaluation process*: BC3 will execute the evaluations under this new process from 2018.

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3 's People Process. – BC3 International Scientific Advisory Committee reviews and validations.	– **Action 1**: Improvement of the evaluation/appraisal process.	**When :** December 2014 –December 2015. **Who:** BC3 Research Professor (Coordinator) and all categories (WG).

Indicators & current status :

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.

- *100% of BC3 evaluations under the new evaluation process*: BC3 will execute the evaluations under this new process from 2018.

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
- Legislation Framework (LF). - Endorsement of C&C (Commitment of Founding Partners). - BC3 and Ikerbasque recruitment/assesment policies. - BC3's People Process. - BC3 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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3's People Process. – BC3 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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3's People Process. – BC3 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**
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3 People Process. – BC3 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**
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3's People Process. – BC3 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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque recruitment policies. – BC3's People Process. – BC3 International Scientific Advisory Committee reviews and validations.	-	-

III. 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3's and Ikerbasque internal policies. – BC3 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 Strategy.	-	-

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, tele-working 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – (Legally established) Workplace Risk Prevention Plan. – BC3's People Process.	-	-

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
− Legislation Framework (LF). − Endorsement of C&C (Commitment of Founding Partners). − BC3's and Ikerbasque's People Process.	**Action 4:** Mentoring System. **Action 2:** Development of an individual Research Plan. **Action 3:** Improve the communication of the professional career development process.	**Action 4:** **When:** February 2015 – October 2015. **Who:** BC3 Postdoctoral Researcher (Coordinator) and Senior/Postdoc/PhD student (WG). **Action 2:** **When:** June 2015 – December 2015. **Who:** BC3 Research Fellow (Coordinator) and all categories (WG). **Action 3:** **When:** February 2016 – June 2016. **Who:** Operations Manager (Coordinator) and depending on the topic: several categories Res/Admin (WG).

Indicators & current status :

Action 2

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: This action was grouped with Action 1, and currently is in the process of validation as the new BC3 Strategy is already developed.

Action 3

- *Creation of BC3all email group:* Completed.

- *Meet at least once per year with all BC3 employees and make a stop on the Evaluation/Appraisal + PCD plan:* 2017's meeting completed.

- *Publish the Evaluation/Appraisal + PCD plan at the Intranet and send reminders to check the intranet:* BC3 will publish the Evaluation/Appraisal + PCD s from 2018.

Action 4

- *The BC3's MC endorses the guidelines of the Mentoring System:* Completed

- *The Mentoring Guidelines are published in the intranet:* Completed

- *10% of Researchers have appointed an internal/external mentor:* 15% of BC3's researchers appointed a mentor.

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque internal policies. – BC3's 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque internal policies. – BC3's 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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque internal policies. – BC3's People Process.	**Action 4:** Mentoring System. **Action 2:** Development of an individual Research Plan. **Action 3:** Improve the communication of the Professional career development process.	**Action 4:** **When:** February 2015 – October 2015. **Who:** BC3 Postdoctoral Researcher (Coordinator) and Senior/Postdoc/PhD student (WG). **Action 2:** **When:** June 2015 – December 2015. **Who:** BC3 Research Fellow (Coordinator) and all categories (WG). **Action 3:** **When:** February 2016 – June 2016. **Who:** Operations Manager (Coordinator) and depending on the topic: several categories Res/Admin (WG).

Indicators & current status :

Action 2

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: This action was grouped with Action 1, and currently is in the process of validation as the new BC3 Strategy is already developed.

Action 3

- *Creation of BC3all email group:* Completed.

- *Meet at least once per year with all BC3 employees and make a stop on the Evaluation/Appraisal + PCD plan:* 2017's meeting completed.

- *Publish the Evaluation/Appraisal + PCD plan at the Intranet and send reminders to check the intranet:* BC3 will publish the Evaluation/Appraisal + PCD s from 2018.

Action 4

- *The BC3's MC endorses the guidelines of the Mentoring System:* Completed

- *The Mentoring Guidelines are published in the intranet:* Completed

- *10% of Researchers have appointed an internal/external mentor:* 15% of BC3's researchers appointed a mentor.

