Internal Gap Analysis

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1. GAP ANALYSIS

Name Organization under review: Asociación Centro de Investigación Cooperativa en Nanociencias, CIC nanoGUNE

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a. Process

Taken into account the importance of having good practices in HR, nanoGUNE has decided to start the process to implement the 40 principles of the 'European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers' (Charter and Code).

This idea was promoted internally by the Direction and the Management Team of the Center and it was approved on 5 June 2017.

The Endorsement of principles of the European Charter and Code and its notification of Commitment to complete the HRS4R process was sent by nanoGUNE on 30 August 2017.

After that, an email was sent on 15 February 2018 to all employees communicating the launching of this project and its explanation. In this call, all employees were requested to fulfil a questionnaire. Later on, a sample of employees was invited to participate in two focus groups. A team (the C&C Team) was also established to lead the project. The C&C Team is composed by the following individuals:

- Director (José María Pitarke)
- Finance Director (Miguel Odriozola)
- Research Director (Andreas Berger)
- External-Services Manager (Gorka Pazos)
- Facilities Manager (Gorka Arregui)
- Outreach Manager (Itziar Otegui)
- Projects Manager (Yurdana Castelruiz).
- Postdoctoral Researcher (Nagore Ibarra) *
- Predoctoral Researcher (Matthias Charconnet) *
- Senior Scientist/Group Leader (Luis Hueso)

These members are not employed as permanent. Once they finish their contract, in case they were not hired as permanent, other researcher from similar position will be incorporated in the C&C Team.

Every position at CIC NANOGUNE is represented in the C&C Team, in order to enhance employees' participation.

On 13 February 2018, the C&C Team met to establish the milestones of the process.

On 22 February 2018, the C&C Team met to identify the existing documentation and the relevant legislation that must be taken into account in this process. To promote the participation all employees, a questionnaire was developed that included the 40 principles of the Charter and Code.

On 26 February, the questionnaire was sent to all employees indicating that it was anonymous and confidential (the deadline for the fulfilment of the questionnaire was 9 March 2018).

After analysing the quantitative data achieved by the questionnaire, two focus groups were formed to receive a qualitative feedback. Both focus groups were composed by all kinds of researchers and by management & services staff:

- 3 employees from Management & services

- 3 Research fellows

- 4 Group Leaders

- 5 Postdoctoral researchers

- 3 Predoctoral researchers

- 4 employees from Technical Services

Both focus groups were also gender mixed, being representative the number of women and men:

- 13 women

- 9 men

The collected information was confidential.

b. GAP analysis

The Gap Analysis has been developed using two different methodologies: questionnaire and focus groups. First of all, an internal and quantitative analysis was made. A questionnaire was prepared and sent to all employees (researchers and staff) through Google Forms. Through this questionnaire all employees were asked to what extent they agree or disagree with the 40 principles included in the code, according to this Likert Scale:

- 1: Strongly disagree
- 2: Disagree
- 3: Neutral
- 4: Agree
- 5: Strongly agree

The survey was sent to all employees (99), establishing a 2-weeks deadline. After this time 68 answers were received, which were representative of nanoGUNE's gender balance, research stage, and seniority.

