

bc³

BASQUE CENTRE
FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

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



January, 2015



BASQUE CENTRE
FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

Contents

1. Foreword.....	1
2. HR Excellence process.....	3
2.1 The context.....	3
2.2 HR Excellence in BC3— Charter&Code Implementation.....	3
2.3 Internal analysis and interpretation.....	6
2.4 Action Plan.....	7
2.5 General conclusions.....	48
Annex I – Operating Model.....	49
Annex II – Organizational Model.....	50
Annex III – Governance Model.....	51
Annex IV – Relational Model.....	52



BASQUE CENTRE
FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

1. Foreword

BC3, the Basque Centre for Climate Change – Klima Aldaketa Ikergai, is a world class interdisciplinary research centre located in Bilbao 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. Anil Markandya, 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 has considered the standard organisation for BERCs (Basque and Excellence Research Centres) and their strategic approach as the basis for the development of a management model in which coordination and reporting systems are a crucial element for ensuring the professional management of the Centre. BC3's Excellence-based governance and management plan is based on the 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. We could summarize the general governance and management plan with the next four pillars:

- **Operating Model:** core and non-core processes which are oriented to support the BC3 operations based on excellence criteria (Annex I).
- **Organizational Model:** structure of functions and necessary roles to execute the BC3 activities and operations as well as to provide the career promotion plan. (Annex II)
- **Governance Model:** mechanisms to facilitate and assure decision taking and action making. (Annex III)
- **Relationship Model:** mechanisms to take a 360 degrees vision to the BC3. (Annex IV)

The main Legislation Framework (LF) related to recruitment and contracting of workers in the Science sector is defined by these laws:

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 the Statute of Public Officials (7/2007)

We will refer to this Legislation Framework as a whole (LF) in the detailed information about the Action Plan.

BC3 currently relies on a multidisciplinary team of 41 people: 37 researchers of several countries who have research careers in some of the most prestigious research centres on the specialty, and 4 members for the Administration area.

Currently: 41 people

- 37 Researchers → 90%
 - Scientific Director → 1
 - Seniors → 13
 - Post Docs → 13
 - PhD students → 6
 - Research Assistants → 4
- 4 Admin staff → 10%



For the following period 2014-2017, the BC3 has set itself the goal to raise the number up to the 50 members of staff projected for 2017.



BASQUE CENTRE
FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

2. HR Excellence process

2.1 The context

BC3 understands that people is the core value of any research centre. And BC3 is also aware that the scientific system is a complex and very competitive environment.

The attraction of highly recognized researchers or young and bright scientists is a hard and difficult activity, but their retention as well. A continuous evolution of the HR strategy is vital for the success of a research centre in order to adapt to the needs of the PEOPLE, so BC3 decided to launch the **HR Excellence in Research process** (containing the implementation of the **European Charter for Researchers** and **Code of Conduct for the Recruitment**) to:

- Stand for a stimulating and favorable working environment for researchers, maintaining attraction/retention capacity;
- support actively a change in working culture;
- benefit from international visibility, and
- join a pan-European network consisting of researchers and research organizations for benchmarking activities in HR.

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 human resources 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 next calendar.

Tasks	Description	Resp	Date
1.	Analyze the process and check if applicable to BC3		
	Compile and resume the information	MA	nov-13
	Approval by Anil/Nerea	SD/OM	nov-13
2.	Commitment approval (Steering Committee) -		
	Prepare letter	MA	dic-13
	Approval at SC	OM	dic-13
3.	Send a communication to BC3 staff		
	Prepare message	OM	may-14
	Approval by Anil	OM	may-14
4.	Make a survey to a sample of researchers		
	Prepare the survey	MA	may-14
	Prepare the sample list	OM	may-14
	Decision about Working Group	SD/OM	may-14
	Send the Survey	OM	jun-14
	Answer the Survey	Researchers	jun-14
5.	Analyze the survey and prepare an Action Plan to improve our HR Strategy with the Working Group		
	Compile the answers	MA	jun-14
	HR Working Group Meeting - Analyzing the results establishing a calendar	OM/MA/Researchers	jul-17
	HR Working Group Meeting - Developing an action plan - Training	OM/MA/Researchers	sep-14
	HR Working Group Meeting - Developing an action plan - Working Conditions& Social Sec.	OM/MA/Researchers	oct-14
	HR Working Group Meeting - Developing an action plan - Recruitment	OM/MA/Researchers	oct-14
	HR Working Group Meeting - Developing an action plan - Ethics	OM/MA/Researchers	nov-14
HR Working Group Meeting - Developing an action plan (Prioritaptn and Resp)	OM/MA/Researchers	nov-14	
6.	Approve the Action Plan in the Management Committee (Internally)	SD/OM	dic-14
7.	Publication of the Action Plan	OM	dic-14
8.	Execution of the Action Plan	OM/MA	jan-15
9.	Monitoring of the Action Plan (after 2 years) and external evaluation after 5 years	OM/MA	Jan 2017 / 2020

