BASQUE CENTER
ON COGNITION, BRAIN
AND LANGUAGE

EXCELENCIA
SEVERO
OCHOA

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

European
Commission

euraxess
RESEARCHERS IN MOTION

September, 2016. Rev1

Contents

1. Overview of the center

BCBL, Understanding Language in the Brain

The BCBL - Basque Center on Cognition, Brain and Language (www.bcbl.eu) is a **world-class interdisciplinary research center for the study of cognition, brain and language** founded in September 2008. It is one of the centers belonging to the BERC network (Basque Excellent Research Centers). Its mission is to provide a platform for researchers and professionals to carry out **frontline research, development, innovation, training and knowledge transfer** in the area of **language sciences**, complemented with science dissemination and outreach.

The center is situated in Donostia-San Sebastián in the Basque Country (Spain) and was set up in December 2008, when operations began to create the necessary research environment, including administrative and technical support and to recruit personnel, with a view to beginning on-site research in September 2009. The partners are:

Ikerbasque. Basque Foundation for Science

Innobasque. Basque Innovation Agency

Gipuzkoako Foru Aldundia – Diputación Foral de Gipuzkoa

Universidad del País Vasco / Euskal Herriko Unibertsitatea

The main goal of the center is the study of language from an experimental point of view. Language and reading are the most unique human abilities and involve complex cognitive processes. However, despite current impressive technological and scientific advances, we still do not understand the complexities of the cognitive processes involved, and it is unclear what the causes of language disorders or reading disabilities are, or how to remedy them. What is more, it is yet unknown what would be the best way to learn a second language in our multilingual, globalized world. The BCBL carries out research using the most advanced techniques in these fascinating areas. Our **research objectives** during the 2011-2015 period have been the following:

- To unravel the neurocognitive mechanisms involved in the acquisition, comprehension and production of language.
- To develop research and innovation in Cognitive Neuroscience with particular emphasis on language processing, bilingualism, language disorders and neurodegeneration.
- To uncover the cognitive and neural mechanisms of the reading process, as well as of reading disabilities.
- To promote scientific research and national and international scientific relations within the field of Cognitive Neuroscience and transfer the results of this research to the wider socioeconomic community.
- To forge collaborative links and common interest areas with public and private institutions, centers and industries, with the aim of providing research, training, technological and consultancy services in order to use the work developed in BCBL to the fullest economic and social advantage.
- To endorse **scientific excellence** and improve the transfer of technology to educational and clinical areas.
- To boost the transfer and dissemination of knowledge about Cognitive Neuroscience of Language by means of organizing courses, seminars, national and international conferences and other appropriate general communication means.
- To participate in undergraduate and postgraduate education and training programs and encourage the incorporation of young researchers to this field.
- To facilitate the training and development of BCBL personnel and to promote their collaboration across different lines of research.

The reason why the BCBL is located in Donostia-San Sebastián is because it is an **ideal and unique environment to study language**. It offers access to speakers with a wide range of linguistic profiles (monolinguals, early and late bilinguals) and combinations of languages which are very different from a typological point of view, such as Basque, Spanish, French, and English. As an isolated language, **Basque has unique characteristics** providing an unrivalled opportunity to unveil both the specific and universal properties of language. Importantly, with a view to pursuing our aims, we use a variety of methods, including **cutting-edge neuroimaging techniques**, behavioral methods and computational modeling. In addition, from the moment we started operations, we opened calls for recruiting the best scientists from all over the world (staff scientists, postdoctoral researchers, etc.) and hiring **highly selective supporting personnel** (managers, technical staff, etc.). We managed to assemble **a unique combination of outstanding researchers** coming from many different labs, universities s, **nationalities** (**more than 15**) and **backgrounds** (linguists, engineers, psychologists, medical doctors, etc.), all chosen through a very competitive process and always under the principles of equity, transparency and concurrence. Every recruitment process is open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. We have been using the best recruiting practices, conducted by selection committees with extensive expertise and competence, which include an adequate gender balance, external expert assessment, and face-to-face interviews.

Thus, **the combination of a first class center equipped with the most advanced research techniques, an incomparable linguistic environment, and an exceptional combination of different human resources makes this excellence research center unique in the world**. A Scientific Committee, composed by international highly reputed scientists led by Professor Mangun from the University of California at Davis, is actively participating in shaping the Strategy and Scientific decisions of the Center.

To achieve the specific aim of our research activity of **understanding the neurocognitive mechanisms involved in the acquisition, comprehension and production of language**, with particular emphasis on reading, multilingualism and language impairments, we designed three research lines which are as follows (described in detail later):

- **LINE 1- Language, reading and developmental disorders**

- **LINE 2- Multilingualism and second language learning**

- **LINE 3- Neurodegeneration, brain damage and healthy aging: Language and Cognition**

In addition, we are **committed to education, science dissemination, and knowledge transfer**, with the purpose of **contributing to social welfare by applying the knowledge and technology derived from our research**. One example is the Master in Cognitive Neuroscience of Language and the PhD program in Linguistics in collaboration with the University of the Basque Country -UPV/EHU.

In 2009 the BCBL reached one important milestone: the center (together with three universities) received a CONSOLIDER-INGENIO 2010 grant of 4,000,000 € from the former MICINN (Spanish Ministry of Research and Innovation), led by the scientific director Prof. Carreiras to carry out a very ambitious research program focused on "Cognition and Education". This project was completed in collaboration with several universities, aiming to establish links between neuroscience and education on areas such as reading, attention, dyslexia, and ADHD (Attention Deficit Hyperactivity Disorder). A second landmark happened in 2011, when Prof. Carreiras was awarded with the 5 year ERC Advanced Grant entitled "BILITERACY", valued at 2,487,000 € , to investigate brain changes when learning to read in a foreign language. Additionally, the BCBL's track record and attainment rate of 58 % in competitive programs like the 7PM Marie Curie call for individual fellowships show the center's success in attracting and retaining talent (period 2011-2015: 22 applications, 12 successful proposals).

EXCELENCIA SEVERO OCHOA

One of the latest achievements has been the "Severo Ochoa Centers of Excellence" Support and Accreditation award the BCBL was granted with in 2015. It is a program of the Ministry of Economy and Competitiveness that aims to promote excellence in scientific research in Spain. The program seeks to boost research activities taking place in specific institutional and organizational environments in which a scientific community works closely together to achieve common objectives, facilitating interaction among its members and, at the same time, showing a high degree of openness to international collaboration. It is aimed at recognizing existing centers and units that perform cutting-edge research and are among the world's best in their respective areas. The impact and international scientific leadership of these centers and units are essential for obtaining the distinction.

Some major research outcomes from this period are:

- 203 papers published in high impact journals (155 from Q1 2011-2015)
- 573 presentations in conferences and workshops
- 168 outreach activities
- 26 projects with 4,600,000 €
- 49 individual fellowships with 4,000,000€
- 5 grants for scientific equipment with 250,000€
- 18 grants for scientific conferences and outreach activities with 230,000€
- 47 students enrolled in the Master on Cognitive Neuroscience of Language conducted by the BCBL
- 7 tools/databases open to researchers all over the world

In sum, at the end of the period between 2011-2015, the BCBL was considered one of the best places in the world to carry out advanced studies on language, our most unique human ability, and better understand this capacity which critically shapes an individual's social, economic, and physical wellbeing.

1.1. Structure, governance and management

The BCBL was envisioned as a peer to the best research centers in the world (e.g., the Max Plank Institutes), and considered to have an efficient and sensible model of governance based on performance. This unusual combination allows the needed flexibility to act in this changing world and be efficient in responding to new needs or recruiting the best talented young researchers. This model has been implemented according to the Manual of Procedures and Rules, with the support of the Board of Members and Scientific Committee, to provide a clear framework that is applied with high flexibility.

The International Scientific Advisory Board (ISAB) is an external strategic body of the BCBL, consisting of renowned international researchers, all high profile scientists with extensive experience in the management and evaluation of top-tier research centers. The main role of the International Advisory Board is to advise on the orientation and overall strategy of the center, providing an independent vision of our activities from an international perspective. These are the BCBL's ISAB members:

- Anne Cutler - Max Planck Institute for Psycholinguistics, The Netherlands
- Ron Mangun - Center for Mind and Brain. University of California at Davis, USA
- William Marslen-Wilson - MRC Cognition and Brain Sciences Unit, UK
- Jay McClelland - Center for Mind, Brain and Computation. Stanford University, USA
- Mike Posner - University of Oregon and Sackler Institute, USA
- Tim Shallice - SISSA (Scuola Internazionale Superiore di Studi Avanzati), Italy and Institute of Cognitive Neuroscience, UCL. UK

Internal Organization

Scientific Director Role:

The Scientific Director, Prof. Carreiras, provides scientific and management leadership in the BCBL by defining and coordinating the implementation of the overall strategy of the center. The scientific director encourages a comfortable atmosphere, allowing productive high quality research, as well as efficient collaborative management and technical support. The director also coordinates research activities, establishes priorities and follows the progress of the research projects and the supporting management in the center, providing expert guidance from the perspective of a senior researcher. As the main representative the director also designs and promotes alliances and relationships with partners and stakeholders to achieve the BCBL's primary objectives.