The average score corresponding to each group of principles was calculated in order to know to what extent researchers agree/disagree with the current implementation of the principles.
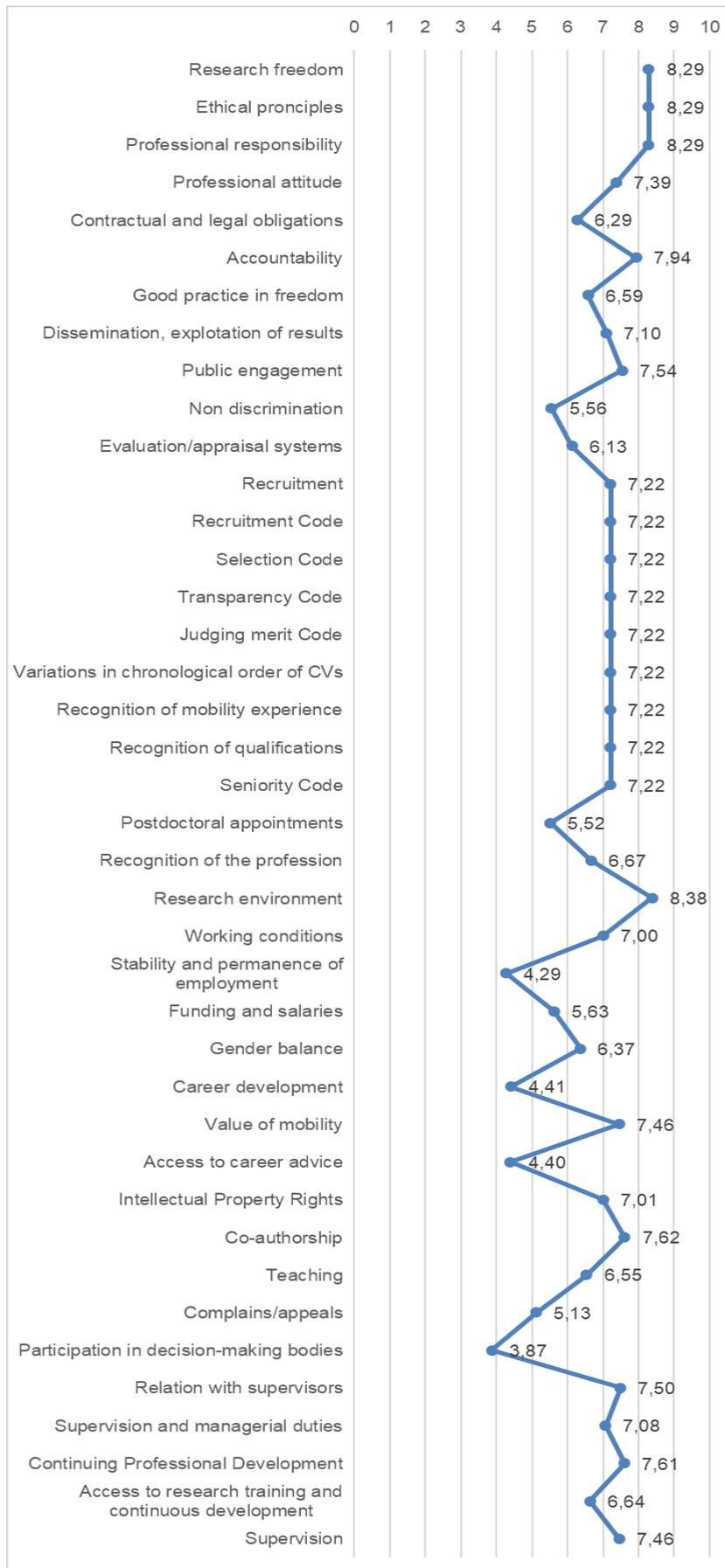
The results obtained per group are represented in the following chart:

Summary of the results:

- The global mean score is 6.77 out of 10.
- There is no significant deviation in the answers corresponding to each principle.
- 90% of the principles are scored above 5 out of 10.
- 4 principles are scored below 5 out of 10.
- The lowest score is 3.87/10, which corresponds to the principle PARTICIPATION IN DECISION MAKING BODIES
- The highest score is 8.38/10, which corresponds to RESEARCH ENVIRONMENT.

