

Strengthened HRS4R process - from PROGRESS to QUALITY



HR EXCELLENCE IN RESEARCH

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



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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)



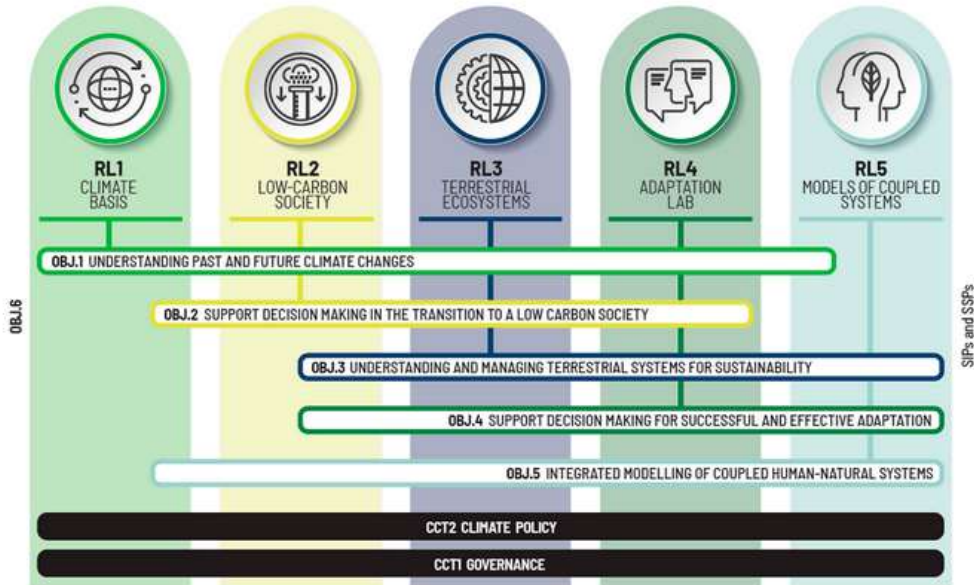
IHOBE – Public Environmental Agency

The centre led by one of the most recognized scientist in this field, Prof. María José Sanz produces multidisciplinary knowledge to support decision making towards sustainable development at the international level.

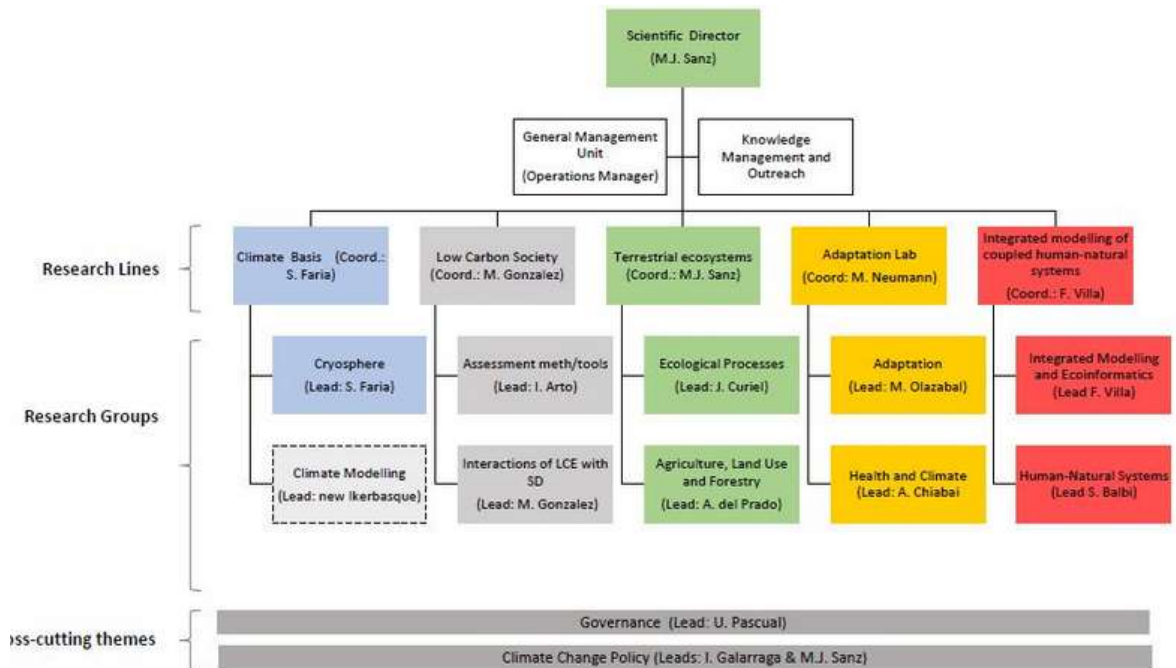
In the framework of BC3's 2018-2021 Strategy Plan, the centre aims to strategically foster co-production of knowledge relevant to decision making by integrating environmental, socioeconomic, and ethical dimensions of climate change. BC3 considers that coordinated transdisciplinary (i.e., interdisciplinary and participatory) research approaches are essential in the post-Paris Agreement era, while being aware that climate action and protection will never be the sole priorities of governments and no single approach will work equally for all members in society.

BC3 expects to contribute strongly to the co-generation of new scientific knowledge and the consolidation of scientific support relevant to policy making at different scales, which includes understanding and linking social and policy processes and promoting regular communication between stakeholders at all governance levels, in the post-Paris and SDGs era.

These impacts are achieved through the contribution of the five Research Lines and on the basis of its Overall Objectives.



The organization of BC3 Research Lines (RLs) and Groups, responds to the Overall Strategy objectives (OBJ.), which aims to fulfill its missions and the challenges and demands that addressing climate change requires in a post-Paris period.



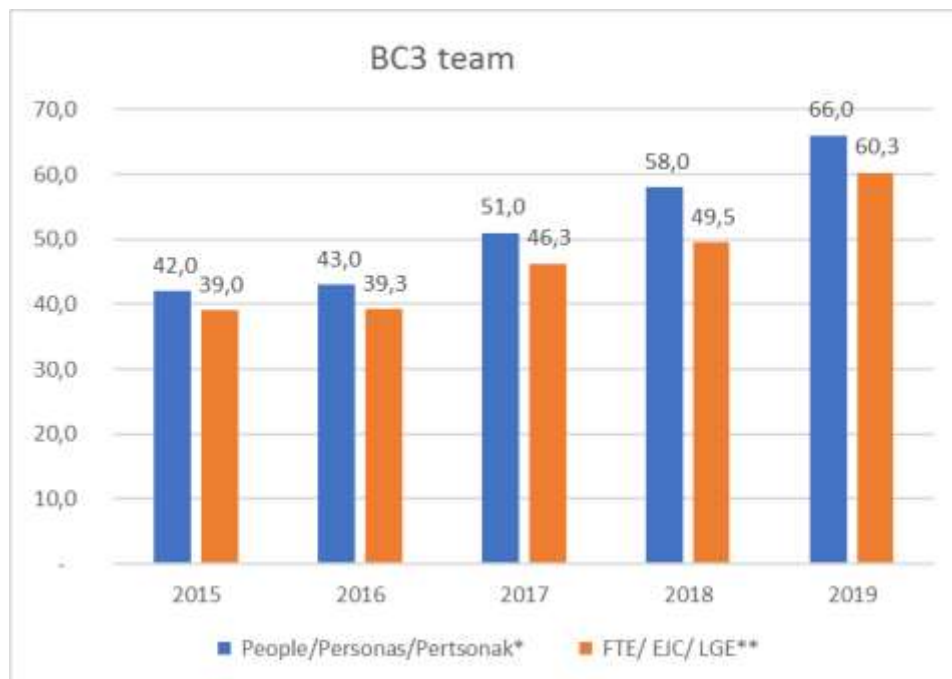
In this framework, BC3 is fully committed with the strengthened HRS4R process and this process is embedded in BC3's Strategy Plan.

BC3's core value to fulfill its Strategy Objectives is the people that conducts research or supports the research activity in the premises of an Excellence based Science. As shown in the table below, the number employees has grown significantly in the last years, so the the HR EXCELLENCE Award is even more relevant than ever:

| | 2015 | 2016 | 2017 | 2018 | 2019 | 2020* |
|-------------|------|------|------|------|------|-------|
| Total | 42 | 43 | 51 | 58 | 66 | 72 |
| Res. + Tech | 36 | 38 | 46 | 52 | 59 | 65 |
| Admin. | 6 | 5 | 5 | 6 | 7 | 7 |

The figures on the table indicate the number of active BC3 employees as for the 31st of december of each year, except for the 2020*, that indicates the number of active employees as for the 31st of July, 2020.