The Researchers:

In order to develop the investigation lines, the researchers were aligned formerly in two research groups led by the three senior "Ikerbasque Research Professors". In 2014 a major reorganization of the research structure was carried out to improve the performance of the center, creating nine groups led by the 3 senior researchers and the 9 staff scientists that included 16 postdoctoral researchers and 26 pre-doctoral students.

The Management Team:

The Management Team, led by the general manager, supports all research activities, crossing the organizational chart horizontally. The management includes backing departments such as Administration (finance control, projects and grants management, human resources, and outreach), Information Technologies, Laboratories, and Tech-Transfer. It is important to highlight that since many researchers are foreigners, the BCBL needs a group of trained research assistants in the four different laboratories to be able to run experiments in Basque and Spanish.

Operating Model or Management Model

The BCBL's Management model is based on the European Foundation for Quality Management (EFQM) framework, which is the most widely–used excellence framework in Europe.

Working procedures:

All daily processes are addressed through a procedures system, outlined in a general map that calls for the specific operation needed. These internal processes are classified as:

- Strategic processes (SP): General and strategic processes supervising all the activities of the center.

- Key processes (KP): What we are supposed to do in the BCBL according to the Strategic Governance Processes.

- Management processes (MP): How we do each thing.

Please find below the processes map of the BCBL. For each of them, we provide a description of the process, a flowchart outlining the workflow to develop the task, and the continuous improvement indicators based on the PDCA (Plan Do Check Act) methodology, along with the standardized forms wherever they are needed.
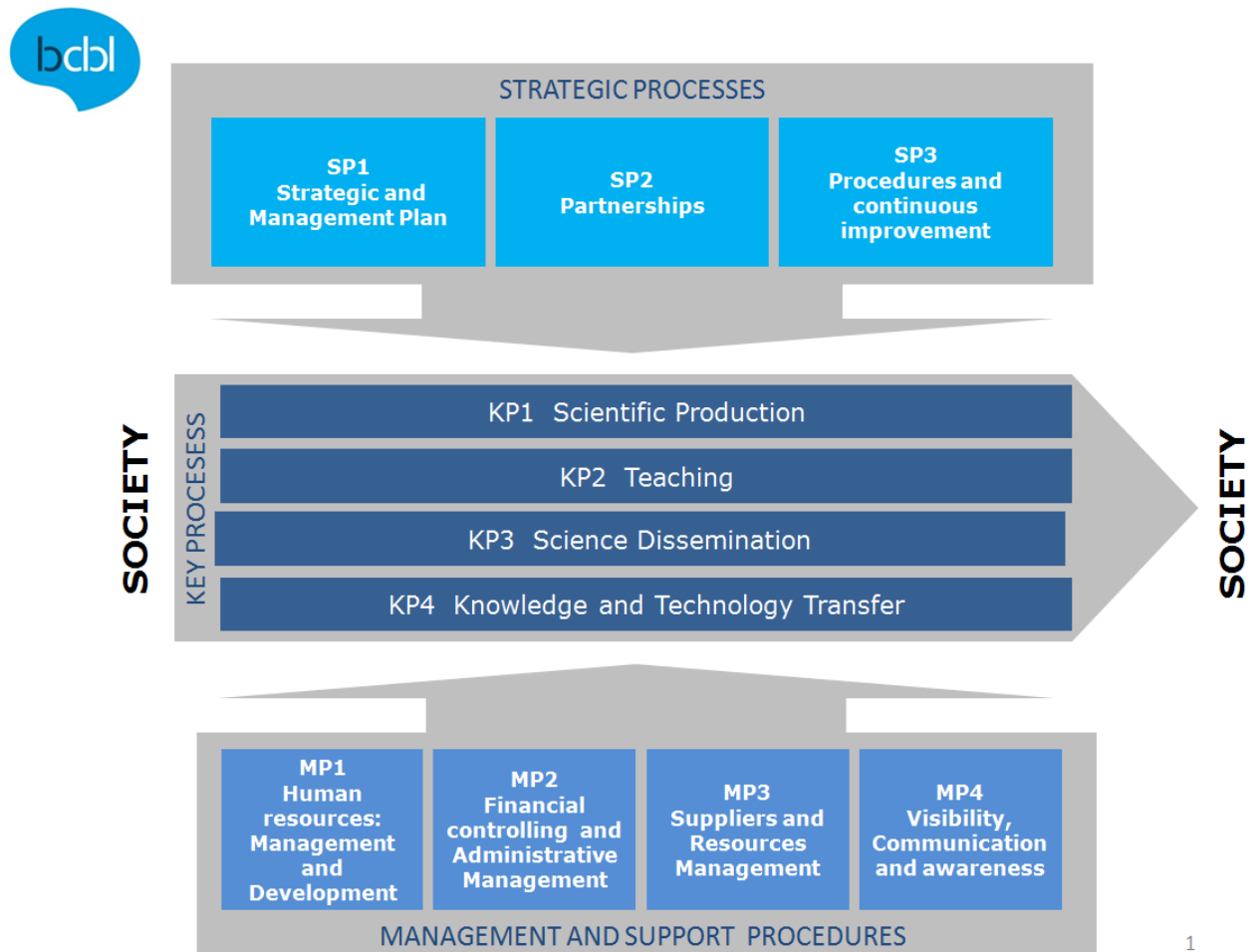

Fig 1. Operating model – Process based model

The BCBL's organizational model was designed to be able to compete in a globalized science and research system in terms of excellence parameters, with the goal of becoming an international reference in its field of research. Therefore, its organizational model has allowed the BCBL to:

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

Governance Model

In order to guarantee the future development of the Center, the Governance Model of the BCBL consists of the following bodies:
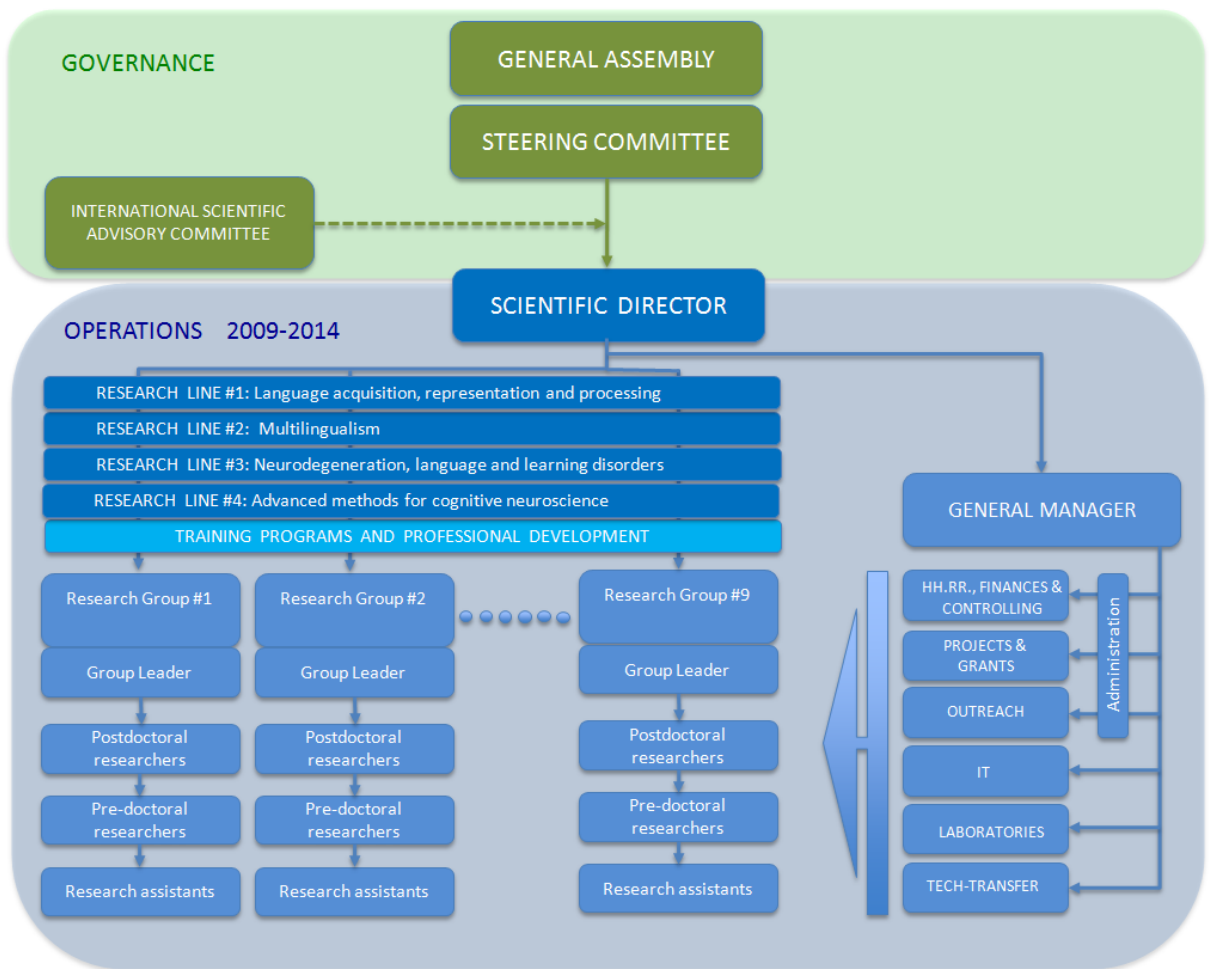