In order to have a better representation of nanoGUNE's strengths and weaknesses, all scores are represented in the following chart:

Category	Score
Research freedom	8,29
Ethical pronciples	8,29
Professional responsibility	8,29
Professional attitude	7,39
Contractual and legal obligations	6,29
Accountability	7,94
Good practice in freedom	6,59
Dissemination, explotation of results	7,10
Public engagement	7,54
Non discrimination	5,56
Evaluation/appraisal systems	6,13
Recruitment	7,22
Recruitment Code	7,22
Selection Code	7,22
Transparency Code	7,22
Judging merit Code	7,22
Variations in chronological order of CVs	7,22
Recognition of mobility experience	7,22
Recognition of qualifications	7,22
Seniority Code	7,22
Postdoctoral appointments	5,52
Recognition of the profession	6,67
Research environment	8,38
Working conditions	7,00
Stability and permanence of employment	4,29
Funding and salaries	5,63
Gender balance	6,37
Career development	4,41
Value of mobility	7,46
Access to career advice	4,40
Intellectual Property Rights	7,01
Co-authorship	7,62
Teaching	6,55
Complains/appeals	5,13
Participation in decision-making bodies	3,87
Relation with supervisors	7,50
Supervision and managerial duties	7,08
Continuing Professional Development	7,61
Access to research training and continuous development	6,64
Supervision	7,46

With the purpose of going into detail about these results, it was decided to analysed the existing differences in the principles, depending the position they have.

The results are represented in the following chart:
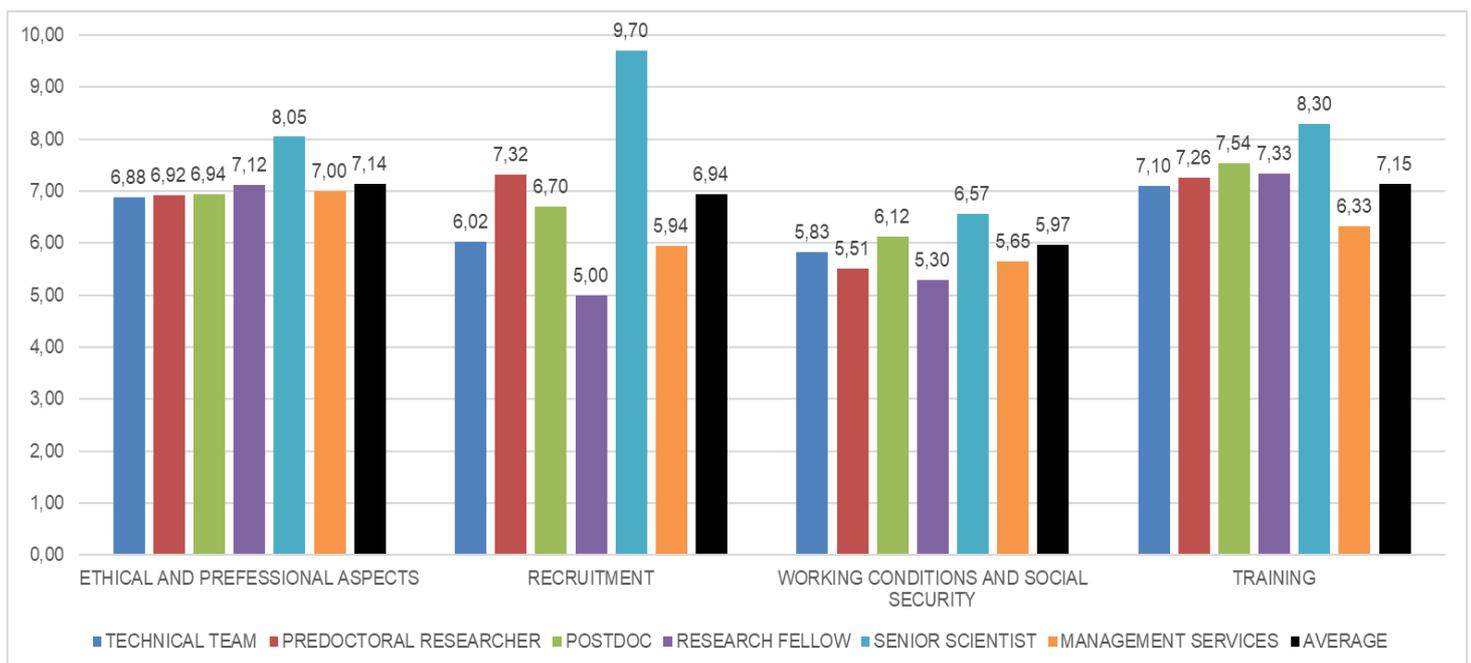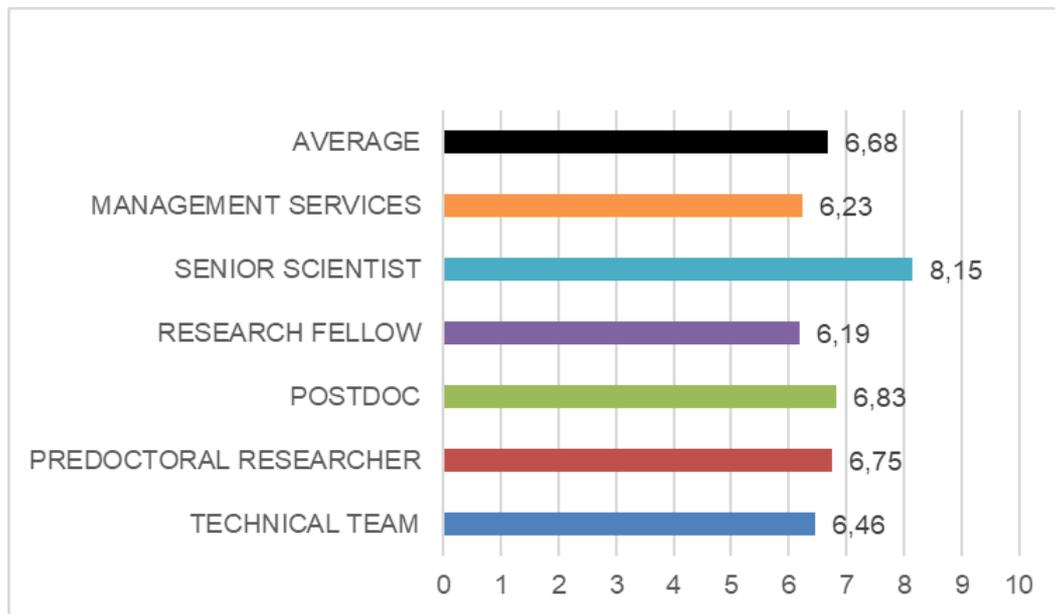
This segmentation of the results allows us to point out important differences:

- Senior Scientists are the ones who scores higher in every group of principles.

- Scores between Predoctoral researchers, Technical team and Postdoctoral researchers are quite similar un the different principles.

- The lowest score is found in Research Fellows in the principle of Recruitment. This collective does not have CIC nanoGUNE's recruitment procedure, because the organisation that granted them is the one who leads the recruitment process.

In order to have a better understanding of the results of the questionnaire, it was decided to organize two focus groups.

In each of these groups all kinds of employees were represented. It was assured in both focus groups that the collected information was anonymous and extremely confidential.

NanoGune's job positions and gender were represented in these groups.

This is the representation of the participants in each focus groups:

FOCUS GROUP 1

	POSITION	GENDER
1	Management Services	Female
2	Management Services	Male
3	Research fellow	Female
4	Senior Scientist	Male
5	Senior Scientist	Male
6	Postdoctoral researcher	Female
7	Postdoctoral researcher	Female
8	Postdoctoral researcher	Female
9	Predoctoral researcher	Male
10	Technical team	Female
11	Technical team	Male

FOCUS GROUP 2

	POSITION	GENDER
1	Management Services	Female
2	Management Services	Female
3	Research fellow	Female
4	Senior Scientist	Male
5	Senior Scientist	Male
6	Postdoctoral researcher	Female
7	Postdoctoral researcher	Female
8	Predoctoral researcher	Female
9	Predoctoral researcher	Female
10	Technical team	male
11	Technical team	Male

Participants of the focus groups were asked about the results of the questionnaire and their suggestions were considered in order to proceed with a qualitative analysis of nanoGUNE's perception of the principles.