Task 1: Process analysis.

BC3 Management team internally analyzed the European Charter for Researchers as well as the Code of Conduct for the Recruitment of Researchers. BC3 also made some literature review and contacted with other Basque research centres that previously implemented the process. After the initial analysis the Scientific Director and the Operations Manager of BC3 approved the initiative to implement the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers by November 2013. BC3 decided to name the process as HR Excellence.

Task 2: Approval of the Commitment by the Steering Committee.

BC3 sent the information about the HR Excellence process to the Steering Committee celebrated in December 2013 and it was approved by majority.

Task 3: Communication to BC3 employees.

BC3 fully informed all BC3 employees about the HR EXCELLENCE process and how it was going to be implemented.

Task 4: Survey.

The internal analysis is the first step of the implementation of the HR strategy for researchers so BC3 prepared a questionnaire through Google Docs based on the template provided by Euraxess to a sample of researchers asking about the 40 principles included in the code and making two questions regarding each principle:

- How much do you agree with the principle.
- How far is BC3 to achieve the principle.

The survey was sent to more than 30% of researchers of the centre, taking into account all the different BC3's categories and committing with the gender balance.



The Working Group (WG) created for the internal analysis and for the design of the action plan, was elected in May 2014 following the same criteria as the sample of the survey:

- There were researchers of all BC3 categories: Seniors, Postdoctoral Researchers and Juniors.
- Gender equity: same number of male researchers and female researchers.

Task 5: Survey analysis and Action Plan development.

There was an answers compilation work during June 2014 and the WG started its meetings:

- Meeting 1 (July 2014): Analyze the results & stablish a calendar for meetings.
- Meeting 2 (September 2014): Action Plan development - **“Training”**.
- Meeting 3 (October 2014): Action Plan development - **“Working conditions & social security”**.
- Meeting 4 (October 2014): Action Plan development - **“Recruitment”**.



- Meeting 5 (November 2014): Action Plan development - **“Ethics and Professional aspects”**.
- Meeting 6 (November 2014): Action Plan development - Prioritisation and responsibilities.

Task 6: Action Plan approval.

The Action Plan was submitted and approved by the Management Committee in December 2014.

Task 7: Publication of the Action Plan to all BC3 employees in December 2014.

Task 8: Execution of the Action Plan from January 2015.

2.3 Internal analysis and interpretation

Based on the template provided by Euraxess BC3 asked for the **4 group of principles**:

1. **Ethical and professional aspects:** principles 1-11
2. **Recruitment:** principles 12-21
3. **Working conditions and social security :** principles 22-35
4. **Training:** principles 36-40

Once the answers were compiled, 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.

BC3’s general conclusion:

- The groups have been 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 importance 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 will proceed to deploy an Action Plan to improve the principles that got the lowest scores.

2.4 Action Plan

Although the general results of the survey were positive, the WG agreed to define a plan for those principles contained in the **list of prioritized principles**.

The WG followed different brainstorming methodologies to obtain ideas to develop the actions.



The WG prepared a list of actions for each group of principles and once they were listed, they decided to group them by topics and assign a coordinator to deploy the action. The WG decided to assign the coordinators of each action by profile (Senior, Post doc, Junior and Admin) based on the complexity of the action and defined the profiles of people that should participate in the action meetings.