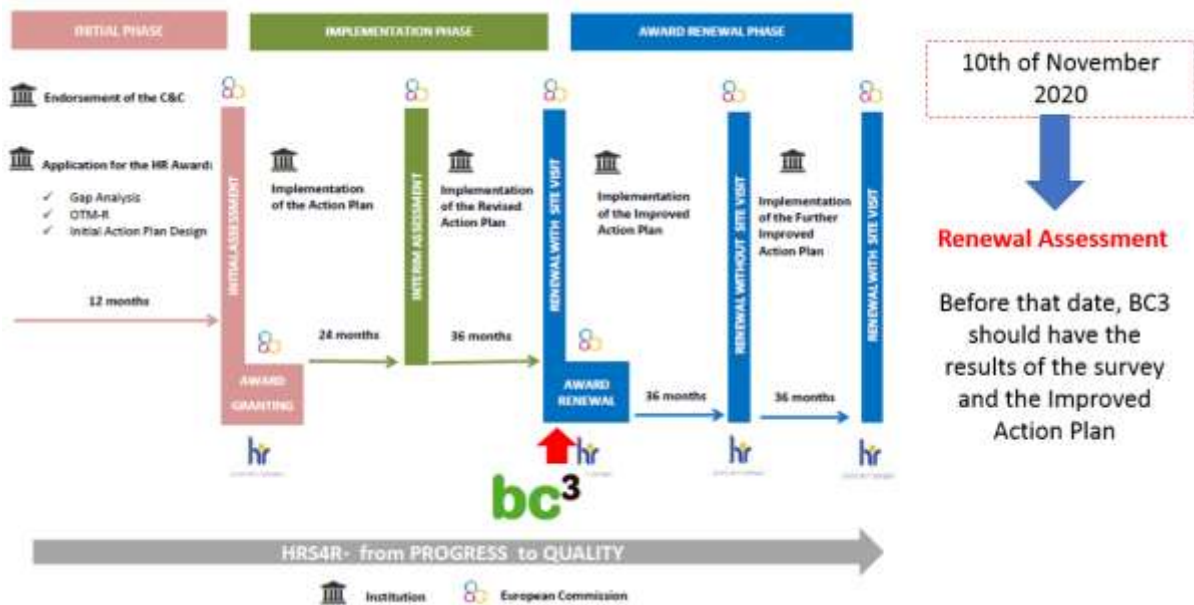
In the figure below, the number of total employees and FTEs is shown as per the 31st of december of each year:



2. Strengthened HRS4R process

2.1 Where is BC3?

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. Currently BC3 is in the **Award Renewal phase** with a new Improved Action Plan already accepted by its Management Committee on the meeting celebrated in September 2020.



Key milestones 2015-2020:

- **End of 2013:** BC3's Steering Committee endorsed the European Charter for Researchers and the Code Of Conduct for the Recruitment of Researchers
- **2015:** The European Commission granted BC3 with the HR EXCELLENCE Award.
- **2015-2017:** BC3 implemented the first **Action Plan (AP1)**.
- **2017:** BC3 conducted an interim assessment and revised the previous Action Plan. At this phase BC3 also produced its **OTM-R policy**, in order to commit with the Strengthened HRS4R process.
- **2017-2020:** BC3 implemented the **Revised Action Plan (AP2)**.
- **May – June 2020:** BC3 conducted the internal assessment, (GAP Analysis and OTM-R Checklist) and designed the draft of Improved Action Plan. By the 30th of June, 2020 the new members of the HR Working Group were elected so they could propose modifications to the designed draft of the Improved Action Plan.
- **September 2020:** The new **Improved Action Plan 2020-2023 (IAP1)** was approved by BC3's Management Committee.

2.2 2015-2017: Implementation of the Action Plan (AP1)

In 2015, the European Commission granted BC3 with the HR EXCELLENCE AWARD. Previously, BC3 conducted the initial survey on the 40 principles in June 2014 with a focus group of researchers that covered all the research HR categories at the centre and considering a gender balanced team. The results of the survey were analyzed by the HR Excellence Working Group and they proposed BC3's first Action Plan (AP1):

| Title action | Timing | Responsible Unit | Indicator(s) / Target | Status |
|---|---------------|--|--|-----------|
| <p>Action 1: Improvement of the evaluation/appraisal process ID: AP1_A1</p> | December 2015 | BC3 Research Professor (as Coordinator) and all categories (WG) → approval from BC3's Management Committee | <p>The Management Committee (Hereinafter, MC) of BC3 endorses the new evaluation/annual assessment process</p> <p>100% of BC3 evaluations under the new evaluation process</p> | Completed |
| <p>Action 2: Development of an individual Research Plan. ID: AP1_A2</p> | 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 | Completed |
| <p>Action 3: Improve the communication of the professional career development (PCD) process ID: AP1_A3</p> | June 2016 | Operations Manager (Coordinator) and depending on the topic: several categories Res/Admin (WG). | <p>Creation of BC3all email group</p> <p>Meet at least once per year with all BC3 employees and make a stop on the Evaluation/Appraisal + PCD plan</p> <p>Publish the Evaluation/Appraisal + PCD plan at the Intranet and send reminders to check the intranet</p> | Completed |

| | | | | |
|---|----------------------|---|--|-------------------------------------|
| <p>Action 4: Mentoring System ID: AP1_A4</p> | <p>October 2015</p> | <p>BC3 Postdoctoral Researcher (Coordinator) and Senior/Postdoc/PhD student (WG) → approval from BC3's MC</p> | <p>The BC3's MC endorses the guidelines of the Mentoring System</p> <p>The Mentoring Guidelines are published in the intranet</p> <p>10% of Researchers have appointed an internal/external mentor</p> | <p>Completed.</p> <p>Completed.</p> |
| <p>Action 5: Development of a Conflict Management System. ID: AP1_A5</p> | <p>February 2016</p> | <p>Ikerbasque Research Professor (Coordinator) and all categories (WG) → approval from BC3's MC</p> | <p>The BC3's MC endorses the guidelines of the Conflict Management System</p> <p>The Conflict Management System is published in the intranet</p> | <p>Completed.</p> <p>Completed.</p> |
| <p>Action 6: Development of Guidelines for Supervision of PhD students. ID: AP1_A6</p> | <p>May 2015</p> | <p>PhD students (Coordinators) and juniors/supervisor (WG). → approval from BC3's MC</p> | <p>The BC3's MC endorses the Guidelines for Supervision of PhD students</p> <p>Guidelines for Supervision of PhD students are published in the intranet</p> | <p>Completed.</p> <p>Completed.</p> |

2.3 2017-2020: Implementation of the Revised Action Plan (AP2) + OTM-R policy

In 2017, BC3 conducted the internal review. In this case, the HR Excellence Group launched the questionnaire by the end of January 2017 to all BC3 researchers. As a result of this internal review, the Revised Action Plan (AP2) was defined and it was also included the implementation of an OTM-R policy. This policy was published in 2017.

BC3 implemented the **Revised Action Plan (AP2)** for the period 2017-2020 completing all the actions foreseen in the Revised Action Plan, as shown in the table below:

| Title action | Timing | Responsible Unit | Indicator(s) / Target | Current status |
|---|------------|--|--|----------------|
| Action 1: Develop a Gender and Equality Plan ID: AP2_A1 | 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 / DONE Publication of the Gender and Equality Plan at the Intranet/ DONE The % of woman researchers applying to BC3's Job Offers/ Latest update (30/06/2020)--> 44% The % of woman researchers in senior positions/ Latest update (30/06/2020) --> 33% 7 women hold senior positions at BC3 (21 Seniors in total) | Completed |
| Action 2: Improve the clarity of the Recruitment Policy at BC3 (OTM-R) and align it with the new Data Protection Law ID: AP2_A2 | June 2018 | BC3's Operations Manager and HR Excellence WG | The MC of BC3 endorses the new Recruitment Policy in case of necessity/ No need Number of candidates per call/year/ • 2018: 325 • 2019: 392 • 2020 (30/06/2020): 259 Number of complaints per year • 2018:0 • 2019:0 • 2020 (30/06/2020):0 | Completed |
| 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) ID: AP2_A3 | 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/ DONE 100% of BC3 evaluations under the new evaluation process/ 100% | Completed |

| | | | | |
|--|---|---|---|------------------|
| <p>Action 4: Continue with the Improvement of the communication of the professional career development (PCD) process ID: AP2_A4</p> | <p>June 2018, Annually</p> | <p>Operations Manager (Coordinator) and the HR Working Group</p> | <p>Publish the Evaluation/Appraisal + PCD plan at the Intranet and send reminders to check the intranet / the latest document was published on 2020/ JAN at the shared folder - DATA Meet at least once per year with all BC3 employees and make a stop on the Evaluation/Appraisal + PCD plan/ DONE</p> | <p>Completed</p> |
| <p>Action 5: Inform about BC3's Mentoring System and include it at the welcome plan. ID: AP2_A5</p> | <p>Annually</p> | <p>BC3 Postdoctoral Researcher (Coordinator) and the HR Working Group</p> | <p>% of researchers that have appointed an internal/external mentor → 20% % of BC3 researchers informed about the BC3's Mentoring System → 100%</p> | <p>Completed</p> |
| <p>Action 6: Inform about the guidelines of the Conflict Management and include it at the welcome plan. ID: AP2_A6</p> | <p>Annually</p> | <p>Ikerbasque Research Professor (Coordinator) and and the HR Working Group</p> | <p>% of BC3 researchers informed about the guidelines of Conflict Management → 100%</p> | <p>Completed</p> |
| <p>Action 7: Inform about the guidelines for supervision of PhD students and include it at the welcome plan. ID: AP2_A7</p> | <p>Annually</p> | <p>BC3 Postdoctoral Researcher (Coordinator) and and the HR Working Group</p> | <p>% of PhD students informed about the guidelines for supervision of PhDs → 100% % of Senior researchers informed about the guidelines for supervision of PhDs → 100% Number of researchers trained in supervision of students → 1 (but supervision guidelines are available to all BC3 researchers)</p> | <p>Completed</p> |

In order to monitor the progress of the Revised Action Plan, BC3 had 11 meetings in the period November 2017 – July 2020 (minutes are registered).