The information obtained through the focus groups was taken into account in order to prioritize the Action Plan.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
Status: to what extent does this organization meet the following principles?	+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented	In case of -, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organization. If relevant, please list any national/regional legislation or organizational regulation currently impeding the implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+	Already implemented.	There is an 'Ethical code' document on the Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
2. Ethical principles	+	Already implemented.	There is an 'Ethical code' document on the Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
3. Professional responsibility	+	Already implemented.	There is an 'Ethical code' document on the Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
4. Professional attitude	+	Already implemented.	There is an 'Ethical code' document on the Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
5. Contractual and legal obligations	+/-	NanoGUNE researchers are aware of their contractual and legal obligations. Nevertheless, not everybody participating in confidential projects are aware of all specific rules related to property rights and legal information.	There is an 'Ethical code' document on the Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
6. Accountability	+	Already implemented.	There is an 'Ethical code' document on the

			Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
7. Good practice in research	+/-	NanoGUNE researchers are aware of national legal requirements regarding data protection and confidentiality, but do not have a deep knowledge of these issues.	There is an 'Ethical code' document on the Corporate Compliance Program. This document is posted on the website (https://www.nanogune.eu/es/corporate-compliance).
8. Dissemination, exploitation of results	+	Already implemented.	The procedures PR08 invention disclosure and PR09 intellectual property procedures are part of the certified Management System (under UNE 166002: 2014). They are accessible on the intranet.
9. Public engagement	+	Already implemented.	The procedures PR08 invention disclosure and PR09 intellectual property procedures are part of the certified Management System (under UNE 166002: 2014). They are accessible on the intranet.
10. Non discrimination	-/+	The score was focused on gender balance issue. There are no women in directorial positions and all senior researchers are men.	A Gender Equality Committee has been launched aimed at women's career progression, the representation of women in nanoGUNE's overall activities, and the welfare of women at nanoGUNE. This group is already leading a Gender Equality Plan and they are working on a draft.
11. Evaluation/appraisal systems	+/-	There is not a formal and standardized evaluation system for all employees, although feedback is generally given to all researchers in some form.	The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified Management System (under UNE 166002: 2014), establishes the possible professional progress that researchers can have in nanoGUNE.
Recruitment and Selection – please be aware that the items listed here correspond to the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent, and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.			
12. Recruitment	+	Already implemented.	The Recruitment procedure PR06, which is part of the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is

			accessible on the intranet.
13. Recruitment (Code)	+	Already implemented.	The Recruitment procedure PR06, which is part of the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is accessible on the intranet.
14. Selection (Code)	+	Already implemented.	The Recruitment procedure PR06, which is part of the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is accessible on the intranet.
15. Transparency (Code)	+	Already implemented.	The Recruitment procedure PR06, which is part of the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is accessible on the intranet.
16. Judging merit (Code)	+	Already implemented.	The Recruitment procedure PR06, which is part of the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is accessible on the intranet.
17. Variations in the chronological order of CVs (Code)	+	Already implemented.	The Recruitment procedure PR06, which is part of the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is accessible on the intranet.
18. Recognition of mobility	+	Already implemented.	The Recruitment procedure PR06, which is part of

experience (Code)			the certified Management System (under UNE 166002: 2014), details how the selection processes in nanoGUNE should be executed. This document is accessible on the intranet.
19. Recognition of qualifications (Code)	+	Already implemented.	The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified Management System (under UNE 166002: 2014), establishes the possible professional progress that researchers can have in nanoGUNE.
20. Seniority (Code)	+	Already implemented.	The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified Management System (under UNE 166002: 2014), establishes the possible professional progress that researchers can have in nanoGUNE.
21. Postdoctoral appointments (Code)	-/+	Recruitment procedures guaranteeing an effective communication with researchers has been implemented. Nevertheless, the advice on career development to be given by senior scientists to PhD students and post-docs needs to be improved.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program.
Working Conditions and Social Security			
22. Recognition of the profession	+/-	There are differences in the data compiled, as the lowest scores come from PhD students and technicians.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program with the aim of making them aware of this lack of recognition. Soft-skills training courses will be broadened to all employees within differences between positions.
23. Research environment	+	Already implemented.	NanoGUNE promotes networking events within the research environment.