The main functions of the coordinator were also defined:

- Coordinate the actions needed to design the action and commit with deadlines.
- Schedule the Action Meetings (AM).
- Energize and motivate the participants of the AMs.
- Prepare the minutes of the AM and circulate it among WG members.

The WG also discussed about expected efforts and based on that prepared a scheduling for the design and implementation of actions.

The list of final actions and coordinators was sent to the Management Committee of BC3 and they approved the implementation of the action plan.



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
<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, sectoral or institutional Codes of Ethics.		
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). 	-	-

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"> - 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
<ul style="list-style-type: none"> – 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
<ul style="list-style-type: none"> - 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
<ul style="list-style-type: none">- Annual assessment from BC3 and Ikerbasque.- Annual Audit.- Procurement Policy.	-	-

7. Good practice in research		
<p>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.</p>		
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). – 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"> – 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
<ul style="list-style-type: none"> – BC3's Dissemination Process within the Management Model). – Collaboration with Science, Technology and Innovation related forums and institutions in our region, and the media. 	<ul style="list-style-type: none"> – Improvement of the evaluation/appraisal process. 	<p>When : December 2014 –December 2015.</p> <p>Who: BC3 Research Professor (Coordinator) and all categories (WG).</p>



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">- 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
<ul style="list-style-type: none"> - 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. 	<ul style="list-style-type: none"> - Improvement of the evaluation/appraisal process. 	<p>When : December 2014 –December 2015.</p> <p>Who: BC3 Research Professor (Coordinator) and all categories (WG).</p>

II. Recruitment

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
<ul style="list-style-type: none"> – 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. 	<ul style="list-style-type: none"> – Improvement of the evaluation/appraisal process. 	<p>When : December 2014 –December 2015.</p> <p>Who: BC3 Research Professor (Coordinator) and all categories (WG).</p>



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">- 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)		
<p>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.</p>		
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). – BC3 and Ikerbasque recruitment panels and policies. – BC3’s People Process. – BC3 International Scientific Advisory Committee reviews and validations. 	<ul style="list-style-type: none"> – Improvement of the evaluation/appraisal process. 	<p>When : December 2014 –December 2015.</p> <p>Who: BC3 Research Professor (Coordinator) and all categories (WG).</p>

15. Transparency (Code)		
<p>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.</p>		
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). - BC3 and Ikerbasque recruitment policies. - BC3 's People Process. - BC3 International Scientific Advisory Committee reviews and validations. 	<ul style="list-style-type: none"> - Improvement of the evaluation/appraisal process. 	<p>When : December 2014 –December 2015.</p> <p>Who: BC3 Research Professor (Coordinator) and all categories (WG).</p>

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"> - Legislation Framework (LF). - Endorsement of C&C (Commitment of Founding Partners). - BC3 and Ikerbasque recruitment/assessment 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
<ul style="list-style-type: none">– 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
<ul style="list-style-type: none"> - 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)		
<p>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.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> – 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
<ul style="list-style-type: none"> – 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
<ul style="list-style-type: none">- 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
<ul style="list-style-type: none"> - Legislation Framework (LF). - Endorsement of C&C (Commitment of Founding Partners). - BC3's and Ikerbasque internal policies. - BC3 People Process. 	-	-

23. Research environment		
<p>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.</p>		
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). - 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
<ul style="list-style-type: none"> - 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		
<p>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.</p>		
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). – BC3's and Ikerbasque's People Process. 	<p>Action 1: Mentoring System.</p> <p>Action 2: Development of an individual Research Plan.</p> <p>Action 3: Improve the communication of the professional career development process.</p>	<p>Action 1: When: February 2015 – October 2015. Who: BC3 Postdoctoral Researcher (Coordinator) and Senior/Postdoc/PhD student (WG).</p> <p>Action 2: When: June 2015 – December 2015. Who: BC3 Research Fellow (Coordinator) and all categories (WG).</p> <p>Action 3: When: February 2016 – June 2016. Who: Operations Manager (Coordinator) and depending on the topic: several categories Res/Admin (WG).</p>

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"> - 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
<ul style="list-style-type: none">– Legislation Framework (LF).– Endorsement of C&C (Commitment of Founding Partners).– BC3 and Ikerbasque internal policies.– BC3's People Process.	-	-