2.4 2020: Internal assessment and design of the 2020-2023 Improved Action Plan (IAP1)

In may 2020, BC3's HR Excellence Working Group launched an internal assessment based on the EU Charter and Code's 40 principles in order to conduct an internal GAP analysis (see Annex I: GAP analysis 2020).

BC3 asked for the 4 group of principles to a pre-selected group of researchers (4 groups of researchers – 45 people in total) according to their categories and gender (focus groups).

The focus groups were predefined by an expert of BC3 on participatory processes and each group responded to a particular section of the Charter & Code:

- Ethical and Professional 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, (38 surveys in total, 84%) BC3 first calculated the average score of each of the groups of principles and then average score per principle. BC3's HR Excellence working group decided to consider the principles under 7 as key principles to face and to develop actions, but also considered every researchers' comment inserted in the questionnaire with the aim to get inputs that could help addressing new challenges. The analysis of the survey result was done in two meetings celebrated in June 2020 and was the main source to design the draft of the Improved Action Plan.

| Principle | Section | Name of Principle | 2017 | | 2020 | |
|-----------|-------------|-----------------------------------|------------|---------|-------------|---------|
| | | | Score | Average | Score | Average |
| 1 | Ethics | Research Freedom | 7,7 | 7,6 | 8,00 | 8,6 |
| 2 | | Ethical Principles | 8,2 | | 8,86 | |
| 3 | | Prof. Responsibility | 8,0 | | 8,43 | |
| 4 | | Prof. attitude | 7,6 | | 9,14 | |
| 5 | | contractual and legal obligations | 7,8 | | 9,00 | |
| 6 | | Accountability | 8,2 | | 8,71 | |
| 7 | | Good practices | 7,9 | | 8,43 | |
| 8 | | Dissemination/Exploitation | 7,1 | | 8,29 | |
| 9 | | Public Engagement | 6,9 | | 9,00 | |
| 10 | | Non discriminations | 8,9 | | 8,29 | |
| 11 | | Evaluation Appraisal | 5,9 | | 8,43 | |
| 12 | Recruitment | Recruitment | 7,7 | 7,5 | 6,86 | 7,2 |
| 13 | | Recruitment | 7,9 | | 7,71 | |
| 14 | | Selection | 6,7 | | 6,43 | |
| 15 | | Transparency | 6,8 | | 6,71 | |
| 16 | | Judging Merit | 7,4 | | 7,71 | |
| 17 | | Variations in chronological order | 7,9 | | 7,29 | |
| 18 | | Recognition of mobility | 7,7 | | 7,86 | |
| 19 | | Recognition of qualifications | 7,5 | | 7,00 | |
| 20 | | Seniority | 7,9 | | 6,71 | |
| 21 | | Postdoctoral appointments | 7,0 | | 7,43 | |

| Principle | Section | Name of Principle | 2017 | | 2020 | |
|-----------|----------------------------------|---|------------|------------|-------------|------------|
| | | | Score | Average | Score | Average |
| 22 | | Recognition of the Prof | 8,3 | | 9,20 | |
| 23 | | Research environment | 7,3 | | 8,00 | |
| 24 | | Working conditions | 8,4 | | 9,00 | |
| 25 | | Stability and permanence | 6,1 | | 6,50 | |
| 26 | | Funding and salaries | 7,1 | | 7,80 | |
| 27 | | Gender balance | 7,7 | | 8,00 | |
| 28 | Working conditions and SS | Career development | 5,9 | 7,0 | 7,30 | 8,1 |
| 29 | | value of mobility | 7,1 | | 8,80 | |
| 30 | | Access to career advise | 6,1 | | 7,10 | |
| 31 | | Intellectual Property rights | 7,1 | | 9,00 | |
| 32 | | co-authorship | 8,1 | | 9,00 | |
| 33 | | Teaching | 5,9 | | 6,56 | |
| 34 | | Complaints/Appealing | 6,3 | | 8,20 | |
| 35 | | Participation in decision making | 7,3 | | 8,40 | |
| 36 | Training | Relation with supervisors | 7,4 | 7,0 | 7,33 | 7,4 |
| 37 | | Supervision&Mgmt duties | 7,3 | | 7,33 | |
| 38 | | Continuing prof. developing | 7,0 | | 7,50 | |
| 39 | | Access to research training &cont. Develop | 6,3 | | 7,50 | |
| 40 | | Supervision | 7,1 | | 7,50 | |

The main conclusions of the analysis were:

- All the Group of Principles improved their average scores compared to 2017 survey except for the **Recruitment** section.
- Almost all the principles were rated higher than in 2017, except for the principles under **Recruitment** section. This result was broadly discussed by the HR Excellence Group considering that BC3 launched the **OTM-R policy in November 2017** and it's currently under version 3.
- Taking into account those figures, BC3's HR Excellence Working Goup proceeded to design a **draft of the Improved Action Plan** with new Strategic objectives for the period 2020-2023:
 - o GUARANTEEING BC3 AS A SAFE WORKING PLACE
 - o ATTRACT TALENT THAT CONTRIBUTE TO EXCELLENCE GUARANTEEING EQUALITY PRINCIPLES
 - o KEEP A SUSTAINABLE, FAIR AND VIBRANT WORKING ENVIRONMENT
 - o CONTRIBUTE TO THE ALIGNMENT OF THE SCIENTIFIC CAREERS AND SOCIETAL CHALLENGES (special focus on early career stages)

By 30th of June, 2020, BC3's Management Committee appointed the **new HR Excellence Group** whose mission was to approve the Improved the Action Plan.

In July 2020, the draft of the Improved Action Plan was presented to the new HR Excellence Group and they work with it until September. By the 10th of September, the new HR Excellence Group designed the final version of the **Improved Action Plan** and this was approved by BC3's Management Committee in the meeting celebrated on the 17th of September, 2020. This plan was shared with all BC3 employees on the 18th of September, 2020.

2.5 2020-2023 Improved Action Plan (IAP1)

The Improved Action Plan (IAP1) has four key strategic objectives as explained in the previous section. Each strategic objective has different specific objective where the key activities, responsables and indicators are defined. So, in general terms, those specific objectives are equivalent to the “Actions” concept, used in the previous Action Plans. Each specific objective/action tries to respond to one or various principles.

In order to identify those actions or specific objectives, BC3 has two types of identifiers. The EU identifier, used to identify these actions at the Euraxess application and the internal identifier (ID).

| Strategic Objective 2: ATTRACT TALENT THAT CONTRIBUTE TO EXCELLENCE GUARANTEERING EQUALITY PRINCIPLES | | |
|---|-------|--|
| EU | ID | Specific objectives |
| IAP1_A1 | HR2.1 | Promote actions to guarantee equality criteria when hiring women and men |
| IAP1_A3 | HR2.2 | Guarantee that OTM-R principles are applied |

Example: In the table above, under the Strategic Objective 2, BC3 has identified 2 specific objectives or actions. At the EURAXESS application the identifier will be IAP1_A1 and IAP1_A3:

- IAP1_A1: Improved Action Plan 1_Action 1. This action has an internal id, HR2.1
- IAP1_A3: Improved Action Plan 1_Action 3. This action has an internal id, HR2.2

As the Equality Commission has designed a very detailed Gender Equality Plan, those activities are embedded under the Improved Action Plan with a different color (light orange) and grouped under a unique action, “IAP1_A1 Gender Equality Action Plan implementation”. These group of actions, internally are HR1.1; HR1.2; HR1.3; HR1.4;HR2.1;HR3.1; HR3.2;HR4.1 all of them followed up by Equality Commission and reported to the HR Excellence Group as explained in section 2.5 at the HR Excellence Monitoring Meetings.