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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque internal policies. – BC3's 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
– BC3 and Ikerbasque services. – BC3 People Process.	-	-

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque contractual framework. – BC3's People Process.	-	-

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
− Endorsement of C&C (Commitment of Founding Partners). − BC3 and Ikerbasque internal policies. − BC3's 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
– Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque internal policies. – BC3's contractual framework. – BC3's 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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 (anonoymous) suggestion box (website). – BC3's Strategy - Organisation culture and values .	– **Action 5**: Development of a Conflict Management System.	**When :** October 2015 – February 2016. **Who:** Ikerbasque Research Professor (Coordinator) and all categories (WG).

Indicators & current status :

- *The BC3's MC endorses the guidelines of the Conflict Management System*: Completed.

- The Conflict Management System is published in the intranet : Completed

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
– Legislation Framework (LF). – Endorsement of C&C (Commitment of Founding Partners). – BC3 Management and Research processes. – Participation in the Management Committee meetings (once per month, senior researchers) and in the General Meeting (once every semester). –	-	-

36. Relation with supervisors
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.

Existing Institutional rules and/or practices	Actions required	When/Who
– Endorsement of C&C (Commitment of Founding Partners). – PIs trained in the international science system.	– **Action 6:** Development of Guidelines for Supervision of PhD students.	**When :** March 2015 – May 2015. **Who:** PhD students (Coordinators) and juniors/supervisor (WG).

Indicators & current status :

- *The BC3's MC endorses the Guidelines for Supervision of PhD students*: Completed.

- Guidelines for Supervision of PhD students are published in the intranet: Completed

37. Supervision and managerial duties

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.

Existing Institutional rules and/or practices	Actions required	When/Who
– Endorsement of C&C (Commitment of Founding Partners). – PIs trained in the international science system.	– **Action 6**: Development of Guidelines for Supervision of PhD students.	**When :** March 2015 – May 2015. **Who:** PhD students (Coordinators) and juniors/supervisor (WG).

Indicators & current status :

- *The BC3's MC endorses the Guidelines for Supervision of PhD students*: Completed.

- Guidelines for Supervision of PhD students are published in the intranet: Completed

38. Continuing Professional Development

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.

Existing Institutional rules and/or practices	Actions required	When/Who
– BC3 and Ikerbasque internal training opportunities. – BC3 Seminars programme. – BC3's People 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
– BC3 and Ikerbasque internal training opportunities. – BC3 Seminars programme. – BC3's People 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
− Endorsement of C&C (Commitment of Founding Partners). − PIs trained in the international science system and internal group organisation. − BC3's People and Research Management Processes.	**Action 1:** Improvement of the evaluation/appraisal process. **Action 6:** Development of guidelines for supervision of PhD students.	**Action 1:** **When :** December 2014 –December 2015. **Who:** BC3 Research Professor (Coordinator) and all categories (WG). **Action 6 :** **When :** March 2015 – May 2015. **Who:** PhD students (Coordinators) and juniors/supervisor (WG).

Indicators & current status :

Action 1

- *The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process*: The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed.

- *100% of BC3 evaluations under the new evaluation process*: BC3 will execute the evaluations under this new process from 2018.

Action 6

- *The BC3's MC endorses the Guidelines for Supervision of PhD students*: Completed.

- *Guidelines for Supervision of PhD students are published in the intranet*: Completed.

3. HR Excellence process – Next steps

3.1 Second internal review after first Action Plan

The internal review was conducted through a questionnaire that was launched by the end of January 2017. This questionnaire was open to all BC3 researchers, that is, junior and senior researchers. Based on the template provided by Euraxess BC3 asked for the 4 **group of principles**:

- **Ethical and rofessional aspects**: principles 1-11

- **Recruitment**: principles 12-21

- **Working conditions and social security** : principles 22-35

- **Training**: principles 36-40

Once the answers were compiled, (31 surveys in total, 68%) BC3 first calculated the average score of each of the groups of principles (how much the researchers agree with the principles) and the position of BC3 in order to get the GAP between both. This calculation help the team to prioritize each group of principles and to prioritize the areas to deploy an Action Plan.