Fig 2. Governance model

1.2 People – Human resources

Researchers and Management team:

With a view to developing the investigation lines, the researchers (staff scientists, postdoctoral researchers and PhD students) were aligned formerly in two research groups led by the three senior researchers (Manuel Carreiras, David Soto and Arthur Samuel), all Ikerbasque Research Professors. In 2014 a major reorganization of the research structure was carried out to improve the performance of the center, creating nine groups lead by the 3 senior researchers and the 9 staff scientists. The updated list of researchers at the BCBL can be found at http://www.bcbl.eu/staff/

The research and support staff at the BCBL is composed of:

- o **Director**: Manuel Carreiras
- o **Seniors / group leaders:** 3
- o **Staff Scientists/ group leaders**: 9

- o **Post-doctoral Researchers**: 16
- o **Affiliated Researchers**: 6
- o **Pre-doctoral Researchers**: 26

- o **General Manager**: Miguel Arocena
- o **Laboratories Department:** 16
- o **Information Technologies & Technical:** 7

- o **Administration**: 8
- o **Technical Transfer:** 2

1.3 Scientific activity and our focus

The three research lines, named (1) Language, reading and developmental disorders; (2) Multilingualism and second language learning, and (3) Neurodegeneration, brain damage and in healthy aging: Language and Cognition, are detailed below:

LINE 1-Language, reading and developmental disorders

Speaking, comprehending spoken language, reading, and writing are critically important and unique human abilities. A major enterprise is to understand how language acquisition, comprehension and production take place in the human brain. In particular, one major endeavor at the BCBL is to understand the cognitive and brain processes involved in the development of reading, from the initial acquisition of reading skills through to skilled reading (e.g., recognizing and integrating strings of characters as words, comprehending those words in isolation and in context). To tackle these challenges, our plan is to investigate natural language (e.g., oral language, written language, sign language) across the life span (infants, children, young adults, older adults) and reading in different populations (e.g., children and adults) with typical developmental trajectories, as well as in special populations (e.g., illiterates, deaf, dyslexics, etc.), using a range of specialized methods and cutting edge techniques.

LINE 2-Multilingualism and second language learning

Most of the world's population is fluent in more than one language and, from a societal perspective, enhanced learning of a second language is critical to globalization, migration of skilled researchers, and integration of newly arrived individuals into society. This second line of research focuses on the cognitive and neural mechanisms underlying language acquisition and processing (comprehension and production) in bilingual and multilingual individuals. To this end, researchers in this line study individuals who acquired a second language at different points during their lives (e.g., from birth vs. as a young adult) or have different degrees of proficiency in their second language. Moreover, they also consider subjects either with languages of the same modality (two oral languages) or different modalities (oral and sign languages), as well as the impact of these factors on cortical plasticity. Special attention is paid to multilingualism within the school system and to the development of new educational technologies.

LINE 3- Neurodegeneration, brain damage and healthy aging: Language and Cognition

Neurodegenerative diseases are the center of much attention in the scientific community, not only because of the basic insights they provide into cognition, but also due to their dramatic social implications. Last estimates indicate that in Spain, by 2020, there will be around 1,500,000 Alzheimer patients. It is assumed that the 50 % of all dementias will be diagnosed as Alzheimer disease. In addition, 2 % of the elderly above 65 years are estimated to have Parkinson disease. Many of these diseases, such as Alzheimer's dementia, Parkinson's disease or semantic dementia, involve a deterioration of many core cognitive skills, including language abilities. We will investigate the neural and cognitive underpinnings of these types of diseases throughout the time-course of their morbidity. In particular, in Alzheimer's disease and in mild cognitive deficit (a milder pre-cursor to Alzheimer's in a large percentage of individuals), language disorders are some of the earliest expressions of the disease and constitute the most frequent cognitive difficulty, after memory problems. They could therefore be used as early markers of the disease, enabling earlier treatment not only from a medical perspective (e.g., pharmaceuticals), but also from a cognitive perspective (e.g., training individuals to use their remaining cognitive abilities more efficiently).

2. HR Excellence in Research process

2.1 The context

The BCBL understands that people are the core value of any research center and 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 task, but their retention is no less so. A continuous evolution of the HR strategy is vital for a research center to successfully adapt to PEOPLE's needs; thus the BCBL 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.
- Involve the researchers in the continual improvement process.
- Be conscious of the comparison between the current situation at the BCBL and the desired/ideal situation based on the C&C principles.
- Cover the needs or gaps that require attention.
- Improve the communication system about the future action plans regarding the HR strategies for researchers.
- Actively support a change in the working culture.
- Join a pan-European network, consisting of researchers and research organizations for benchmarking activities in HR.
- Progress in the area of HR for researchers and the ability to compete among the best Centers of Excellence, increasing the international visibility for:
  - o Funding organizations, sponsors and partners.
  - o Researchers looking for a new employer.
  - o Partners and other institutions willing to conduct their research project in collaboration with the BCBL.

A Working Group was defined by the General Management in order to coordinate all the steps needed to adhere to the C&C and get the HR in Research Excellence Logo:

Working Group: The working group, led by the General Manager, is composed by the following professionals:

Miguel A Arocena (MA): *General Manager, BCBL.* PhD Engineer and MBA. Twenty years of experience leading organizational duties and managing different institutions and companies.

Ana Fernandez (AF): *HR and Project Manager, BCBL.* BA in Business Administration. Fourteen years of experience in the human resources field (recruitment, consultancy, training) and six years working as project manager and Human Resources support at the BCBL.

Larraitz Lopez (LL): *Lab Manager, BCBL.* Degree in Psychology. Master's degrees in Psychopathology and Health and HR Management. Six years of experience, initially working as a Research Assistant and currently as a Lab Manager in charge of the interaction between the researchers, the lab platforms and the lab staff.

The Working Group members have been meeting once a week since they started working on the HRS4R. As explained in the next chapter, on further steps of the process they also met some researchers' representatives to work on the action plans, benefitting from all the different perspectives.The main objective of this group is to standardize the tracking system for the continuous improvement of the HR strategies that are focused on researchers.

2.2 HR Excellence in BCBL— Charter & Code Implementation

The BCBL decided to commit with the **HR Excellence in Research process** in 4Q'2015 after a deep analysis of the BCBL's human resources needs. Accordingly, we prepared an implementation plan and properly informed not only the researchers at the BCBL, but also its partners and founders.

After the communication and approval processes, the BCBL started to perform the tasks defined in the next figure:

Tasks	Description	Responsible	Date
1	**Internal gap analysis**		
	Analysis of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers	MA/LL	Nov-15
	Literature review and contacted with other Basque research centres with previous experience in the issue	MA/LL	Nov-15
	Approval of the initiative to implement the European Charter	MA/LL	Nov-15
	Decision to name the process as HR Excellence	MA/LL	Nov-15
2	**Communication to BCBL employees**	MA	dec-15
3	**Survey**	MA/LL	dec-15
	Survey design	LL	dec-15
	Distribution list preparation	LL	dec-15
	Survey delivery	MA	dec-15
4	**Survey analysis and Action Plan development**	MA/LL	jan-feb-2016
	Compilation of answers	LL	jan-feb-2016
	Exploitation of the answers	LL	jan-feb-2016
	Identification of strenghts and weaknesses	MA	jan-feb-2016
5	**Internal Action Plan**	MA	march-2016
	Design and approval of initial internal action plan	MA/LL	march-2016
6	**Feedback of the Internal Action Plan to all BCBL employees**	MA	april-2016
7	**Action Plan launch**	MA	april-2016
8	**HR Logo report submission to the EC**	MA	april-2016
9	**Consensus report received from the EC**	MA	Jun-16
10	**Address improvement points from Consensus report**	MA	Aug-16
11	**HR Logo report resubmission to the EC**	MA	Sep-16

<p align="center">Table 1. HR Excellence process - Tasks</p>

Task 1: **Internal gap analysis**

The BCBL Management team internally analyzed the European Charter for Researchers, as well as the Code of Conduct for the Recruitment of Researchers. The BCBL also made some literature review and contacted with other Basque research centers that had previously implemented the process. After the initial analysis, the Scientific Director and the General Manager approved the initiative to implement the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers by November 2015. The center decided to name the process as HR Excellence.

Task 2: Communication to the BCBL employees

The BCBL notified all employees about the HR EXCELLENCE process and how it was going to be implemented. For this purpose, a specific meeting was held to brief the researchers about the following information:

- C&C principles and the HR Strategy process

- Benefits for the researchers and the center

- Chronogram and steps to follow to adhere to this program

- Instructions about how to fill in the survey

Task 3: Survey

Following the 40 principles included in the standard C&C, the BCBL prepared the survey and sent it to the **full research community** (54 researchers) at the center (PhD students, postdoctoral researchers -including staff scientists and seniors-).