24. Working conditions	+/-	In general terms, working conditions (flexible working hours, holidays, work environment) are positively valued. Salaries for PhD students are not positively valued, although they are competitive at the national and international level.	Salaries were raised in March 2019 to predoctoral researchers.
25. Stability and permanence of employment	-	Most nanoGUNE positions (PhD students, post-docs, and Fellows) are not permanent because of the nature of the research activity. The Center promotes the mobility to other organizations, and, in particular, to local technology centres and companies. Since its creation, nanoGUNE has founded 5 spin-off companies where some of our researchers have been hired permanently. Basque Government asks nanoGUNE the transfer of 7 researchers per year to industry or other research center.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program. In order to achieve the transfer of 7 researchers per year to basque industries or other research centers, nanoGUNE will promote specific actions with those researchers that want to work in this environment in their following career step.
26. Funding and salaries	-/+	Salaries and working conditions for permanent positions and post-docs are perceived as good, but salaries for PhD students are perceived as low. Our salaries for PhD students are in line with the salaries offered by public institutions and universities in our environment.	Clear information about their salaries will be given to PhD students and post-docs. Salaries were raised in March 2019 to predoctoral researchers.
27. Gender balance	+/-	There are no women in directorial positions and all senior researchers are men.	A Gender Equality Committee has been launched aimed at women's career progression, the representation of women in nanoGUNE's overall activities, and the welfare of women at nanoGUNE. This group is already leading a Gender Equality Plan and they are working on a draft.
28. Career development	-	Soft-skills training courses are currently limited to (mainly) PhD students. Basque Government asks NANOGUNE the transfer of 7 researchers per year to industry or other research center.	Soft-skills training courses will be broadened to all employees. The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced. In order to achieve the transfer of 7 researchers per year to basque industries or other research centers, nanoGUNE will promote specific actions with those researchers that want to work in this environment in their following career step. The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified

			Management System (under UNE 166002: 2014), establishes the possible professional progress that researchers can have in nanoGUNE.
29. Value of mobility	+	Already implemented. Basque Government asks NANOGUNE the transfer of 7 researchers per year to industry or other research center.	In order to achieve the transfer of 7 researchers per year to basque industries or other research centers, nanoGUNE will promote specific actions with those researchers that want to work in this environment in their following career step.
30. Access to career advice	-	The advice on career development to be given by senior scientists to PhD students and post-docs needs to be improved.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program. The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified Management System (under UNE 166002: 2014), establishes the possible professional progress that researchers can have in nanoGUNE. A SharePoint portal is being created to centralize relevant information for predoctoral researchers.
31. Intellectual Property Rights	+/-	Researchers are aware of Intellectual Property Rights; but there is certain lack of information in connection with specific projects.	The Intellectual Property Policy and the corporate compliance program are available in the intranet. The website also includes a link to the corporate compliance program (https://www.nanogune.eu/es/corporate-compliance).
32. Co-authorship	+	Already implemented. Basque Government asks NANGUNE to enhance the importance of co-authorship. The center has to fulfil the following KPIs per year: 15 collaboratives Doctoral Tesis, 35 scientific publications with coauthorship within Red Vasca de Tecnología e Innovación and 1 patent.	The Basque Government Decree 109/2015 (where the indicators (also those related to co-author) will be posted on the intranet.
33. Teaching	+/-	A few teaching opportunities are provided to senior researchers; but that is limited by what can be offered by the universities, as nanoGUNE is not part of a university.	Currently, three researchers and technicians give lectures in the Nanoscience Master rolled by UPV/EHU.
34. Complains/ appeals	-/+	There was no formal procedure for the handling of complaints	A protocol has been implemented for the handling of