The Open, Transparent and Merit based Recruiting policy (OTM-R policy) is embedded into the institutional HR strategy at the this renewal phase, and there is a specific strategic objective/action, that directly responds to this need (IAP1_A3 – HR2.2).

2.5.1 Strategic Objective 1: Guaranteeing bc3 as a safe working place

| EU | ID | Specific objectives | Activities | Responsible(s) | Deadline | | | | Resources | Principles |
|---|---------|--|---|--|---------------------------|------|------|------|-----------|------------|
| | | | | | 2020 | 2021 | 2022 | 2023 | | |
| IAP3_A1 | HR1.1 | (Specific objective 1.1. of Equality Plan) Zero tolerance for sexual and gender-based harassment or any kind of violence toward women. | A.1.1.1. Preparing a protocol to fight and prevent sexual and gender-based harassment, | Equality Commission - Administration (MA) | ✓ | | | | 32h | 10,14,27 |
| | | | A.1.1.2. Selecting and training someone as "Gender Focal Point" to manage sexual and gender-based harassment. | Equality Commission - Administration (OM) | ✓ | | | | 8h | |
| | | | A.1.1.3. Holding a training session on violence and harassment, to share the bc3 protocol and train staff. | Equality Commission - Administration (MA) | ✓ | | | | 2h/year | |
| | | | A.1.1.4. Monitoring the operational system for the harassment protocol (outsourced assessment). | Equality Commission - Administration (MA) | ✓ | ✓ | ✓ | ✓ | 14h/year | |
| | | | A.1.1.5. Include the protocol in the Welcome Plan and the Intranet (highlighted section). | Equality Commission - Administration (OM) | ✓ | | | | 2h/year | |
| | HR1.2 | (Specific objective 1.2. of Equality Plan) Preventing sexual and gender-based harassment, as well as any kind of violence toward women. | A.1.2.1. Adding the commitment to eradicate harassment and violence to institutional discourse (website, documents, contracts, etc.) and developing a manifesto for commitment to equality. | Equality Commission - Administration (OM) | ✓ | | | | 14h | |
| | | | A.1.2.2. Conducting internal campaigns (emailing, etc.) to share the protocol and to prevent harassment and violence. | Equality Commission - Administration (MA) | ✓ | ✓ | ✓ | ✓ | 2h/year | |
| | HR1.3 | (Specific objective 2.2. of Equality Plan) Create structures specifically designed to boost equality | A.2.2.1. Formalise the Equality Commission as an institutional entity | Equality Commission - Administration (OM) | ✓ | | | | 3h | |
| | | | A.2.2.2. Define objectives and prepare a work agenda for the Equality Commission | Equality Commission - Administration (OM) | ✓ | | | | 7h | |
| | | | A.2.2.3. Track implementation of the Equality Plan | Equality Commission - Administration (MA) | ✓ | ✓ | ✓ | ✓ | 28h | |
| | | | A.2.2.4. Evaluate the Equality Plan when its execution is completed (outsourced assessment). | Equality Commission - Administration Research (S) Research (M) Research (J) | | ✓ | | ✓ | 7h | |
| | HR1.4 | (Specific objective 2.3. of Equality Plan of Equality Plan) Strengthen staff capabilities in relation to equality | A.2.3.1. Establish a training plan for the entire staff that includes work on : attitudes, terms of inequality, inequality in science, violence, etc. | Equality Commission - Administration (MA) | ✓ | ✓ | ✓ | ✓ | 28h | |
| | | | A.2.3.2. Create and maintain a repository with relevant information on equality aspects | Equality Commission - Research (J) | ✓ | ✓ | ✓ | ✓ | 28h | |
| | IAP1_A2 | HR1.5 | Guarantee the employees safety in every circumstance | A.1.4.1. Benchmarking - conduct a benchmark asking to other centres about protocols of labour safety in labs and field work (including trips to conflict zones or other type of issues) | Research (S - Res Fellow) | | ✓ | | | |
| A.1.4.2. Prepare a safety guide for working in labs | | | | Research (S) Administration | | | ✓ | | 70h | |
| A.1.4.3. Prepare a safety guide for field work (including trips) | | | | Research (S) Administration | | | | ✓ | 70h | |
| A.1.4.4. Ensure an effective communication of the protocols/guides | | | | Administration (MA) | | | ✓ | ✓ | 14h | |

EURAXESS ID
 GENDER EQUALITY PLAN Specific Objectives

Indicators for each action/Specific objectives:

| EU | ID | Specific objectives | Indicators | Responsible(s) | 2020 | | 2021 | | 2022 | | 2023 | |
|---|-------|--|---|--|-----------|--------|-----------|--------|-----------|--------|-----------|--------|
| | | | | | Objective | Result | Objective | Result | Objective | Result | Objective | Result |
| IAP3_A1 | HR1.1 | (Specific objective 1.1. of Equality Plan) Zero tolerance for sexual and gender-based harassment or any kind of violence toward women. | IOE 1.1.1. 12 months after the MC approves the Plan, a bc3 protocol was drawn up based on other existing protocols and Emakunde's recommendations. | Administration (MA) | 100% | | | | | | | |
| | | | IOE 1.1.2. 6 months after beginning the plan, the Gender Focal Point person received specific training to hear and manage harassment cases. | Administration (OM) | 100% | | | | | | | |
| | | | IOE 1.1.3. 6 months after beginning the Plan, bc3 staff knows the protocol document in force for cases of harassment, and knows about the Gender Action Plan | Administration (MA) | | | | | | | | |
| | | | IOE 1.1.4. Within 1 month after Plan approval, include the protocol in force in the Welcome Plan and the Intranet (highlighted section). | Administration (OM) | 100% | | | | | | | |
| | HR1.2 | (Specific objective 1.2. of Equality Plan) Preventing sexual and gender-based harassment, as well as any kind of violence toward women. | IOE 1.2.1. 12 months after the Plan was begun, all institutional documents were revised and modified where it was pertinent to include the commitment to eradicate harassment and violence. | Administration (OM) | 90% | | 100% | | | | | |
| | | | IOE 1.2.2. Upon Plan completion, 24 months at least two internal campaigns were conducted to share the plan and prevent harassment and violence. | Administration (MA) | | | 1 | | 1 | | | |
| | HR1.3 | (Specific objective 2.2. of Equality Plan) Create structures specifically designed to boost equality | IOE 2.2.1. 3 months after beginning the Plan, an Equality Commission was created | Administration | 100% | | | | | | | |
| | | | IOE 2.2.2. Since beginning plan implementation, all staff has been aware of EC and knows what its role is | Administration | 80% | | 100% | | 100% | | 100% | |
| | | | IOE 2.2.3. At least every 6 months, the EC monitors compliance with indicators set forth in the plan | Administration | | | | | | | | |
| | | | IOE 2.2.4. Once implementation is complete (and no later than 6 months afterward), the EC has rated plan compliance and provided proposals for a second plan | Administration Research (S) Research (M) Research (J) | | | | | | | | 100% |
| | HR1.4 | (Specific objective 2.3. of Equality Plan of Equality Plan) Strengthen staff capabilities in relation to equality | IOE 2.3.1. 12 months after beginning the Plan, there is an equality training plan for all staff. | Administration | 80% | | 90% | | 90% | | 100% | |
| | | | IOE 2.3.2. 80% of participants in training express that it was useful to gain further knowledge about equality. | Administration | 60% | | 70% | | 75% | | 80% | |
| IOE 2.3.3. Implement the repository with relevant information on equality aspects | | | Research (J) | 100% | | | | | | | | |
| IAP1_A2 | HR1.5 | Guarantee the employees safety in every circumstance | IOE 1.5.1. Within 1 month after safety guide in Labs approval, include the protocol in force in the Welcome Plan and the Intranet | Administration | | | | | 100% | | | |
| | | | IOE 1.5.2. Within 1 month after safety guide in field work approval, include the protocol in force in the Welcome Plan and the Intranet | Administration | | | | | | | 100% | |