The survey was presented to the researchers together with a specific instructions sheet, emphasizing the meaning of the two standard questions in each principle ("How much do you agree with this principle?" and "How far is the BCBL from achieving this principle?"). Apart from this, we included a "comment box" after each principle and a space for general comments at the end of the document for the researchers to feel free to express any other concern which may not be included in the previous 40 principles.

The survey was completely anonymous, only having to indicate if they were a) pre-doctoral researchers b) postdocs/senior/staff researchers and was presented in the paper-and-pen or online modalities (Surveymonkey). The researchers had a deadline of 15 days to fill in the survey.

Task 4: Survey analysis and Action Plan development

The work to compile all the answers was carried out during February 2016 and the Working Group (WG) started analyzing the data.

With respect to the response rate, the 50 % of the sample (27 researchers) responded to the questionnaire, belonging to all categories and also being appropriately gender-balanced. From those, the 54 % were pre-doctoral students (14 pre-docs) and the remaining 46 % were postdoctoral (13 researchers), the senior and staff researchers being included in this group.

Regarding gender balance, 52% of the researchers were women and 48% men.

Taking into account the amount of researchers taking part in other different HR Surveys that the center carries out once a year, we could say that, in this new survey, the participation was higher.

The reason why we decided to ask the researchers to indicate if they belonged to the "pre-docs" or "postdoc/senior/staff" group was because we believe that the needs at each stage are different, and so are the actions to be taken.

The WG started evaluating all the conclusions, empathizing with the different needs of the pre-doctoral and post-doctoral researchers.

The comments made by the researchers truly helped us understand and justify their needs and make a better diagnosis of the situation.

The Working Group developed an action plan draft, emphasizing on the gaps that are related to each other and the strategies that could solve a variety of problems.

Task 5: Action Plan

The Action Plan was submitted and approved by the Management Committee in March 2016, although some of the actions were already implemented.

Task 6: **Feedback of the Action Plan to all the BCBL employees in April 2016.**

The WG organized a general meeting to inform all the researchers about the data collection, procedure and general conclusions. After the feedback, the entire research community was invited to a general discussion and brainstorming.

The WG had some action plans in mind but wanted to involve the researchers group in the decision making. The best way to carry it out was to create some other "topic based" groups related to each gap. In each group there would be at least one representative of each group: 1 pre-doc, 1 postdoc, 1 Manager.

Each group created an action plan proposal and presented it in another meeting held only for this purpose. The general manager took notes of it and decided which of those proposals were viable in the short or long term.

The aim of these groups is to keep on having regular meetings to follow up actions and results.

Task 7: Start of execution of the Action Plan in late April 2016

Following several topic-based meetings on the aspects to develop, both the group of researchers' representatives and management group showed the General Manager their improvement proposals.

After sharing the information and making the necessary changes, the joint final action plan was launched, which will be periodically revised to ensure it meets the improvement expectations. Otherwise, a new action plan will be developed.

Task 8: HR Logo report submission to the EC

The general manager of the center submitted the HRS4R logo report and received a confirmation email.

Task 9: Consensus report received

The center received a consensus report form including the strengths and weaknesses of the application, having the center to improve some aspects before getting the approval.

Task 10: Address improvement points from Consensus report

The Working Group meets again to discuss and analyze the improvement aspects and the action plan to develop. Some new points have been added to the present document.

Task 11: HR Logo report resubmission to the EC

Currently the center is resubmitting the application, which is the same as being in the third of the 5-steps defined in the HRS4R for the Implementation of European Charter for Researchers and Code of Conduct for the Recruitment, the BCBL is currently in step 3.
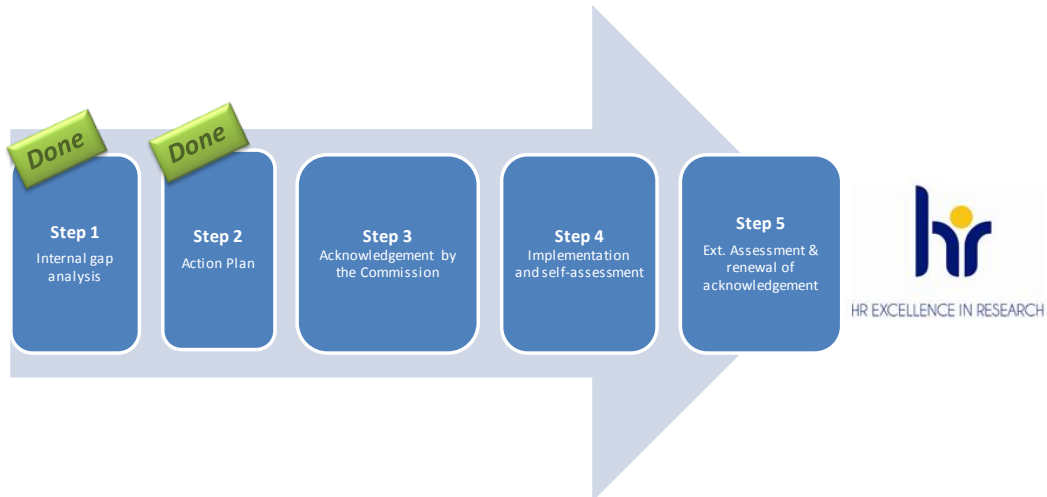
Fig 3. HR Excellence process - Steps

In the following sections, the steps related to the internal GAP analysis and the Action Plan design will be explained.

2.3 Internal gap analysis and interpretation; scoring the principles

Based on the template provided by Euraxess, the BCBL asked about the 4 **groups 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, the BCBL first calculated the average score of each of the groups of principles (how much the researchers agree with the principles) and the position of the BCBL, in order to get the GAP between both. This calculation helped the team to prioritize each group of principles, as well as the areas in which an Action Plan should be deployed.

Looking at next chapter's graph (Fig.4), we took into consideration those principles with the lowest rate as starting point of the Action Plan, as well as those principles where the gap (between the score and the agreement rate) was higher.

These are the principles with lower score and higher gap:

- 11th. Evaluation systems
- 15th. Transparency
- 21st. Postdoc appointment
- 25th. Stability
- 26th. Salaries
- 28th. Career development
- 30th. Career advice
- 35th. Decision making
- 36th. Relation with supervisors
- 39th. Training
- 40th. Supervision

Along the next chapter, we will study all principles individually, detailing the relevant legislation for each one (permitting or impeding the implementation of this principle), based on the existing institutional rules and/or practices.

For those which had the higher gaps or lower scores (highlighted in orange color), we will analyze the results and comments, and will include the relevant actions, implementation plan and tracking procedures.

At the bottom of the section, we will summarize all Action Plans and monitoring tasks for those principles with lower scores and higher gaps between the expectations and real perceptions.

2.3.1 General Assessments
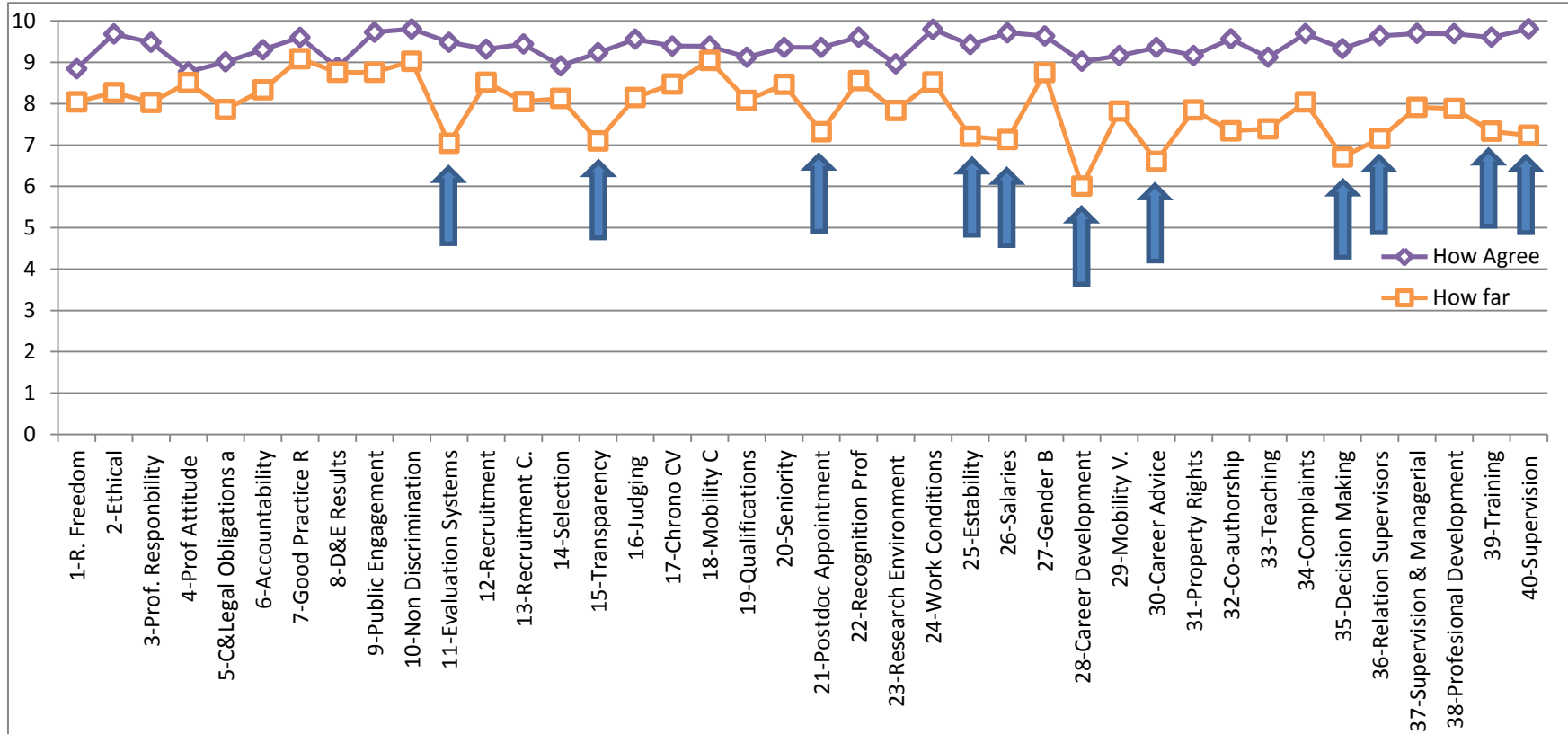
Fig 4. General view of Gap Analysis

I. Ethical and professional aspects

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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.