28. Career development		
<p>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.</p>		
Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> – Endorsement of C&C (Commitment of Founding Partners). – BC3 and Ikerbasque internal policies. – BC3’s People Process. 	<p>Action 1: Mentoring System.</p> <p>Action 2: Development of an individual Research Plan.</p> <p>Action 3: Improve the communication of the Professional career development process.</p>	<p>Action 1: When: February 2015 – October 2015. Who: BC3 Postdoctoral Researcher (Coordinator) and Senior/Postdoc/PhD student (WG).</p> <p>Action 2: When: June 2015 – December 2015. Who: BC3 Research Fellow (Coordinator) and all categories (WG).</p> <p>Action 3: When: February 2016 – June 2016. Who: Operations Manager (Coordinator) and depending on the topic: several categories Res/Admin (WG).</p>

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 (Commitment of Founding Partners). - BC3 and Ikerbasque internal policies. - BC3's People Process. 	-	-



BASQUE CENTRE
FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

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">- 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
<ul style="list-style-type: none"> - 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
<ul style="list-style-type: none"> - 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
<ul style="list-style-type: none"> - Endorsement of C&C (Commitment of Founding Partners). - BC3 and Ikerbasque internal policies. - BC3's contractual framework. - BC3's People Process. 	-	-

34. Complains/ appeals		
<p>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.</p>		
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). - BC3 (anonymous) suggestion box (website). - BC3's Strategy - Organisation culture and values . 	<ul style="list-style-type: none"> - Development of a Conflict Management System. 	<p>When : October 2015 – February 2016.</p> <p>Who: Ikerbasque Research Professor (Coordinator) and all categories (WG).</p>

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"> - 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). - 	-	-

IV. 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 (Commitment of Founding Partners). - PIs trained in the international science system. 	<ul style="list-style-type: none"> - Development of Guidelines for Supervision of PhD students. 	<p>When : March 2015 – May 2015.</p> <p>Who: PhD students (Coordinators) and juniors/supervisor (WG).</p>

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
<ul style="list-style-type: none"> - Endorsement of C&C (Commitment of Founding Partners). - PIs trained in the international science system. 	<ul style="list-style-type: none"> - Development of Guidelines for Supervision of PhD students. 	<p>When : March 2015 – May 2015.</p> <p>Who: PhD students (Coordinators) and juniors/supervisor (WG).</p>



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
<ul style="list-style-type: none">- 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
<ul style="list-style-type: none">– 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
<ul style="list-style-type: none"> - 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. 	<p><u>Action 1:</u> Improvement of the evaluation/appraisal process.</p> <p><u>Action 2:</u> Development of guidelines for supervision of PhD students.</p>	<p><u>Action 1:</u></p> <p>When : December 2014 –December 2015.</p> <p>Who: BC3 Research Professor (Coordinator) and all categories (WG).</p> <p><u>Action 2 :</u></p> <p>When : March 2015 – May 2015.</p> <p>Who: PhD students (Coordinators) and juniors/supervisor (WG).</p>