		when the questionnaire was passed. A formal procedure is in force within the Corporate Compliance Program.	Grievance and Complaints in the framework of the Corporate Compliance Program. The website includes a link to the corporate compliance program (https://www.nanogune.eu/es/corporate-compliance).
35. Participation in decision-making bodies	-	An open doors policy is recognized by the researchers; but they would like to be better informed about the decisions that might impact their research activity.	The role of senior scientists as individuals to have their researchers well informed about the decisions that might impact their research activity will be reinforced through an specific training program.
Training and Development			
36. Relation with supervisors	+	Already implemented.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program.
37. Supervision and managerial duties	+/-	The supervision of senior scientists is perceived as good in general. Common criteria for all senior scientists would, however, be desirable.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program.
38. Continuing Professional Development	+	Already implemented.	The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified Management System (under UNE 166002: 2014), establishes the possible professional progress that researchers can have in nanoGUNE.
39. Access to research training and continuous development	+/-	Soft-skills training courses are currently limited to (mainly) PhD students.	Soft-skills training courses will be broadened to all employees. The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through a specific training program. The competences map document, which is part of the certified Management System (under UNE 166002: 2014), establishes the competence profiles. The professional career plan document, certified Management System (under UNE 166002: 2014),

			establishes the possible professional progress that researchers can have in nanoGUNE.
40. Supervision	+	Already implemented.	The role of senior scientists as individuals to give advice to PhD students and post-docs on their career development will be reinforced through an specific training program.

Annex: Open, Transparent, and Merit-based Recruitment Check-list					
	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	-	Our recruitment policy is used as an internal document.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	There is a document on the intranet with the recruitment policy that is accessible to all employees.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+	There are not specific OTM-R training programs in place.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	There is a web-based tool for all the stages in the recruitment policy. A wide range of on-line job boards is also used.
5. Do we have a quality-control system for OTM-R in place?	x	x	x	++	Our web-based tool allows to track the whole recruitment process.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	Our offers are always published worldwide. Most of our current employees were external candidates.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	Our offers are always published worldwide and in English. A good number of our current employees were candidates coming from abroad. We have personnel coming from 25 different countries.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	A number of our current employees belong to underrepresented groups. A Gender Equality Committee is being put in place.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	We enjoy competitive working conditions that are in line with our environment.
10. Do we have means to monitor whether the most suitable researchers apply?				++	Our web-based tools allow for this.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	Templates for advertising positions are available on our intranet.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report[1]]	x	x		+/-	The requirements are well described in the job advertisement and they include links to more detailed information online. Selection criteria in terms of specific weights are not included.
13. Do we make full use of EURAXESS to ensure our research	x	x		++	Job adverts are posted on EURAXESS.

vacancies reach a wider audience?					
14. Do we make use of other job advertising tools?	x	x		++	Yes, e.g. infojobs.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) 45]	x			++	The request for supporting documents is limited to those which are really needed in order to proceed with a fair, transparent, and merit-based selection process.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) 45]		x	x	+-	The Finance Director and the person in charge of the opening are responsible for the recruiting process.
17. Do we have clear rules concerning the composition of selection committees?		x	x	+-	The Finance Director and the person in charge of the opening are responsible for the recruitment process.
18. Are the committees sufficiently gender-balanced?		x	x	-/+	As all senior scientists are men, this point is difficult to fulfil.
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	-	No specific guidelines are available for this.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Applicants are informed about the outcome of their application once the selection process is finished.
21. Do we provide adequate feedback to interviewees?		x		++	Applicants receive feedback in terms of strengths and weaknesses.
22. Do we have an appropriate complaints mechanism in place?		x		-	No specific complaints mechanism is in place
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				-	No specific system is in place in order to assess whether OTM-R delivers on its objectives.