2.5.2 Strategic Objective 2: Attract talent that contribute to excellence guaranteeing equality principles

| EU | ID | Specific objectives | Activities | Responsible(s) | Deadline | | | | Resources | Principles |
|---------|-------|---|--|---|----------|------|------|------|--------------------|----------------|
| | | | | | 2020 | 2021 | 2022 | 2023 | | |
| IAP1_A1 | HR2.1 | (Specific objective 3.1 of Equality Plan) Promote actions to guarantee equality criteria when hiring women and men | A 3.1.1. Analyse hiring policy and propose changes, if necessary, to promote equal opportunity. (OTM-R policy) | Equality Commission - Research (S) | ✓ | ✓ | | | 2h/year and person | 10,14,27 |
| | | | A 3.1.2. Add criteria to the hiring policy, by means of which BC3's Hiring Commission will be blended, representing both women and men whenever possible. (OTM-R policy) | Equality Commission - Administration (OM) | ✓ | ✓ | | | 2h | |
| IAP1_A3 | HR2.2 | Guarantee that OTM-R principles are applied | A 2.2.1. Analyse hiring policy problems faced by call promoters at BC3 (Workshop with seniors) | Research (S - IKB Prof) | ✓ | | | | 14h | 12,13,14,15,20 |
| | | | A 2.2.2. Holding training sessions on good practices in recruitment (seniors). (OTM-R policy) | Research (S) Administration (OM) | | ✓ | ✓ | ✓ | 2h/year and senior | |
| | | | A 2.2.3 Prepare a guide on OTM-R principles for recruiters | Research (S) Administration (OM) | | | ✓ | | 35h | |

 EURAXESS ID
 GENDER EQUALITY PLAN Specific Objectives

Indicators for each action/Specific objectives:

| EU | ID | Specific objectives | Indicators | Responsible(s) | 2020 | | 2021 | | 2022 | | 2023 | |
|---------|-------|---|--|---------------------|-----------|--------|-----------|--------|-----------|--------|-----------|--------|
| | | | | | Objective | Result | Objective | Result | Objective | Result | Objective | Result |
| IAP1_A1 | HR2.1 | (Specific objective 3.1 of Equality Plan) Promote actions to guarantee equality criteria when hiring women and men | IOE 3.1.1. 12 months after beginning the plan, the Hiring Policy was amended from an equality perspective. | Research (S) | 50% | | 50% | | | | | |
| | | | IOE 3.1.2. The percentage of application of women | Administration (OM) | 50% | | 50% | | 50% | | 50% | |
| IAP1_A3 | HR2.2 | Guarantee that OTM-R principles are applied | IOE 2.2.1. The percentage of trained senior researchers (recruiters) | Administration (OM) | 50% | | 75% | | 85% | | 90% | |
| | | | | | | | | | | | | |

2.5.3 Strategic Objective 3: Keep a sustainable, fair and vibrant working environment

| EU | ID | Specific objectives | Activities | Responsible (s) | Deadline | | | | Resources | Principles |
|--|-------|---|--|--|----------|------|------|------|-----------|-------------|
| | | | | | 2020 | 2021 | 2022 | 2023 | | |
| IAP1_A1 | HR3.1 | (Specific objective 3.2 of Equality Plan) Promote actions to guarantee equality in professional career development for people at BC3 | A 3.2.1. Introduce the new Equality Plan at the BC3 Board of Directors Meeting | Equality Commission - Administration (OM) | ✓ | | | | 2h | 10,14,27 |
| | | | A 3.2.2. Send the HR EXCELLENCE work group ideas to revise the evaluation process for researchers within the framework of professional career development. | Equality Commission - Research (S) | ✓ | ✓ | ✓ | ✓ | 28h | |
| A 3.2.3. Formalise institutional policies to regulate and define work-life balance and welfare measures for everyone at BC3, which also contribute to women attaining positions of responsibility at the job place | | | Equality Commission - Administration (OM) | ✓ | ✓ | | | 14h | | |
| IAP1_A1 | HR3.2 | (Specific objective 2.1. of Equality Plan) Raise visibility for equality between women and men as a value for bc3 | A 2.1.1. Revise all institutional documents that include organisation values and add equality as one of them. | Equality Commission - Administration (OM) | ✓ | | | | 14h | |
| | | | A 2.1.2. Create a space on the website that states this commitment and shares reports, news, etc. on science and equality between women and men. | Equality Commission - Research (S) | ✓ | ✓ | ✓ | ✓ | 28h | |
| | | | A 2.1.3. Add the commitment to equality in the Welcome Plan. | Equality Commission - Administration (MA) | ✓ | | | | 7h | |
| | | | A 2.1.4. Raise visibility for work done by women at bc3 in different media held by the organisation. | Equality Commission - Research (M) | ✓ | ✓ | ✓ | ✓ | 28h | |
| | | | A 2.1.5. Enter into strategic alliances with institutions committed to equality to generate joint activities to promote equality. | Equality Commission - Administration (OM) | ✓ | ✓ | ✓ | ✓ | 28h | |
| | | | A 2.1.6. Promote gender balance on scientific panels, summer schools, ISAC, etc. | Equality Commission - Administration (OM) Research (S) | ✓ | ✓ | ✓ | ✓ | 28h | |
| IAP1_A4 | HR3.3 | Promote the PhD representative figure to identify better junior researcher's challenges | A.3.3.1. Introduce at the BC3's employee corner information of the PhD representative and her/his role | Research (J -PhD) | ✓ | | | | 2h | 30,34 |
| IAP1_A5 | HR3.4 | Identify problems and issues in a rapid way to effectively response to them | A.3.4.1. Remind the mentoring guide developed within the HRS4R process | Research (J -Postdoc) | ✓ | ✓ | ✓ | ✓ | 8h/year | 25,28,30,34 |
| | | | A.3.4.2. Send reminder with the conflict management system guide elaborated within the HRS4R process | Research (J) | ✓ | ✓ | ✓ | ✓ | | |
| IAP1_A6 | HR3.5 | Promote a sustainability plan | A. 3.5.1 Compile a set of good practices for research centres in terms of Sustainability and create BC3's Sustainability Plan | Research (S - IKB Prof.,J) | | ✓ | | | 35h | 23 |
| | | | A. 3.5.2 Promote the Sustainability Plan | Administration (PO) | | ✓ | ✓ | ✓ | | |
| IAP1_A7 | HR3.6 | Promote a collaborative and friendly working environment | A. 3.6.1 Create a virtual social corner at BC3's Employees intranet | Administration (OM) | | ✓ | | | 100h | 23 |
| | | | A. 3.6.2 Create a reading room at the office | Administration (OM) | | ✓ | | | | |
| | | | A. 3.6.3 Create a quiet corner at the office | Administration (OM) | | ✓ | | | | |
| | | | A. 3.6.4 Communication process improvement – internal and external communication improvement | Administration (OM) | | ✓ | ✓ | ✓ | | |
| | | | A. 3.6.5 Lunch seminars – new approach | Research (J) | | ✓ | | | | |

EURAXESS ID
 GENDER EQUALITY PLAN Specific Objectives

Indicators for each action/Specific objectives:

| EU | ID | Specific objectives | Indicators | Responsible (s) | 2020 | | 2021 | | 2022 | | 2023 | |
|---------|-------|---|--|-----------------------------|-----------|--------|-----------|--------|-----------|--------|-----------|--------|
| | | | | | Objective | Result | Objective | Result | Objective | Result | Objective | Result |
| IAP1_A1 | HR3.1 | (Specific objective 3.2 of Equality Plan) Promote actions to guarantee equality in professional career development for people at BC3 | IOE 3.2.1.-Post BC3's commitment to EQUALITY on BC3's media as of the moment the Plan is approved by the Management Committee | Administration (OM) | 100% | | | | | | | |
| | | | IOE 3.2.2. Share the new equality plan with BC3's Board of Directors to involve members in its execution and success. | Administration (OM) | 1 | | | | | | | |
| | | | IOE 3.2.3. 18 months after beginning the plan, BC3 has specific measures for work-life balance and co-responsibility | Administration Research (S) | 2 | | 1 | | 1 | | 1 | |
| | | | IOE 3.2.4. + than 40% of women hold positions of responsibility (scientific direction, operations management, senior researchers (prof.+fellows) | Administration (OM) | 20% | | 25% | | 30% | | 40% | |
| IAP1_A1 | HR3.2 | (Specific objective 2.1. of Equality Plan) Raise visibility for equality between women and men as a value for bc3 | IOE 2.1.1. 12 months after beginning the Plan, equality was added as another value to institutional documentation. | Administration (OM) | 100% | | | | | | | |
| | | | IOE 2.1.2. The equality clause is added to BC3's open hiring processes | Administration (MA) | 100% | | 100% | | 100% | | 100% | |
| | | | IOE 2.1.3. 12 months after beginning the Plan, a web space on equality and science was created. | Research (S) | 100% | | | | | | | |
| | | | IOE 2.1.4. 3 months after beginning the Plan, commitment to equality was added to the Welcome Plan. | Administration (MA) | 100% | | | | | | | |
| | | | IOE 2.1.5. Equality collaboration agreements with INSTITUTIONS committed to equality to generate joint activities to promote equality. | Administration (OM) | 1 | | 1 | | 1 | | 1 | |
| | | | IOE 2.1.6. Promote a gender balance on the International Scientific Advisory Committee (ISAC) for the end of the plan | Administration Research (S) | 30% women | | 40% women | | 40% women | | 50% women | |
| IAP1_A4 | HR3.3 | Promote the PhD representative figure to identify better junior researcher's challenges | IOE 3.3.1. Identify Phd Representative and her/his role | Research (J) | 100% | | 100% | | 100% | | 100% | |
| | | | IOE 3.3.2. Number of meetings (virtual/face to face) between PhD Rep and OM | Research (J) | 2 | | 2 | | 2 | | 2 | |
| IAP1_A5 | HR3.4 | Identify problems and issues in a rapid way to effectively response to them | IOE 3.4.1 Identify Ombudsperson/s | Administration Research (S) | 100% | | 100% | | 100% | | 100% | |
| | | | IOE 3.4.2 Number of official claims presented and responses from SD or OM | Administration Research (S) | 90% | | 90% | | 100% | | 100% | |
| IAP1_A6 | HR3.5 | Promote a sustainability plan | IOE 3.5.1 Publication of BC3's Sustainability Plan at Employees' corner | Administration (MA) | | | 100% | | | | | |
| | | | | | | | | | | | | |
| IAP1_A7 | HR3.6 | Promote a collaborative and friendly working environment | IOE 3.6.1 Publication of the new Employees' corner | Administration (OM) | | | 100% | | | | | |
| | | | IOE 3.6.2 Reading room ready | Administration (OM) | | | 100% | | | | | |
| | | | IOE 3.6.3 Quiet room ready | Administration (OM) | | | 100% | | | | | |
| | | | IOE 3.6.4. New approach for Lunch Seminars ready | Research (J) | | | 100% | | | | | |

