

## GAP Analysis (Charter and Code Checklist)

Case number: 2019ES372619

Name Organisation under review: **BC3 BASQUE CENTRE FOR CLIMATE CHANGE – KLIMA ALDAKETA IKERGAI**

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### GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

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

- **Status:** to what extent does the organisation meet the following principles?
- **Implementation** (++, +/- , -/+, --):
  - ++ fully implemented
  - +/- almost but not fully implemented
  - -/+ partially implemented
  - insufficiently implemented
- **GAP:** In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation.
- **Implementation impediments:** If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation
- **Initiatives undertaken/new proposals:** If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

Status				
	Ethical and Professional Aspects	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
1	Research freedom	++	This is a key value of BC3, and any researcher could conduct, considering the funding program requirements, research aligned with BC3's Strategy. Scientific Planning Process in place.	
2	Ethical principles	++	BC3 has a Management Committee (MC) dealing with the ethics issues. BC3 created a checklist for researchers in order to consider the ethical aspects of their projects. This form is sent to the MC to evaluate the ethical practice and appropriate professional ethical guidelines in the conduct of the study.	
3	Professional responsibility	++	BC3's mission is a societal challenge itself and the researchers contribute to its consecution. The scientific planning process contributes to this principle as well.	
4	Professional attitude	++	All BC3 employees are aware about the different funding mechanisms through continuous emailing and through the Employee Corner. BC3 has a projects office providing support to researchers preparing proposals. These proposals can only be sent to the funding agencies if the proposal is approved by the Scientific Director.	
5	Contractual and legal obligations	++	BC3 informs regularly about the contractual and legal obligations, not only at the individual level but also as a research centre.	<b>FIAP1_A1 Complete the extended actions of 2020-2023 Equality plan and Develop the 2024-2027 Equality Action Plan</b> <b>FIAP1_A7 Attract students/interns to promote scientific careers</b>
6	Accountability	++	In terms of accountability, it requires an enormous effort to have really effective monitoring system that allows us to have a realistic view of the whole scientific activity across the different disciplines and Research Lines. The pressure on the researchers about informing on their research, training and dissemination activities is high, although BC3 has implemented an automatic repository for scientific publications allowing us to have fair and transparent indicators. Yet is difficult to reflect the impact of the Centre in supporting/informing policy and decision making.	<b>FIAP1_A11 Looking for efficient and excellent administrative work processes</b>
7	Good practice in research	++	Although risk and prevention law is complied with all the	<b>FIAP1_A2 Consolidate an occupational risk prevention</b>

			work than in the past, due to the growth of BC3, it is necessary to consolidate an occupational risk prevention system for the entire centre, especially for laboratories and field work, promoting health and safety at work, providing the team with the corresponding protective equipment, as well as training on the risks of the job position, without forgetting psychosocial risks. Provide follow-up to the data protection and confidentiality requirements should be promoted.	<b>system</b> <b>FIAP1_A8 Guarantee the compliance system</b>
8	Dissemination, exploitation of results	++	BC3 has an outreach and communication office in order to guarantee this principle.	
9	Public engagement	++	In the last period, new ways of communicating research work to society have been sought (e.g. social networks, agreements with communication entities, as well as consolidating the usual TV, radio and press media). BC3 needs to consolidate this activity by promoting a communication strategy adapted to society.	<b>FIAP1_A9 Promote public engagement with actions linked to the needs of the society</b>
10	Non discrimination	++	The equality committee has been consolidated thanks to the involvement of people to participate in it. BC3 is committed with creating equal opportunities for people independently of gender, culture, and race. In addition, it is committed to encourage an equal and inclusive working environment for all BC3. The equality commission of BC3 has done a really effort in order to achieve the goals of the previous action plan. In any case, Currently BC3 is promoting Gender Equality but other disadvantaged groups should be considered.	<b>FIAP1_A1 Complete the extended actions of 2020-2023 Equality plan and</b> <b>Develop the 2024-2027 Equality Action Plan</b>
11	Evaluation/ appraisal systems	++	Due to the seeking of competitive funding, researchers, including senior researchers, are evaluated by independent system according to the competencies established by each call. However, we consider that BC3, despite having an evaluation process in place, needs to review and improve. Researchers feel that they are under continuous evaluation.	<b>FIAP1_A14 Set up Development Talks within the teams</b> <b>FIAP1_A16 Promote tools for creating connections within the centre that promotes transdisciplinary</b>
Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.				
12	Recruitment	++	The entry and admission standards for researchers are specified at every call but BC3 should continue working for facilitate access for disadvantaged groups.	<b>FIAP1_A6 Guarantee an updated OTM-R policy in line with the strategy of the centre, as well as with the current needs of BC3</b>
13	Recruitment (Code)	++	The recruitment and selection process have improved with the latest plan and is evaluated positively by the	<b>FIAP1_A6 Guarantee an updated OTM-R policy in line with the strategy of the centre, as well as with the</b>