The analysis of the survey results was done in one of the meetings celebrated by the HR Excellence Working Group and was shared with the Management Committee of BC3. This conclusions are the base to design the new Action Plan.

- The groups of principles overall were very highly scored: the average a **91% of relevancy**.

- The "**Ethical and professional aspects"** group of principles got the highest score, followed by "**Recruitment"**. The lowest of the groups scored was **"Working conditions and social security"** and **"Training"**.

- The average score of **BC3's position** was a **73%.** This decrease compared to previous questionnaire is also because we open the questionnaire to all BC3 researchers, and not all of them had the same level of interest or information.

- The general average **GAP** between the relative importante of each group and the assessment done of BC3 situation was **20%.**

- Taking into account those figures, BC3 conclude that the centre´s current HR strategy is quite well positioned although BC3 proceeded to deploy an Action Plan to improve the principles that got the lowest scores.

3.2 Action Plan 2017 - 2020

As summary of the period, BC3 has continued working on the 40 principles and maintained its commitment with the Charter and Code and the HRS4R, as part or our Centre's Strategy. Next year BC3 will start a new Strategy period of four years (2018 – 2021) where its commitment with the Charter and Code implementation as well as with the HRS4R is confirmed. The new action plan designed by the HR EXCELLENCE group has been incorporated in the new Strategy and can be summarized as follows:

Title action	Timing	Responsible Unit	Indicator(s) / Target	Current status
Action 1: Develop a Gender and Equality Plan	June 2018	BC3's Operations Manager and HR Excellence WG → approval from BC3's Management Committee	The Management Committee (Hereinafter, MC) of BC3 endorses the Gender and Equality Plan Publication of the Gender and Equality Plan at the Intranet The % of woman researchers applying to BC3's Job Offers The % of woman researchers in senior positions	
Action 2: Impove the clarity of the Recruitment Policy at BC3 (OTM-R) and align it with the new Data Protection Law	June 2018	BC3's Operations Manager and HR Excellence WG	The MC of BC3 endorses the new Recruitment Policy in case of necesity Number of candidates per call/year Number of complaints per year	
Action 3: Continue with the Improvement of the evaluation/appraisal process and align it with BC3's Strategy (The individual Research Plan is included in the Evaluation process)	March 2018	BC3 Research Professor (as Coordinator) and all categories (WG) → approval from BC3's Management Committee	The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process 100% of BC3 evaluations under the new evaluation process	The new evaluation/annual assessment policy is already presented to all BC3 and it's is the process of validation as the new BC3 Strategy is already developed. BC3 will execute the evaluations under this

				new process from 2018.
Action 4: _Continue with the Improvement of the communication of the professional career development (PCD) process_	_June 2018,_ _Annualy_	_Operations Manager (Coordinator) and the HR Working Group_	_Publish the Evaluation/Appraisal + PCD plan at the Intranet and send reminders to check the intranet_ _Meet at least once per year with all BC3 employees and make a stop on the Evaluation/Appraisal + PCD plan_	_BC3 will publish the Evaluation/Appraisal + PCD s from 2018._ _2017's meeting completed._
Action 5: _Inform about BC3's Mentoring System and include it at the welcome plan._	_Annualy_	_BC3 Postdoctoral Researcher (Coordinator) and the HR Working Group_	_% of researchers that have appointed an internal/external mentor_ _% of BC3 researchers informed about the BC3's Mentoring System_	_15% of BC3's researchers appointed a mentor by 2017._
Action 6: _Inform about the guidelines of the Conflict Management and include it at the welcome plan._	_Annualy_	_Ikerbasque Research Professor (Coordinator) and and the HR Working Group_	_% of BC3 researchers informed about the guidelines of Conflict Management_	
Action 7: _Inform about the guidelines for supervision of PhD students and include it at the welcome plan._	_Annualy_	_BC3 Postdoctoral Researcher (Coordinator) and and the HR Working Group_	_% of PhD students informed about the guidelines for supervision of PhDs_ _% of Senior researchers informed about the guidelines for supervision of PhDs_ _Number of researchers trained in supervision of students_	