2.5.4 Strategic Objective 4: Contribute to the alignment of the scientific careers and societal challenges (special focus on early career stages)

| EU | ID | Specific objectives | Activities | Responsible (s) | Deadline | | | | Resources | Principles |
|---------|-------|--|---|--|----------|------|------|------|-----------|-------------------|
| | | | | | 2020 | 2021 | 2022 | 2023 | | |
| IAP1_A1 | HR4.1 | (Specific objective 4.1. of Equality Plan) Strengthen team capacities to do research with a gender perspective | A 4.1.1. Conduct training (specialist training or through in-house seminars) for research staff on how to add the gender perspective to different phases of research. | Equality Commission - Research (S) | ✓ | ✓ | ✓ | ✓ | 16h | 10,14,27 |
| | | | A 4.1.2. Invite a guest expert on gender through the Visitor Programme on a biannual basis. | Equality Commission - Research (S) | ✓ | | ✓ | | 8h | |
| IAP1_A8 | HR4.2 | Strengthen the relationship between early career stage researchers and supervisor aligning BC3's Strategy and researchers activities | A 4.2.1. Conduct the Scientific Annual Planning process and others | Research (J - PhD) | ✓ | ✓ | ✓ | ✓ | 35h/year | 25,28,30,36,28,40 |
| IAP1_A9 | HR4.3 | Improve BC3's training plan to align researcher needs and BC3 Strategy (identify needed skills and expert training services) | A 4.3.1. Conduct the Scientific Annual Planning process and include a section for needed skills (agreed with supervisors) | Research (J - Postdoc) Administration (OM) | | ✓ | | | 28h/year | 39 |
| | | | A 4.3.2. Identify common needed skills and also expert training services to have a continuous training program | Research (J) | | | ✓ | | 14h | |

EURAXESS ID
GENDER EQUALITY PLAN Specific Objectives

Indicators for each action/Specific objectives:

| EU | ID | Specific objectives | Indicators | Responsible (s) | 2020 | | 2021 | | 2022 | | 2023 | |
|---------|-------|--|---|---------------------|-----------|--------|-----------|--------|-----------|--------|-----------|--------|
| | | | | | Objective | Result | Objective | Result | Objective | Result | Objective | Result |
| IAP1_A1 | HR4.1 | (Specific objective 4.1. of Equality Plan) Strengthen team capacities to do research with a gender perspective | IOE 4.1.1. Train and inform research staff on how to add the gender perspective (provided the scientific discipline provides for doing so) during different phases of research. | Research (S) | 1 | | 1 | | 1 | | 1 | |
| | | | IOE 4.1.2. Two experts on gender were invited through the Visitor Programme during Plan execution. | Research (S) | 1 | | 0 | | 1 | | 0 | |
| IAP1_A8 | HR4.2 | Strengthen the relationship between early career stage researchers and supervisor aligning BC3's Strategy and researchers activities | IOE 4.2.1. Percentage of early career stages researchers fulfill the annual Scientific Plan. | Administration (OM) | 75% | | 80% | | 90% | | 95% | |
| IAP1_A9 | HR4.3 | Improve BC3's training plan to align researcher needs and BC3 Strategy (identify needed skills and expert training services) | IOE 4.3.1. Training needs section included at the Scientific Annual Plan. | Administration (OM) | | | 80% | | 100% | | | |
| | | | IOE 4.3.2. Training services database ready | Administration (OM) | | | | | 100% | | | |

2.5.5 Executive Summary of the 2020 – 2023 Improved Action Plan

In the table below the Improved Action Plan (IAP1) is provided as in the template of the Euraxess application:

| Title action | GAP Principle(s) | Timing | Responsible Unit | Indicator(s) / Target | Current status |
|--|---------------------|--------|--|--|----------------|
| IAP1_A1_Implementation of the Gender Equality Action Plan (HR1.1-4;HR2.1:HR3.1-2;HR4.1) | 10, 14, 27 | 2023 | Equality Commission: Mixed team of BC3 employees from Admin and Research | Indicators defined in HRS4R Action Plan for Specific Objectives (HR1.1-4;HR2.1:HR3.1-2;HR4.1) - see HRS4R Improved Action Plan | In Progress |
| IAP1_A2_Guarantee employees safety in every circumstance (HR1.5) | 7,23 | 2023 | Research Unit - Coord: Research Fellow Support: Admin | IOE 1.5.1 - Within 1 month after Lab safety protocol approval, include it in the Welcome Plan and Intranet /100% by 2022 IOE 1.5.2 - Within 1 month after Fieldwork safety protocol approval, include it in the Welcome Plan and Intranet /100% by 2023 | In Progress |
| IAP1_A3_Guarantee that OTM-R principles are applied (HR2.2) | 12,13,14, 15,19, 20 | 2023 | Research Unit - Coord: Ikerbasque Research Prof Support: Admin | IOE 2.2.1 - Percentage of trained senior researchers (recruiters)/ 50% in 2020, 75% in 2021; 85% in 2022; 90% in 2023 | In Progress |

| | | | | | |
|---|-------------------------|-------------|---|--|--------------------|
| <p>IAP1_A4_Promote PhD representative figure to better identify junior researchers' challenges (HR3.3)</p> | <p>30,34</p> | <p>2020</p> | <p>Research Unit - Coord: PhD student</p> | <p>IOE 3.3.1 Identify PhD representative and her/his role/ 100% in 2020;100% in 2021; 100% in 2022; 100% in 2023 IOE 3.3.2 INumber od meetings between PhD rep. and Operations Manager/ 2 per year</p> | <p>In Progress</p> |
| <p>IAP1_A5_Identify problems and issues in a rapid wat to effectively respond to them (HR3.4)</p> | <p>25,28, 30,34</p> | <p>2023</p> | <p>Research Unit - Coord: Postdoctoral researcher. Support: Admin and Research Assistant</p> | <p>IOE 3.4.1 Identify Ombudsperson/s / 100% by 2020;100% by 2021; 100% by 2022; 100% by 2023 IOE 3.4.2 Number of official claims presented and responses from SD or OM/ 90% by 2020; 90% by 2021; 100% by 2022; 100% by 2023</p> | <p>In Progress</p> |
| <p>IAP1_A6_Promote a sustainability Plan (HR3.5)</p> | <p>23</p> | <p>2021</p> | <p>Research Unit - Coord: Ikerbasque Research Prof. Support: Admin and Research Assistant</p> | <p>IOE 3.5.1 Publication of BC3's Sustainability Plan at Employees' corner/ 100% by 2021</p> | <p>In Progress</p> |

| | | | | | |
|--|-----------------------|------|---|--|----------------|
| IAP1_A7_Promote a collaborative and friendly working environment (HR3.6) | 23 | 2021 | Admin Unit - Coord: Operations Manager Support: Research Unit | IOE 3.6.1 Publication of the new Employees' corner/ 100% by 2021 IOE 3.6.2 Reading room ready/ 100% by 2021 IOE 3.6.3 Quiet room ready/ 100% by 2021 IOE 3.6.4. New approach for Lunch Seminars ready/ 100% by 2021 | In Progress |
| IAP1_A8_Strengthen relationships between early career stage researchers and supervisors aligning BC3's Strategy and Researchers' activities (HR4.2) | 25,28,30, 36,28,40 | 2023 | Research Unit - Coord: PhD representative Support: Admin | I.O.E. 4.2.1 % of early career stage researchers fulfill the annual scientific plan/ 75% by 2020; 80% by 2021; 90% by 2022; 95% by 2023 | In progress |
| IAP1_A9_Improve BC3's training plan to align researcher needs and BC3 Strategy (HR4.3) | 39 | 2022 | Research Unit - Coord: Postdoctoral researcher Support: Admin | IOE 4.3.1 Training needs section included at the Scientific Annual Plan/ 80% by 2021; 100% by 2022 I.O.E. 4.3.2 Training services database ready/ 100% by 2022 | In progress |

The implementation of the actions and their progress monitoring within BC3 will be carried out using our detailed **Improved Action Plan** template and following the internal procedures as explained in section 2.6 of this document.