			researchers; however, it is a dynamic process that needs continuous improvement process to adapt to the reality of the center, and to the comply the law, improving the process by relying on new technologies and with the support of the people department team. New internal efficient process needs to be developed.	<b>current needs of BC3</b>
14	Selection (Code)	++	BC3 has an OTM-R policy but also process in place. The evaluation panel members at BC3 should be adequately trained as BC3 provides general guidance to develop selection processes.	<b>FIAP1_A1 Complete the extended actions of 2020-2023 Equality plan and Develop the 2024-2027 Equality Action Plan FIAP1_A6 Guarantee an updated OTM-R policy in line with the strategy of the centre, as well as with the current needs of BC3</b>
15	Transparency (Code)	++	BC3 provides general responses to those candidates that has not been selected, without providing specific feedback.	<b>FIAP1_A6 Guarantee an updated OTM-R policy in line with the strategy of the centre, as well as with the current needs of BC3</b>
16	Judging merit (Code)	++	BC3 has an OTM-R policy but also process in place.	
17	Variations in the chronological order of CVs (Code)	++	BC3 has an OTM-R policy but also process in place.	
18	Recognition of mobility experience (Code)	++	BC3 has an OTM-R policy but also process in place.	
19	Recognition of qualifications (Code)	++	The recruitment and selection process have improved with the latest plan and is evaluated positively by the researchers; however, it is a dynamic process that needs continuous improvement process to adapt to the reality of the centre, and to the comply the law, improving the process by relying on new technologies and with the support of the people department team. New internal efficient process needs to be developed.	<b>FIAP1_A6 Guarantee an updated OTM-R policy in line with the strategy of the centre, as well as with the current needs of BC3</b>
20	Seniority (Code)	++	BC3 has an OTM-R policy but also process in place. The evaluation panel members at BC3 should be adequately trained as BC3 provides general guidance to develop selection processes.	<b>FIAP1_A6 Guarantee an updated OTM-R policy in line with the strategy of the centre, as well as with the current needs of BC3</b>
21	Postdoctoral appointments (Code)	++	BC3 has an OTM-R policy but also process in place.	
	<b>Working Conditions and Social Security</b>	<b>Implementation</b>	<b>GAP/Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
22	Recognition of the profession	++	BC3 has its own Professional Career Plan published at the Employee corner, should be updated in the further improve action plan.	
23	Research environment	++	Climate Change research cannot be conducted individually that's why BC3 operates in an international network of research institutions that conduct complementary research. BC3 is located in the Science Campus of the University of the Basque Country with its own space (1400m2) and two laboratories, one of them unique at the Spanish	<b>FIAP1_A2 Consolidate an occupational risk prevention system FIAP1_A3 Promote collaborative spaces FIAP1_A10 Promote a sustainability plan</b>

			Level (IzotzaLab).	
24	Working conditions	++	BC3 offers flexibility to the researchers and to administration staff to adapt their duties with their personal life – flexible working times, possibility to take part time contracts, etc. due to the growth of the centre BC3 needs to design a labour framework (rights, responsibilities and benefits).	<b>FIAP1_A5 Set a labour framework for the excellence in research and the centre</b> <b>FIAP1_A12 Promote a Professional Career Development plan linked to the new scenario of the centre</b>
25	Stability and permanence of employment	++	BC3 is a non-profit research association with a high rate of self-finance. BC3 is not a public institution nor a University. The permanence of employment depends on the availability of funds/ grants obtained to finance research projects/contracts. So BC3 faces difficulties to guarantee stability. In any case, BC3 tries to keep real expectations to every researcher and also promotes the mentoring process in order to provide adequate career advice.	<b>FIAP1_A5 Set a labour framework for the excellence in research and the centre</b> <b>FIAP1_A12 Promote a Professional Career Development plan linked to the new scenario of the centre</b>
26	Funding and salaries	++	BC3 is governed by the workers' statute (existing national legislation) but due to the growth and needs of the centre it is necessary to create a labour framework in which both the needs of people and the needs of the centre met.	<b>FIAP1_A5 Set a labour framework for the excellence in research and the centre</b> <b>FIAP1_A12 Promote a Professional Career Development plan linked to the new scenario of the centre</b>
27	Gender balance	++	BC3's Scientific Director and Operation Managers, this is the direction of the centre is female. In any case, BC3 is working for the new Equality plan.  <a href="#">Equality Manifesto</a>	<b>FIAP1_A1 Complete the extended actions of 2020-2023 Equality plan and Develop the 2024-2027 Equality Action Plan</b>
28	Career development	+/-	BC3 has its own Professional Career Plan published at the Employee corner, should be updated in the further improve action plan.	<b>FIAP1_A12 Promote a Professional Career Development plan linked to the new scenario of the centre</b> <b>FIAP1_A16 Promote tools for creating connections within the centre that promotes transdisciplinary</b>
29	Value of mobility	++	The mobility is a value considered under the evaluation process. BC3 supports the research stays of early career researchers but also in R2, R3.	The result of the focus group differs greatly from the opinion of the results of the general survey, so we understand that it is an individualized opinion and not a general opinion of the centre.