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Relevant legislation

(permitting or impeding the implementation of this principle)

</td>
<td>**Existing Institutional rules and/or practices**</td>
<td>**Actions required**</td>
<td>**When/Who**</td>
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- LOPD
- Estatuto Trabajadores
- REFORMA LABORAL
- LEY DE CIENCIA
- PROTOCOLO DE HELSINKI

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- Projects Presentation meeting → Discussions about future experiments
- Lab Meetings → Discussions about general topics related to researchers' defined investigation lines
- Scientific and ethical committee
- Public info at internal wiki and corporate website (see Annex I)
- Internal working processes (see Annex II)

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• LOPD	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II) • Ethical committee	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• LOPD	• International Scientific Advisory Board • Scientific committee • Projects Presentation meeting • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Projects Presentation meeting → approvals • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• LOPD • Estatuto Trabajadores • REFORMA LABORAL • LEY DE CIENCIA	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II) • Contracts	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish PGC	• Ethical committee • Transparency policy • Cost and invoices platform: Open Bravo • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

7. Good practice in research

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• LOPD • Health and Safety laws • Estatuto de los trabajadores	• MRI/LAB Safety qualification (internal) • Lab data protection (Data) • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• LOPD • IPR rules	• Tech transfer process • Divulgation process • Congresses • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Congresses: scientific • Workshops for non-scientist professionals • Talks for the general society • Workshops • Internships for undergraduates • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish Constitution	• Gender balance plan • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour law and Science law	• Written document about the professional achievements of each researcher. • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• Definition and publication of the evaluation criteria • PDP: Professional Development Plan to be implemented including periodical supervision/evaluation meetings and feedback about personal achievements (see Annex III)	M. Arocena May'16, and yearly every May

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.			
Relevant legislation **(permitting or impeding the implementation of this principle)**	**Existing Institutional rules and/or practices**	**Actions required**	**When/Who**
• European C&C chapter	• Public info at internal wiki and corporate website (see Annex I). • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour law and social security rules	• Recruitment process • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

14. Selection (Code)

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws and social security rules	• Selection process • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

15. Transparency (Code)

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws and social security rules • Spanish constitution	• BCBL Management process MP1.1.: Recruitment processes are always under the principles of equity, transparency and concurrence. Use of the best recruiting practices conducted by selection committees with diverse expertise and competence, which include adequate gender balance, external expert assessment, and face-to-face interviews • Transparency policy • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• Position Call Fiches will be generated for every selection process. Those will include all the relevant data and requirements for the position and will be delivered to every candidate. • Once the selection process is over, BCBL Human Resources team will contact each of the candidates and offer feedback about the recruitment results. • Career development plans to be more explicit during the selection process. • Information about selection processes to be communicated publicly.	A. Fernandez May'16

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws and social security rules	• Selection process • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Tips to build a good CV • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• (Marie Curie) Mobility Criteria	• Minimum of a postdoc position in a different country from the one in which they completed their PhD • Travel budget available for all researchers • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

19. Recognition of qualifications (Code)

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Estatuto de los Trabajadores	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws and social security rules	• Mobility Criteria • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• Postdoc call fiches will be generated. Those will include all the relevant data about the appointment (term, objectives, rights and obligations). • Definition of the criteria, guidelines and achievements to take into account in order to get a permanent position at the center (PhD to Postdoc or Postdoc to Staff Scientist) • PDP: Professional Development Plan (see Annex III). After PDP, a consensus will be reached in order to provide the postdoc researcher with additional professional development opportunities. • Customized annual workshops on career paths.	M. Arocena A. Fernandez June'16 and yearly workshops

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).

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws and social security rules	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II) • Annual Satisfaction survey (see Annex IV)	Ø	Ø

23. Research environment

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Health and Safety program	• "Lab Safety" internal course • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	- Flexible working hours - Teleworking - A reduction in hours due to child care reasons - Work-life balance guidelines - Option for sabbatical leave - Additional permission days for parents when children are ill - Public info at internal wiki and corporate website (see Annex I) - Internal working processes (see Annex II)	Ø	Ø

25. Stability and permanence of employment

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws • Spanish Science law	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• Definition of criteria for stability in the employment conditions. • Implementation of a stability of employment plan based upon professional performance of researchers fixed on the PDP.	M. Arocena May'16

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish labour laws • Spanish Science law • Ikerbasque rules	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II) • International salaries	• A benchmarking on science salaries will be performed • A plan to improve the basic salary funding for salaries offered by the funding agencies will be implemented • Definition of scales and seniority allowances based on performance and experience	M. Arocena May'16

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Spanish Carta magna	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

28. Career development

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• PDP: Professional Development Plan (see Annex III) • Make evaluation criteria public • Definition of specific career development strategy for researchers • Periodical Supervision to pre-docs • Mentors will be appointed (ombudsman or advisors will be appointed) • The plan will be communicated within the wiki and lab meeting	M. Arocena Jan'17

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	- Public info at internal wiki and corporate website (see Annex I) - Internal working processes (see Annex II)	- Structured mentoring and guidance - External collaboration agreements with local coaching companies will be explored	A. Fernandez Mar'17

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
• Contract • LOPD	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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).

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	- Public info at internal wiki and corporate website (see Annex I) - Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

34. Complains/ appeals

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

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	- Annual survey (see Annex IV) - Public info at internal wiki and corporate website (see Annex I) - Internal working processes (see Annex II) - Researchers involved in Working Groups which were created to address weaknesses	- Lab meeting - Staff meeting to discuss about decisions - Annual retreat open to BCBL community - Suggestion box available "Door always open" policy running - Include researchers representatives in the WG for the HRS4R	L. Lopez May'17

36. Relation with supervisors			
Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.			
Relevant legislation **(permitting or impeding the implementation of this principle)**	**Existing Institutional rules and/or practices**	**Actions required**	**When/Who**
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II) • Two supervisors and one tutor are defined for each researcher.	• Supervisors' training and coaching • Supervisors' evaluation (annual, agreed and recorded) • Ombudsman role defined • If supervisor and supervisee do not match, a change of supervisor process will be designed • Schedule and define training systems and opportunities • PDP: Professional Development Plan (see Annex III)	L. Lopez Dec'16

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Internal trainings • Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	Ø	Ø

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• Specify annual and personal training • Implement supervisor of the supervisor • Implement Ombudsman • PDP : Professional Development Plan (see Annex III)	L. Lopez June'16

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
	• Public info at internal wiki and corporate website (see Annex I) • Internal working processes (see Annex II)	• Supervision of supervisors • Implement 1 ombudsman and two advisors (one from the research community and one from the HR Dpt.) • PDP : Professional Development Plan (see Annex III)	M. Arocena June'17

2.3.2 Action Plan and Conclusions

Principle#	Actions	Responsible	Due date
11	• Definition and publication of the evaluation criteria • PDP: Professional Development Plan to be implemented including periodical supervision/evaluation meetings and feedback about personal achievements	M. Arocena	May'16 and yearly
15	• Position Call Fiches will be generated for every selection process. Those will include all the relevant data and requirements of the position and will be delivered to every candidate • Once the selection process is over, BCBL Human Resources team will contact each of the candidates and offer feedback about the selection process's results • Career development plans to be more explicit during the selection process • Information about selection processes to be communicated publicly	A. Fernandez	May'16
21	• Postdoc call fiches will be generated. Those will include all the relevant data about the appointment (term, objectives, rights and obligations). • Definition of the criteria, guidelines and achievements to take into account in order to get a permanent position at the center (PhD to Postdoc or Postdoc to Staff Scientist) • PDP: Professional Development Plan (see Annex III). After PDP, a consensus will be reached in order to provide the postdoc researcher with additional professional development opportunities • Customized annual workshops on career paths	M. Arocena A. Fernandez	June'16 and yearly workshops