2.6 2020 - 2023: Implementation and monitoring of the Improved Action Plan (IAP1)

In order to guarantee the implementation of the Improved Action Plan, BC3 created since the beginning of the HRS4R process, a working group called **HR Excellence Group**. The HR Excellence Group is a mixed group of 13 (by Oct 2020) BC3 employees from the Administration (30%) and from the Research Department (70%). In terms of categories, all the research categories are represented in the Group:

- Senior researchers represent a 44% of the researchers at the Group
- Junior researchers represent a 56% of the researchers at the Group.

In this HR Excellence Group there are also 2 members of the BC3's Equality Commission, one from the Administration Department and another one from the Research Department to guarantee the deployment of the actions directly implemented by the Equality Commission.

In terms of gender, the female represent a 69% of the total.

The main and common responsibilities of the members of the HR Excellence Group are the following:

- Participate at the HR Excellence Monitoring Meetings.
- Analyze the HRS4R survey results
- Participate in the design the Improved action Plan and its monitoring indicators
- Implement the actions foreseen at the Action Plan. For this purpose, each action coordinator could create an action working group, but only the member of the HR Excellence Group will participate in the HR Excellence Monitoring Meetings.
- Follow up the deployment of the actions/specific objectives
- Communicate the results of the process to the rest of HR Excellence Group members and/or Risk detection and mitigation strategies and countermeasures of their actions/specific objectives

This group meets every three months, at the **HR Excellence Monitoring Meetings (HRM)**.

HR Excellence Monitoring Meetings (HRM)

HRM is an executive decision body of the Strengthened HRS4R Process. HRM is composed by all the members of the HR Excellence Group in charge of the daily management and implementation of the Strengthened HRS4R process.

- **Chair of HRM** – Coordinator and leader of the Strengthened HRS4R (BC3's Operation Manager). The Chair will be responsible for the coordination of the whole process. She will serve as the official interface between the European Commission and BC3. All communication with the European Commission, especially with regard to the submission of deliverables and forms is part of her responsibilities. She will also be the interface between HRM and BC3's Management Committee.
- **Secretary of HRM** – The Secretary (BC3's Management Assistant) will schedule the meetings and elaborate the minutes of the HRM.
- **Coordinators of each Action/Strategic Objective** – The leaders/responsible of the design and implementation of each action/strategic objective. Each member of the HR Excellence Group is coordinating at least one strategic objective/action.

The HRM uses video conferences, phone and e-mail as the daily work tools. The responsibilities of the HRM will be the following:

1. Definition of the dates and places for the HRM regular and extraordinary meetings.
2. Conduct the internal assessments that will be the main input for the design of the action plans.

3. Design of the Action Plans and its modifications for the final approval by BC3's Management Committee.
4. Taking measures to keep the Action Plan schedule and review of indicators, including the coordination with other BC3's internal committees, such as the Equality Commission or Management Committee if necessary.
5. Overseeing the proper integration of results in the overall Action Plan and reviewing and approving the results/issues to be sent to the Management Committee.
6. Agree on the plan for the disseminating results of the Strengthened HRS4R process.
7. Risk detection and mitigation strategies and countermeasures, including conflict resolution.

The **BC3's Management Committee** (MC) is the ultimate decision structure of the Strengthened HRS4R Process. This Committee is part of the Operations Model at BC3 and it approves/denies the action plans/processes/policies/results/means of the different working groups at BC3. BC3's Management Committee chair is the Scientific Director, and the Operations Manager is the secretary. The rest of members, are senior researchers that coordinate a research line or a research group. BC3's Management Committee meets every month except in Summer period. The MC guarantees that the HR Excellence process/ Strengthened HRS4R process fits and it's integrated in **BC3's Strategy Plan** and that BC3 fulfills the commitments with the European Commission.

Currently, BC3 is implementing 2017-2021 Strategy Plan where the HR Strategy (HRS4R process) is embedded as part of our Strategy. During 2021, BC3 will start a participatory process to complete next Strategy Plan (period 2022-2025) where the Strengthened HRS4R will be fully integrated. BC3's Management Committee will ensure that the implementation of code and charter through the improved action plan is fulfilled and it will be also a key process for the next Strategy period.

2.7 Open, Transparent, Merit-Based Recruitment policy

Open, transparent and merit-based recruitment (OTM-R) brings benefits to researchers, institutions, a country's research system, contributes to the full implementation of the European Research Area (ERA) and to an increase in the cost-effectiveness of investments in research. More specifically, OTM-R ensures that the best person for the job is recruited, guarantees equal opportunities and access for all, facilitates developing an international portfolio (cooperation, competition, mobility) and makes research careers more attractive.

As member of the 6th cohort of organisations involved in the development of HRS4R, BC3 analysed, assessed and integrated the recommendations and principles of OTM-R into the internal recruitment policies during the Internal Review for Interim Assessment.

BC3 defined the first OTM-R policy in 2017. Our procedure to reflect and to define this policy is based on the use of the [Report of the Working Group of the Steering Group of Human Resources Management on Open, Transparent and Merit-based Recruitment \(OTM-R\) of Researchers](#) and the checklist created by them to ensure the completeness of BC3 analysis.

BC3 proceeded to conduct internally a review of the OTM-R checklist (*see annex II: OTM-R Checklist 2020*) in parallel with the Charter and Code GAP analysis, and the result is the incorporation of the action/specific objective at the Improved “**Action Plan (AP1) - Action AP1_A3: Guarantee that OTM-R principles are applied**”. This will result as well in a modification of the current BC3's OTM-R Policy ([currently on version 3](#)).

Annex I: GAP Analysis 2020

BC3 conducted an internal assessment through a questionnaire to 4 focus groups of researcher. Depending on the internal assessment score BC3 provides a the implementation status according to the following criteria:

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

| European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview | | | |
|---|---|--|--|
| Status: to what extent does this organisation meet the following principles? | Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented | In case of --, -/+, or +/-, please indicate the actual “gap” between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation | Initiatives undertaken and/or suggestions for improvement: |
| Ethical and Professional Aspects | | | |
| 1. Research freedom | ++ | | |
| 2. Ethical principles | ++ | | |

| | | | |
|---|-----|--|---|
| 3. Professional responsibility | ++ | | |
| 4. Professional attitude | ++ | | |
| 5. Contractual and legal obligations | ++ | | |
| 6. Accountability | ++ | | |
| 7. Good practice in research | ++ | | IAP1_A2_Guarantee employees safety in every circumstance |
| 8. Dissemination, exploitation of results | ++ | | |
| 9. Public engagement | ++ | | |
| 10. Non discrimination | ++ | | IAP1_A1_Implementation of the Gender Equality Action Plan |
| 11. Evaluation/ appraisal systems | ++ | | |
| Recruitment and Selection | | | |
| 12. Recruitment | +/- | The entry and admission standards for researchers are specified at every call but BC3 should facilitate access for disadvantaged groups. Currently BC3 is promoting Gender Equality but other disadvantaged groups should be considered. | Action AP1_A3: Guarantee that OTM-R principles are applied |
| 13. Recruitment (Code) | ++ | | Action AP1_A3: Guarantee that OTM-R principles are applied |

| | | | |
|---|-----|--|---|
| 14. Selection (Code) | -/+ | The evaluation panel members at BC3 should be adequately trained as BC3 provides general guidance to develop selection processes | Action AP1_A3: Guarantee that OTM-R principles are applied IAP1_A1_Implementation of the Gender Equality Action Plan |
| 15. Transparency (Code) | +/- | BC3 provides general responses to those candidates that has not been selected, without providing specific feedback | Action AP1_A3: Guarantee that OTM-R principles are applied |
| 16. Judging merit (Code) | ++ | | |
| 17. Variations in the chronological order of CVs (Code) | ++ | | |
| 18. Recognition of mobility experience (Code) | ++ | | |
| 19. Recognition of qualifications (Code) | +/- | The evaluation panel members at BC3 should be adequately trained as BC3 provides general guidance to develop selection processes | Action AP1_A3: Guarantee that OTM-R principles are applied |
| 20. Seniority (Code) | +/- | The evaluation panel members at BC3 should be adequately trained as BC3 provides general guidance to develop selection processes | Action AP1_A3: Guarantee that OTM-R principles are applied |
| 21. Postdoctoral appointments (Code) | ++ | | |
| Working Conditions and Social Security | | | |