30	Access to career advice	+/-	Although BC3 has worked on designing a mentoring program adapted to the needs of the centre, its implementation is still pending.	<b>FIAP1_A16 Promote tools for creating connections within the centre that promotes transdisciplinary</b>
31	Intellectual Property Rights	++	The intellectual Property Rights are defined in the employment contract.	This principle has not any foreseen action as we comply with the law.
32	Co-authorship	++	BC3 as climate change institution, one of main values is collaboration, and co-authorship is needed and valued to contribute to the knowledge of Climate Change.	The result of the focus group differs greatly from the opinion of the results of the general survey, so we understand that it is an individualized opinion and not a general opinion of the centre.
33	Teaching	++	BC3 is not a University but a research centre. BC3 allows teaching with a limit of hours that should not be excessive.	This principle has not any foreseen action as we detected that researchers' answers/ comments referred to the need of promoting more collaboration with local universities so they could participate in teaching activities. BC3 already explained at the HRM our teaching means
34	Complains/ appeals	+/-	BC3 developed a conflict system – guidelines, available at the Employee Corner, but due to the growth of the centre needs to be reviewed.	<b>FIAP1_A3 Promote collaborative spaces</b> <b>FIAP1_A4 Ensuring the usefulness of the guidelines and procedures created for a friendly working environment</b>
35	Participation in decision-making bodies	++	BC3 has the Management Committee (MC) a decision body that meets every month except for summer time, where any employee can submit topics for discussion, proposals, changes in the processes, ... The minutes of the MC are shared with all BC3 employees.	The result of the focus group differs greatly from the opinion of the results of the general survey, so we understand that it is an individualized opinion and not a general opinion of the centre. In any case, with the traction of the rest of the actions, we can indirectly work on this principle.
	<b>Training and Development</b>	<b>Implementation</b>	<b>GAP/Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
36	Relation with supervisors	++	BC3 has deployed its supervision guidelines. BC3's Scientific Planning Process also contributes to this principle.	<b>FIAP1_A4 Ensuring the usefulness of the guidelines and procedures created for a friendly working environment</b>
37	Supervision and managerial duties	++	BC3 has deployed its supervision guidelines. BC3's Scientific Planning Process also contributes to this principle.	<b>FIAP1_A4 Ensuring the usefulness of the guidelines and procedures created for a friendly working environment</b>
38	Continuing Professional Development	++	BC3's Scientific Planning Process tries also to identify the skills needed to achieve the planned goals but BC3 will work to improve the training plan. All researchers at BC3 can join the seminars, workshops, summer courses organized by the centre to improve or to develop skills and competencies.	<b>FIAP1_A13 Improve the Scientific Annual Planning</b> <b>FIAP1_A15 Design a training organized system</b>
39	Access to research training and continuous development	++	BC3's Scientific Planning Process tries also to identify the skills needed to achieve the planned goals but BC3 will work to improve the training plan.	<b>FIAP1_A13 Improve the Scientific Annual Planning</b> <b>FIAP1_A15 Design a training organized system</b>

			All researchers at BC3 can join the seminars, workshops, summer courses organized by the centre to improve or to develop skills and competencies.	
40	Supervision	++	BC3 has deployed its supervision guidelines. The Scientific Planning Process also contributes to the implementation of this principle.	<b>FIAP1_A4 Ensuring the usefulness of the guidelines and procedures created for a friendly working environment</b> <b>FIAP1_A14 Set up Development Talks within the teams</b> <b>FIAP1_A16 Promote tools for creating connections within the centre that promotes transdisciplinary</b>

Implementation	Color	Internal assessment score
++ = <b>fully</b> implemented		Bigger than 7,0
+/- = <b>almost but not fully</b> implemented		Between 6,6 – 7,0 (both included)
-/+ = <b>partially</b> implemented		Between 5,1 – 6,5 (both included)
-- = <b>insufficiently</b> implemented		Lower or equal to 5.0