BASQUE CENTRE
FOR CLIMATE CHANGE
Klima Aldaketa Ikergai

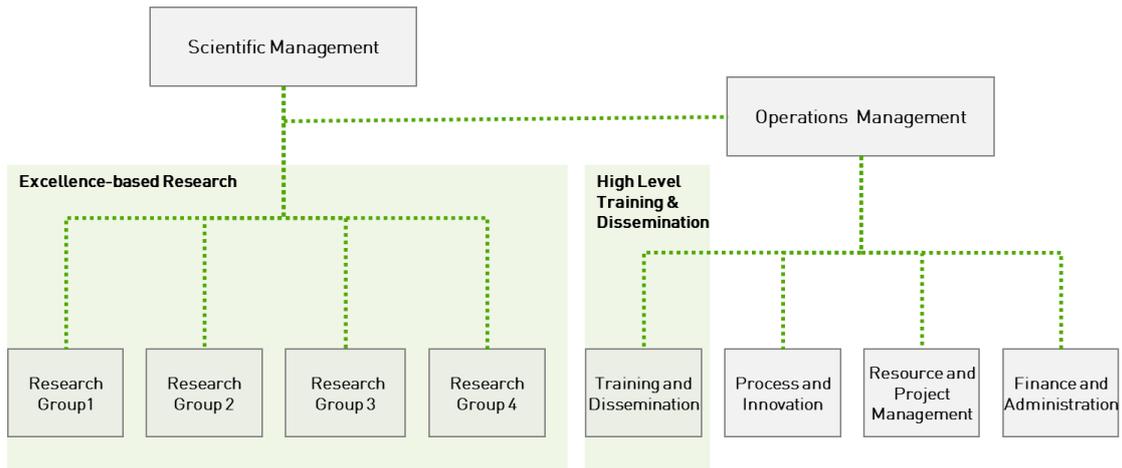
2.5 General conclusions

BC3 is an Excellent Research Centre created in 2008 by the Basque Government and the University of the Basque Country to contribute to the knowledge of causes and consequences of climate change. One of the main challenges for BC3 since its creation has been the attraction and retention of researchers, as the scientific environment is very competitive. 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 new challenge for the mid term period will be the implementation of the actions that the HR EXCELLENCE Working Group (WG) designed during the first steps of the process. The success of the process will mainly rely if BC3 is able to maintain the existing enthusiasm and also if the actions designed really contribute to the principles and consequently to the working conditions of all the employees at the centre.

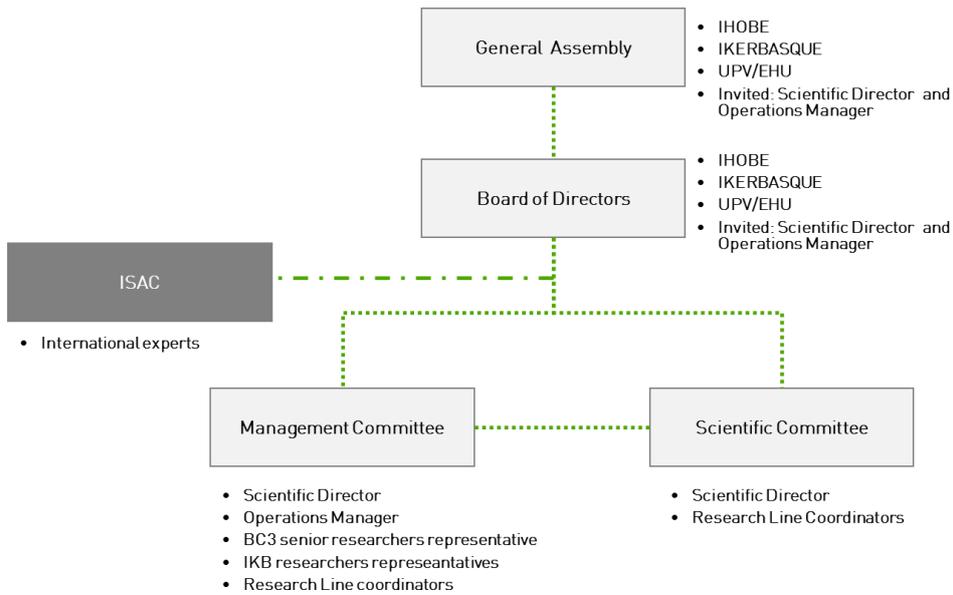
Annex I – Operating Model



Annex II – Organizational Model



Annex III – Governance Model



Annex IV – Relational Model



Operating Model or Management Model

BC3's Management model is based on the European Foundation for Quality Management (EFQM) framework, which is the most widely-used excellence framework in Europe. In the following



Fig 1. Operating model – Process based model

Organizational Model

BC3 organizational model was designed to be able to compete in a globalized science and research system in terms of excellence parameters with the goal to become an international reference in its field of research. So its organizational model has allowed BC3 to:

- Attract top-ranking scientists and promising junior researchers.
- Have a highly qualified management team.
- Develop excellence-based research activities.