25	- Definition of criteria for stability in the employment conditions - Implementation of a stability of employment plan based upon professional performance of researchers fixed on the PDP	M. Arocena	May'16
26	- A benchmarking on science salaries will be performed - A plan to improve the basic salary funding for salaries offered by the funding agencies will be implemented - Definition of scales and seniority allowances based on performance and experience	M. Arocena	May'16
28	- PDP: Professional Development Plan (see Annex III) - Make evaluation criteria public - Definition of specific career development strategy for researchers - Periodical Supervision to pre-docs - Mentors will be appointed (ombudsman or advisors will be appointed) - The plan will be communicated within the wiki and lab meeting	M. Arocena	Jan'17
30	- Structured mentoring and guidance - External collaboration agreements with local coaching companies will be explored	A. Fernandez	Mar'17

Principle #	Actions	Responsible	Due date
35	• Lab meeting • Staff meeting to discuss about decisions • Annual retreat open to BCBL community • Suggestion box available • "Door always open" policy running • Include researchers representatives in the WG for the HRS4R	L. Lopez	May'17
36	• Supervisors' training and coaching • Supervisors' evaluation (annual, agreed and recorded) • Ombudsman role defined • If supervisor and supervisee do not match, a change of supervisor process will be designed • Schedule and define training systems and opportunities • PDP: Professional Development Plan (see Annex III)	L. Lopez	Dec'16
39	• Specify annual and personal training • Implement supervisor of the supervisor • Implement Ombudsman • PDP: Professional Development Plan (see Annex III)	L. Lopez	June'16
40	• Supervision of supervisors • Implement 1 ombudsman and two advisors (one from the research community and one from the HR Dpt.) • PDP : Professional Development Plan (see Annex III)	M. Arocena	June'17

The BCBL's **general conclusions** about the Survey and its Gap Analysis:

- The groups have been very highly scored: the average was a **9.39 of relevancy**.

- The average score of the **BCBL's position** was also very high, that is **7.91.**

- The general average **GAP** between the relative importance of each group and the assessment done about the situation of the BCBL was **1.48.**

- Taking into account those figures, the BCBL concludes that the center´s current HR strategy is quite well positioned. However, the BCBL will proceed to deploy the Action Plan defined in the previous point, in order to improve the principles that got the highest differences between the agreement to the principles and the BCBL's position with regard to such principles.

- After analyzing the quantitative and qualitative data, we realized that some of the aspects with lower scores overlap each other, and common actions could be useful for solving different issues. This relationship is represented on the following chart:
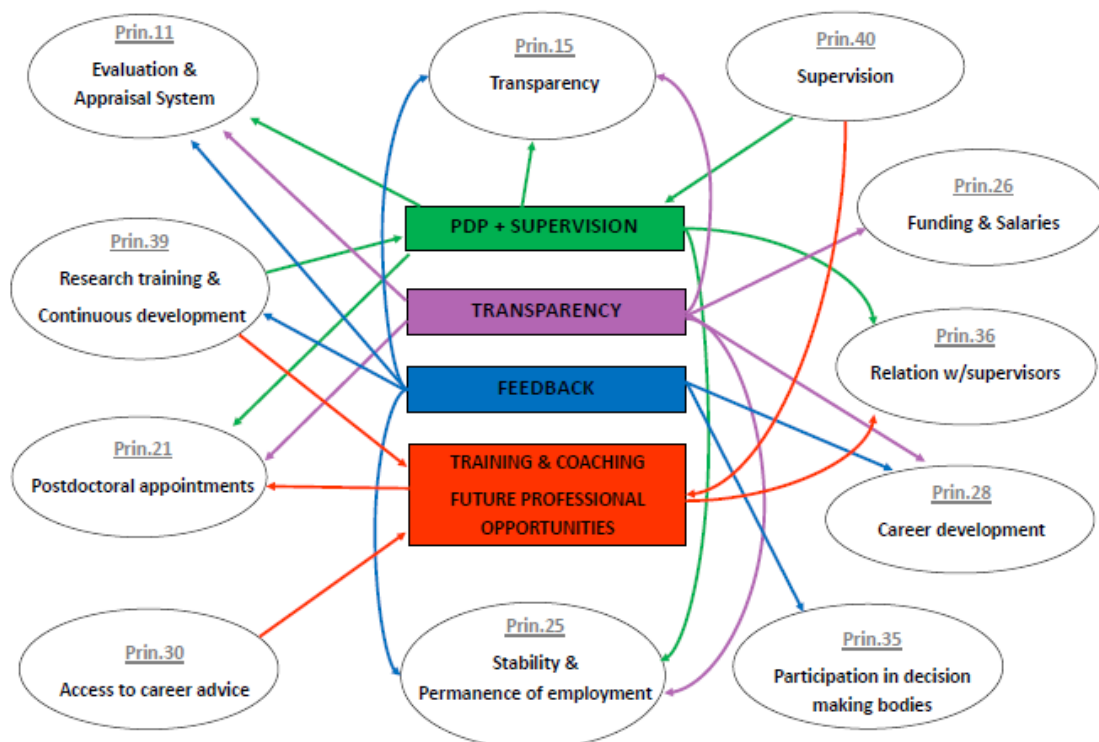
The BCBL's commitment to supporting the principles of the Charter and Code, the HRS4R strategy together with the Internal Analysis and Action Plan have already been published in English on our website, in an easily-accessible place:

http://www.bcbl.eu/staff/human-resources-strategy-hrs4r/

2.3.3 Tracking and monitoring Plan

Please find below the initial implementation and future tracking plan:

1. Adhere to the C&C (commitment letter)
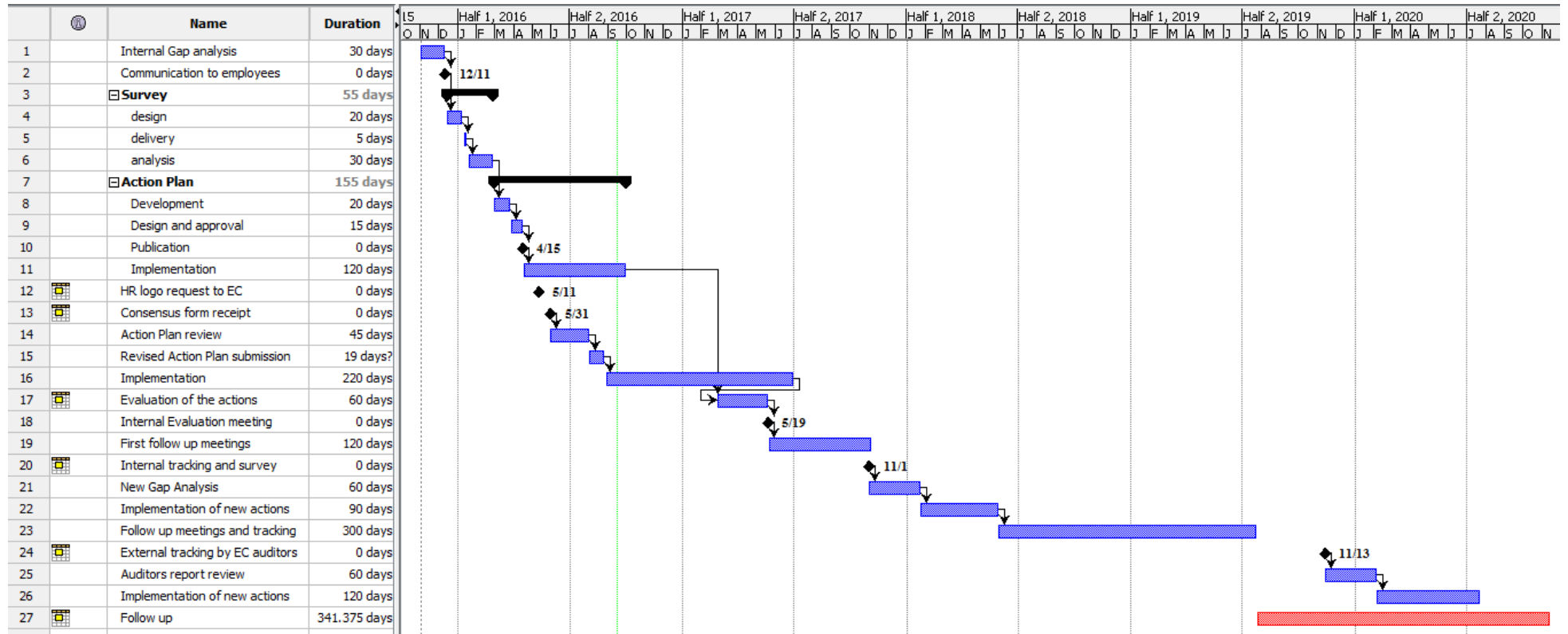2. Internal gap analysis (**survey**)
3. Action Plan
4. Wait for European Commissions approval
5. Approval > HR Logo
6. Implementation of the Action Plan
7. Every 2 years = Internal Tracking
8. Every 4 years = External Tracking

Dec 2015	Dec 2017	2019
Internal Gap Analysis	Internal Tracking	External Tracking

HR Strategy & Action Plan
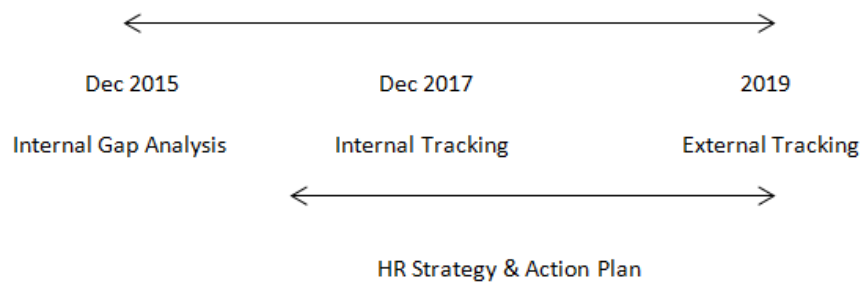
More specific actions and their calendar with exact dates are shown in the next section.