| | | | |
|--|-----|---|--|
| 22. Recognition of the profession | ++ | | |
| 23. Research environment | ++ | | <p>IAP1_A2_Guarantee employees safety in every circumstance</p> <p>IAP1_A6_Promote a sustainability Plan</p> <p>IAP1_A7_Promote a collaborative and friendly working environment</p> |
| 24. Working conditions | ++ | | |
| 25. Stability and permanence of employment | -/+ | <p>BC3 is a non profit research association with a high rate of self-finance. BC3 is not a public institution nor a University. BC3 finances the research positions with competitive funding so this way is very difficult to guarantee stability or permanent employment. 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.</p> | <p>IAP1_A5_Identify problems and issues in a rapid wat to effectively respond to them</p> <p>IAP1_A8_Strengthen relationships between early career stage researchers and supervisors aligning BC3's Strategy and Researchers' activities</p> |
| 26. Funding and salaries | ++ | | |
| 27. Gender balance | ++ | | IAP1_A1_Implementation of the Gender Equality Action Plan |
| 28. Career development | ++ | | IAP1_A5_Identify problems and issues in a rapid wat to effectively respond to them |
| 29. Value of mobility | ++ | | |

| | | | |
|----------------------------------|-----|--|--|
| 30. Access to career advice | ++ | | <p>IAP1_A4_Promote PhD representative figure to better identify junior researchers' challenges</p> <p>IAP1_A5_Identify problems and issues in a rapid wat to effectively respond to them</p> <p>IAP1_A8_Strengthen relationships between early career stage researchers and supervisors aligning BC3's Strategy and Researchers' activities</p> |
| 31. Intellectual Property Rights | ++ | | |
| 32. Co-authorship | ++ | | |
| 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 | ++ | | <p>IAP1_A4_Promote PhD representative figure to better identify junior researchers' challenges</p> <p>IAP1_A5_Identify problems and issues in a rapid wat to effectively respond to them</p> |

| | | | |
|--|----|--|---|
| 35. Participation in decision-making bodies | ++ | | |
| Training and Development | | | |
| 36. Relation with supervisors | ++ | | IAP1_A8_Strengthen relationships between early career stage researchers and supervisors aligning BC3's Strategy and Researchers' activities |
| 37. Supervision and managerial duties | ++ | | |
| 38. Continuing Professional Development | ++ | | IAP1_A8_Strengthen relationships between early career stage researchers and supervisors aligning BC3's Strategy and Researchers' activities |
| 39. Access to research training and continuous development | ++ | | IAP1_A9_Improve BC3's training plan to align researcher needs and BC3 Strategy |
| 40. Supervision | ++ | | IAP1_A8_Strengthen relationships between early career stage researchers and supervisors aligning BC3's Strategy and Researchers' activities |

Annex II: OTM-R Checklist 2020

Comments:

*Suggested indicators (or form of measurement) from EU EURAXESS are kept in brown.

BC3 has added under the same column of *suggested indicator (*Suggested indicators (or form of measurement)/ BC3's improvement action) a comment on the action to improve question. These notes are in black.

Color codes:

| Implementation score | Color code |
|------------------------------|------------|
| ++ Yes, completely | |
| +/-Yes, substantially | |
| -/+ Yes, partially | |
| -- No | |

| <i>OTM-R checklist for organisations</i> | | | | | |
|--|------|------------------|-----------------|---|---|
| | Open | Trans- parent | Merit- based | Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No | *Suggested indicators (or form of measurement) / BC3's improvement action |
| OTM-R system | | | | | |

| | | | | | |
|--|---|---|---|------------------------------|--|
| 1. Have we published a version of our OTM-R policy online (in the national language and in English)? | x | x | x | +/-Yes, substantially | https://www.bc3research.org/images/stories/about%20Us/HR%20Excellence/20190221_otm-r.pdf Improved Action Plan - Action AP1_A3: Guarantee that OTM-R principles are applied - BC3's OTM-R policy should be translated |
| 2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions? | x | x | x | +/-Yes, substantially | [Date of latest update; ensure that it is sent to all staff] - February 2019; published in the Intranet Review the internal Guide |
| 3. Is everyone involved in the process sufficiently trained in the area of OTM-R? | x | x | x | -/+ Yes, partially | - Existence of training programs for OTM-R - Number of staff following training in OTM-R Improved Action Plan - Action AP1_A3: Guarantee that OTM-R principles are applied |
| 4. Do we make (sufficient) use of e-recruitment tools? | x | x | | +/-Yes, substantially | Web-based tool for (all) the stages in the recruitment process Improved Action Plan - Action AP1_A3: Guarantee that OTM-R principles are applied |
| 5. Do we have a quality control system for OTM-R in place? | x | x | x | -- No | Improved Action Plan - Action AP1_A3: Guarantee that OTM-R principles are applied |
| 6. Does our current OTM-R policy encourage external candidates to apply? | x | x | x | ++ Yes, completely | Trend in the share of applicants from outside the organisation |
| 7. Is our current OTM-R policy in line with policies to attract researchers from abroad? | x | x | x | ++ Yes, completely | Trend in the share of applicants from abroad |
| 8. Is our current OTM-R policy in line with policies to attract underrepresented groups? | x | x | x | +/-Yes, substantially | Trend in the share of applicants among underrepresented groups (frequently women) IAP1_A1_Implementation of the Gender Equality Action Plan |

| | | | | | |
|--|---|---|---|------------------------------|---|
| 9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers? | x | x | x | ++ Yes, completely | Trend in the share of applicants from outside the organisation |
| 10. Do we have means to monitor whether the most suitable researchers apply? | | | | ++ Yes, completely | BC3 HR coordinator has direct feedback from the PI of the call |
| Advertising and application phase | | | | | |
| 11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions? | x | x | | ++ Yes, completely | |
| 12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? | x | x | | +/-Yes, substantially | BC3 includes required competencies and duties, working conditions, gender equality policies,... in the job Ads. |
| 13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience? | x | x | | ++ Yes, completely | - The share of job adverts posted on EURAXESS through Science Careers.eu - Trend in the share of applicants recruited from outside the organisation/abroad |
| 14. Do we make use of other job advertising tools? | x | x | | ++ Yes, completely | Academics Position; Research Gate; ScienceCareers; Bizkaia Talent and Social networks |
| 15. Do we keep the administrative burden to a minimum for the candidate? | x | | | ++ Yes, completely | |
| Selection and evaluation phase | | | | | |
| 16. Do we have clear rules governing the appointment of selection committees? | | x | x | ++ Yes, completely | Statistics on the composition of panels (Defined at the OTM-R Policy) |
| 17. Do we have clear rules concerning the composition of selection committees? | | x | x | ++ Yes, completely | Written guidelines (Defined at the OTM-R Policy) |
| 18. Are the committees sufficiently gender-balanced? | | x | x | +/-Yes, substantially | BC3 is deploying the following action in the Improved Action Plan (IAP1) - IAP1_A1_Implementation of the Gender Equality Action Plan |

| | | | | | |
|--|--|---|---|------------------------------|--|
| 19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected? | | | x | +/-Yes, substantially | BC3 Written guidelines are very general. These guidelines are the same as the ones used by the internal evaluation published at the Career Development Plan. More specific guidelines are expected under the Improved Action Plan - Action AP1_A3: Guarantee that OTM-R principles are applied |
| Appointment phase | | | | | |
| 20. Do we inform all applicants at the end of the selection process? | | x | | ++ Yes, completely | |
| 21. Do we provide adequate feedback to interviewees? | | x | | -/+ Yes, partially | BC3 provides general feedback but not specific feedback except for very punctual cases. |
| 22. Do we have an appropriate complaints mechanism in place? | | x | | +/-Yes, substantially | <p>Statistics on complaints</p> <p>BC3 has an HR email address to send any complaint. BC3 will review the OTM-R policy to include this option under the Action AP1_A3: Guarantee that OTM-R principles are applied</p> |
| Overall assessment | | | | | |
| 23. Do we have a system in place to assess whether OTM-R delivers on its objectives? | | | | -/+ Yes, partially | <p>The OTM-R policy is annually reviewed by the HRM and policy editions are published based on the recommendations.</p> <p>BC3 will also conduct the OTM-R Checklist in a regular basis (with GAP analysis) in order to follow the process.</p> |