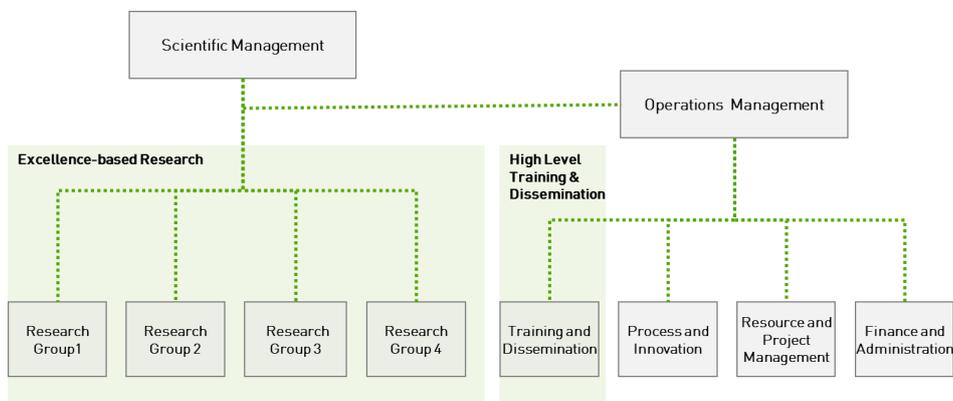


Fig 2. Organization model – General view

The different positions that correspond to each area of activity (Managerial or Scientific) are the following:

BC3 Operational/Managerial Positions
<i>Operation Manager</i> – dealing with the whole Operational activity and coordinating all the areas.
<i>Project Manager</i> – dealing with specific areas of the Operational activity.
<i>Assistant</i> – assists the managers in the different activities.
BC3 Scientific Positions
<i>Scientific Director</i> – Defines the scientific goals and research topics of the centre. Guarantees excellence in the scientific production, execution and monitoring of the whole research centre.
<i>Ikerbasque Professor</i> – Senior level directly contracted by IKERBASQUE through an international call.
<i>BC3 Research Professor</i> – Senior level researcher with over 7 years of research experience.
<i>BC3 Research Fellow</i> – Researcher with more than 3 years of experience after having obtained his/her PhD.
<i>BC3 Post-Doctoral Researcher</i> – Junior Researcher who has recently obtained his/her PhD
<i>BC3 PhD Student</i> – Junior researcher part of a PhD programme.
<i>New position: Project Researcher</i> – Researchers who have been contracted with project funds. The contract duration is directly linked to the project’s timeline. The category will be based in their previous experience.
<i>New position: Research Assistant</i> – Junior level researcher whose function is to assist the most senior level researchers in their daily scientific activity.

Table 1. Organization model – Positions

Governance Model

In order to guarantee the future development of the Centre, the Governance Model of BC3 consists on the following bodies:

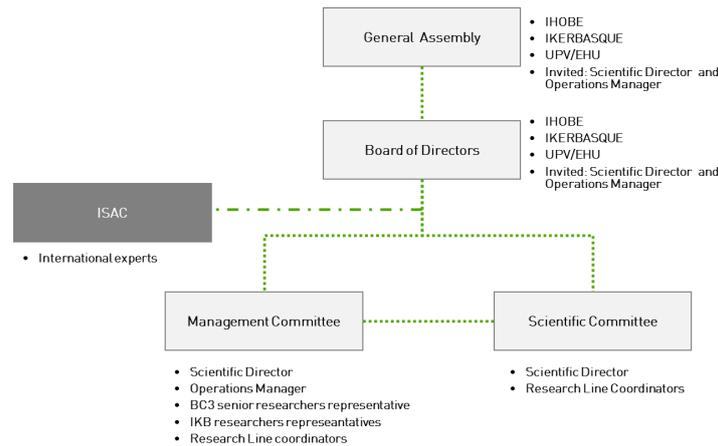


Fig 3. Governance model

Relational Model

BC3 is affected by the environment in which it operates. For that reason the Centre takes into account internal and external, national and international agents. BC3 will come into regular contact with suppliers, government agencies, employees, special interest groups, etc. Most of the Centre decisions will be likely to affect one or more of these groups. Furthermore, these groups influence, decide, act, and impact in BC3. Our stakeholder map has been represented by the following figure:



Fig 4. Relational model