2.3.4 Calendar of actions

		Name	Duration
1		Internal Gap analysis	30 days
2		Communication to employees	0 days
3		Survey	55 days
4		design	20 days
5		delivery	5 days
6		analysis	30 days
7		Action Plan	155 days
8		Development	20 days
9		Design and approval	15 days
10		Publication	0 days
11		Implementation	120 days
12		HR logo request to EC	0 days
13		Consensus form receipt	0 days
14		Action Plan review	45 days
15		Revised Action Plan submission	19 days?
16		Implementation	220 days
17		Evaluation of the actions	60 days
18		Internal Evaluation meeting	0 days
19		First follow up meetings	120 days
20		Internal tracking and survey	0 days
21		New Gap Analysis	60 days
22		Implementation of new actions	90 days
23		Follow up meetings and tracking	300 days
24		External tracking by EC auditors	0 days
25		Auditors report review	60 days
26		Implementation of new actions	120 days
27		Follow up	341.375 days

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3. Final Remarks

The BCBL is an "Excellence Research Center" created in 2008 by the Basque Government to contribute to the knowledge in the Cognitive Neuroscience field.

This process has helped the BCBL reach out to its research community in order to better understand its needs and enhance the continuous improvement processes. Moreover, it has encouraged the institution to be self-critical regarding our strong and weak points and commit to continuously improve HR for researchers.

One of the main challenges for the BCBL since its creation has been the attraction and retention of scientist, as the scientific environment is very competitive. The implementation of the Charter and Code has provided the BCBL with 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 midterm 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 on whether the BCBL 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 center.

Donostia-San Sebastian

September 2016

4. ANNEXES

4.1 Annex I. Public info at internal wiki and corporate website

There is a complete and developed internal wiki, accessible and editable for/by all users and employees, being bi-directional, participative and open, containing info, rules and procedures for many topics as it can be seen below:

Thus, among many other areas like "resources", "conferences" or "grants", one of the most complete section at the wiki is the "Employee handbook".

Our human resources and management team has substantial experience in welcoming and hosting researchers from other regions and international locations, and has developed extensive resources to facilitate the everyday lives of new employees.

Employee Handbook

Page | Discussion | View source | History

(Redirected from Employee-handbook)

WELCOME PLAN AND EMPLOYEE´S HANDBOOK

The human resources and management team has substantial experience in welcoming and hosting researchers from other regions and international locations, and has developed extensive resources to facilitate the everyday lives of new employees.

English is the lingua franca at the center.

During the first days in BCBL, the new researcher gets the access to this wiki which contains all meeting minutes, the repository of publications and conference proceedings, grants, resources, trainings, news and media, how-to, FAQ, events, experimental procedures, and specially important during these first days, this Employee Handbook which facilitates his/her familiarization with the internal procedures and daily functioning of the centre, including an introduction about the BCBL, key policies, holidays and absence from work, business trips and conferences, reserving facilities and equipment, IT procedures, maintenance, purchasing conditions, etc.

Almost all relevant information to work at the bcbl and live in Donostia, is available at this wiki (accesible just typing the shortcut w in your browser) and/or at our website

BASQUE CENTER ON COGNITION, BRAIN & LANGUAGE

1.1 Definition of BCBL. Basque Excellence Research Center - BERC

1.2 BCBL Activity

1.3 Legal Structure

1.4 International Advisory Committee

1.5 Mission, Vision and Values.

1.6 Research Programs.

1.7 Research Lines

During the first days in the BCBL, the new researcher gets access to this wiki which contains all meeting minutes, the repository of publications and conference proceedings, grants, resources, trainings, news and media, how-to, FAQ, events, experimental procedures, and especially important during these first days, the aforementioned Employee Handbook which facilitates his/her familiarization with the internal procedures and daily functioning of the center. This handbook also includes an introduction about the BCBL, key policies, holidays and absence from work, business trips and conferences, reserving facilities and equipment, IT procedures, maintenance, purchasing conditions, etc. Almost all relevant information to work at the BCBL and live in Donostia is available at this wiki and/or our website.

The list below shows the most relevant sections at the Employee handbook for a better understanding of its scope and covered information, processes and rules:

Contents [hide]

BASQUE CENTER ON COGNITION, BRAIN & LANGUAGE

1.1 Definition of BCBL. Basque Excellence Research Center - BERC

1.2 BCBL Activity

1.3 Legal Structure

1.4 International Advisory Committee

1.5 Mission, Vision and Values.

1.6 Research Programs.

1.7 Research Lines.

1.8 Platforms and Technical Research Units (PTRU).

INTERNAL ORGANIZATION

2.1 Organization Chart

2.2 Job Descriptions

2.3 Training, Professional development and evaluation criteria

2.4 Timetables.

2.5 Facilities.

2.6 Building Access.

2.7 Code of Conduct.

2.8 Confidentiality and Data Protection.

2.9 The Payslip.

KEY POLICIES

3.1 Economic, Social, Environmental and Corporate Social Responsibility (CSR) Policy.

3.2 Occupational Risk Prevention Policy

3.3 Personnel Policies: People policies, Employees' satisfaction level, Work environment, Gender equality and Non Discrimination plan.

3.4 Internal Communication Plan.

HOLIDAYS AND ABSENCE FROM WORK

4. HOLIDAYS AND ABSENCE FROM WORK.

4.1 Holiday Procedures.

4.2 Absence from Work.

BUSINESS TRIPS AND CONFERENCES

5. BUSINESS TRIPS AND CONFERENCES.

5.1 General Rules

5.2 General rules for participation in Conferences, Seminars and Workshops

5.3 Request for Reimbursement of Expenses

5.4 Expense Report - Request Form

RESERVING FACILITIES AND EQUIPMENT

6. RESERVING FACILITIES AND EQUIPMENT

IT PROCEDURES

7. IT PROCEDURES

MAINTENANCE OF FACILITIES

8. MAINTENANCE OF FACILITIES

PURCHASING CONDITIONS

9. PURCHASING CONDITIONS

9.1 General

9.2 Office supplies

9.3 Laboratory Consumables

HEALTH CARE

10. HEALTH CARE

10.1 The Social Security System

10.2 The Social Security System in the Basque Country

10.3 European Health Card

10.4 Mutual Insurance Companies

10.5 Health at BCBL

10.6 What do I do if I am sick or have an accident

TAX SYSTEM

11. TAX SYSTEM

    11.1 The Basque System

    11.2 Income Tax (IRPF)

    11.3 Retention Table for Employment Earnings

    11.4 Special IRPF Tax Regime Applicable to Research Personnel who have moved to Gipuzkoa

The NIE Document

12. The NIE Document

DONOSTIA - SAN SEBASTIÁN. BASQUE COUNTRY

13. DONOSTIA - SAN SEBASTIÁN. BASQUE COUNTRY

    13.1 Festivals

    13.2 How to get to Donostia - San Sebastián

    13.3 How to reach the BCBL from San Sebastián City Center

    13.4 How to get around Donostia - San Sebastián

    13.5 Accommodation

13.6 Basque Country from the Talent Perspective

13.7 Additional support for newcomers

Education System
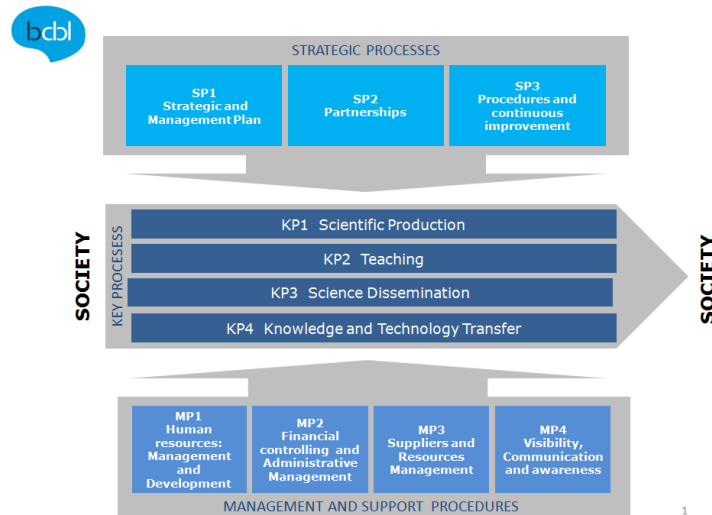
14. Education System

Surrounding Universities
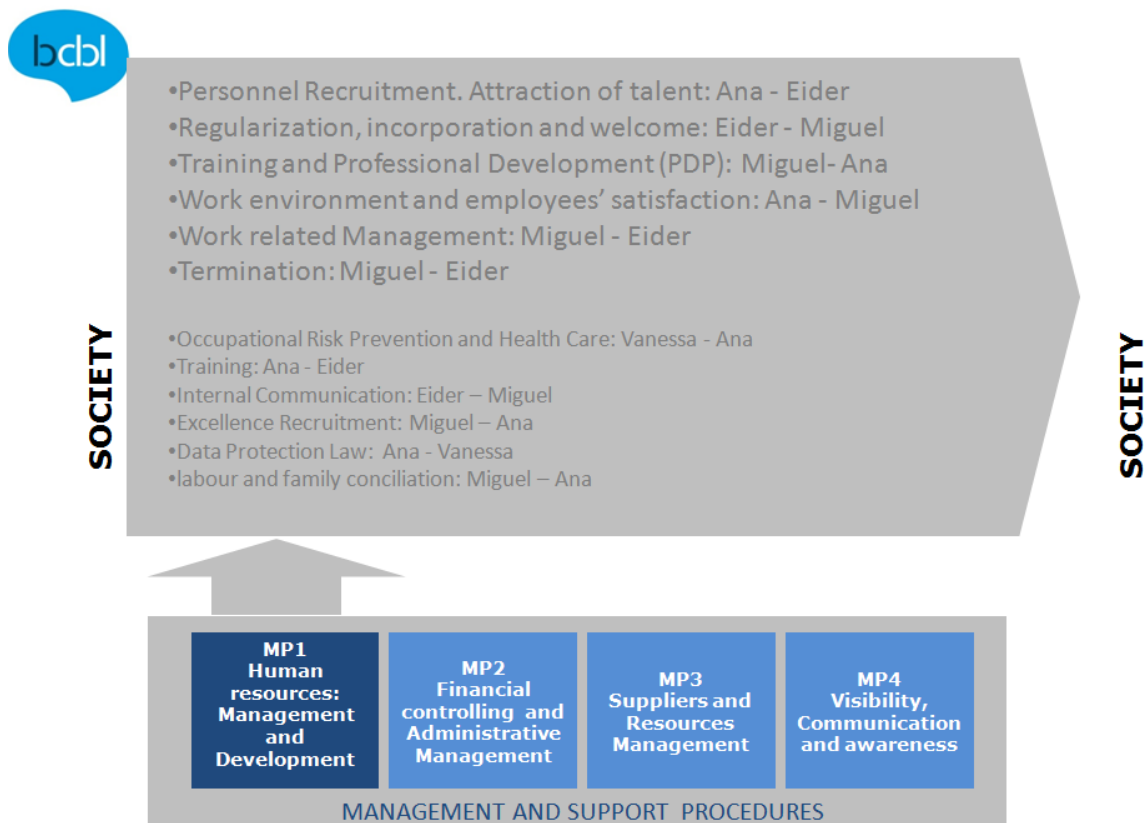
15. Surrounding Universities

4.2 Annex II. Internal working processes

The general Map of working processes is shown below:

Therefore, at "MP1 Human Resources: Management and Development", there are detailed descriptions of the working protocols to cover up most of the employees' needs and issues:

4.3 Annex III. PDP : Professional Development Plan

This is the Researcher evaluation form, which is yearly fulfilled by the researcher and discussed with his/her supervisor's team (supervisor plus Scientific Director, plus General Manager), giving feedback for improvement to the researcher (pre-doc and postdoc).

For **Senior Researchers**, professional performance is performed on a regular basis and in a transparent manner by an international independent committee led by Basque Foundation for Science - Ikerbasque:

BCBL RESEARCHING EVALUATION PROGRAM

PERIOD 2015

A. IDENTIFICATION

Researcher's data:

- Name and Surname:
- Position:
- Start date in BCBL:

    Students fill in this section

    o   Primary Mentor _____

    o   Second Mentor _____

    o   Starting Date in PhD program _____

B. RESEARCHER PERFORMANCE DURING THIS YEAR

1. **Publications with BCBL affiliation during the current year.**

    1.1. Published.

    1.2 In press.

    1.3. Submitted.

    1.4. Books/chapters.

2. **Congresses, Conferences and Workshops: oral presentations, posters, others....**

3. **Invited talks.**

BCBL RESEARCHING EVALUATION PROGRAM   1

---

4. **Research Projects** (please, list the Projects in which you are IP or collaborator with the project's identification basic details; max. 300 words total with starting data and duration).

    4.1. Externally funded Projects.

        4.1.1. Running Projects.

        4.1.2. Submitted Projects.

    4.2. Other Projects/Personal grants/research activity.

        4.2.1. Running Projects.

        4.2.2. Submitted Projects.

5. **Student's supervision (if applicable)**

6. **Other relevant activities (teaching, others...).**

7. **Date of the most recent lab Meeting presentation**

8. **Description of future plans** (*max. 500 words*).

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C. DEGREE OF COMMITTMENT / INVOLVEMENT TOWARDS THE BCBL

The first part of the Evaluation (A, B) has been focused on your technical/scientific performance along 2015.

In this second part (C) we would like to enquire about what you feel you have done for the BCBL in terms of pro-activity, help, service and cooperation for:

- External issues (BCBL visibility, popularization of science, participants' recruitment, events preparation and support, etc.).

- Internal issues (talks, training-trainer and trainee- support and help to colleagues, team spirit, etc.).

Please, recall the need to be present consistently in order to contribute to the BCBL mission.

Please, offer us your comments in no more than *150 words*.

Date:

Signed:

D. OPEN SPACE FOR HEAD'S COMMENTS AND EVALUATION

To be completed by the Group Leader, Headmaster of the PhD program, Supervisor or Mentor, and also by the Director of the BCBL if needed (Please, leave it blank).

Date:

Signed:

4.4 Annex IV. Annual Satisfaction survey

This is the annual satisfaction and working environment survey that we run for all the BCBL employees (researchers, labs and admin) since 2010:

bcbl
BASQUE CENTER
ON COGNITION, BRAIN
AND LANGUAGE

Satisfaction Survey 2015

Date: Jan-2016

Identification (optional)

Please identify the group/department you belong to

Scientific Director/ Research professor ☐	PhD Student ☐	Research Assistant ☐	Administration Team ☐
Staff Scientist ☐	Post doc ☐	IT ☐	Lab ☐
			No answer ☐

Please, tick the option that better fits your opinion (✔)

1. Which is your Satisfaction Level with the following aspects:

1.1 - WORKING CONDITIONS	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
The flexibility in the organization in terms of work presence						
The possibility to balance personal and professional life						
The impact of the nature of your work and workload may have on your health						
The holidays you have within the year						
Space for comments:						

1.2 - SALARY	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
Your salary (compare to other salaries in the market with similar working conditions)						
Space for comments:						

Page 1 of 4

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1.3 - WORK RESOURCES AND ENVIRONMENT	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
The resources you have been provided or the ones to which you can access to carry out your work (communications, office resources…)						
Lab Facilities						
The work atmosphere in your organization						
Space for comments:						

1.4 - PERSONAL DEVELOPMENT	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
Professional development possibilities at BCBL (opportunity of developing your skills, competences, creativity and innovative ideas)						
BCBL arrangements before your arrival (information, assistance)						
BCBL Welcome Plan once here (employee's handbook, resources, support)						
Individualized training opportunities (Budget for Travel and Conferences)						
"General" training opportunities (languages, technical training)						
Space for comments:						

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1.5 - WORK ORGANIZATION	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
Knowledge of BCBL strategic goals and objectives (Mission, Vision, Values, Research Lines)						
The way work (research) is distributed among the team (operational model)						
The definition and monitoring of your personal objectives and work						
The accessibility to the useful scientific information (such as Journals, Papers, Books, Libraries)						
Your satisfaction level related to the Lab Department						
Your satisfaction level related to the IT Department						
Your satisfaction level related to the Management Department						
Space for comments:						

1.6 - COMUNICATION AND PARTICIPATION	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
Communication with Management Team (accessibility, options to put forward your ideas, concerns and fears in confidence, active listening)						
Communication with Scientific director team (accessibility, options to put forward your ideas, concerns and fears in confidence, active listening)						
Level of knowledge of the evaluation criteria (professional and/or personal attitudes to be taken into account in the evaluation session with the person in charge of your work at BCBL)						
Internal communication system						
Interaction possibilities						
Space for comments:						

1.7 - ACKNOWLEDGEMENT	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
The recognition you received from the person in charge of your work at BCBL						
The recognition you received from your BCBL colleagues						
Space for comments:						

1.8 - PRIDE OF BELONGING	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
Be a member of BCBL (project and image)						
Space for comments:						

1.9 - OVERALL EVALUATION	Very Dissatisfied	Dissatisfied	Neither satisfied nor dissatisfied	Satisfied	Very Satisfied	No answer
Your overall satisfaction level in BCBL						
Space for comments:						

Now, you have the opportunity to add explanations and contribute with suggestion or improvement actions in the questions you have rated the lowest

Question number	Reason, improvement actions and other observations