[Company logo]

Company Name

Internal Gap Analysis

INDEX

1. GAP ANALYSIS

Name Organisation under review: [Company Name]
Organisation's contact details: [Contact person + Position]

Re-submission Date: XX.XXXX.XX
Submission date: XX.XXXX.XX
Date endorsement Charter and Code: XX.XXXX.XX

a) PROCESS

The HRS4R strategy consists of 5 steps to be followed:

● Step 1. Internal gap analysis by the institution/organisation

● Step 2: Institutional Human Resources Strategy for Researchers/Action Plan

● Step 3: Acknowledgement by the European Commission - HR Excellence in Research.

● Step 4: Implementation phase and self-assessment

● Step 5: External assessment and renewal of acknowledgement

[Company Name] decided to start implementing its HRS4R in [year]. The initiative was presented to the Management Team and some key person of Administration staff on XX.XX.XXXX. The initiative was presented to all the staff of the [Company Name] on XX/XX/XXXX. During this meeting, the participation of some staff representatives was requested; where the subset of volunteers selected aimed to have a broader representation of all [Company Name] profiles. The resulting team constitutes a Working Group (WG), which will initially cover steps 1 and 2, then monitor and provide a self-assessment for step 3 and 4.

[Company Name] has formed the HRS4R Working Group (WG) with the objective of designing and performing an internal analysis to honour the Charter and Code principles. The HRS4R WG consists of a heterogeneous group of employees, working in different positions and research areas at the Foundation. A detailed list is presented below:

	NAME	POSITION	DEPARTMENT
1	[Name]	[Position]	[Department]
2	[Name]	[Position]	[Department]
3	[Name]	[Position]	[Department]
4	[Name]	[Position]	[Department]
5	[Name]	[Position]	[Department]

6	[Name]	[Position]	[Department]
7	[Name]	[Position]	[Department]
8	[Name]	[Position]	[Department]
9	[Name]	[Position]	[Department]

Taking into consideration the staff growth of the institution in the last years, the Management Team agreed at the beginning of the year [year] to contract a Human Resources Manager, as a permanent position, in order to define and be in charge of the HR policies of [company name]. In addition, he was added to the HRS4R WG to assist them during the whole process. This position is also responsible for Health-Safety and Environment in collaboration with an external company called *[Labor Risk Prevention company name]*

If any member of the WG leaves [company name] during the HRS4R implementation process, this vacant position will be covered with another member of the organisation with equal or similar characteristics.

The WG met several times to address different tasks in order to define the Action Plan:

[xx/xx/xx]	Kick-off meeting. Proposal of a questionnaire and reach consensus about how it is going to be offered to the staff and the timing.
[xx/xx/xx]	Review the results of the survey and reach a consensus about the priorities to be included in the Strategy and Action Plan.
[xx/xx/xx]	Define a draft for the Action Plan.
[xx/xx/xx]	Review of the defined Action Plan

The WG is responsible for monitoring the implementation of the action points during the lifetime of the action plan, and also for preparing the self-assessment in due time.

b) GAP ANALYSIS

The HRS4R WG prepared a proposal based on the template of the European Commission, which includes 40 statements. The WG decided to include the whole set of questions in the questionnaire to assure all relevant topics are covered allowing to make a broad analysis of the [Company name]. The questionnaire is attached in Annex I as "HRS4R questionnaire".

The final survey was answered anonymously, using Google Drive tools to collect the answers. The questionnaire itself states the anonymity on the treatment of the information acquired.

The survey includes:

- A brief general introduction, explaining the objective of the HRS4R action to the [company name] staff.
- 8 questions to obtain a profile of the person answering it. While this set of questions do not help anonymity, they were included to focus better the analysis of the results regarding department, experience, etc. The questionnaire is intended to be answered by all the staff from [company name], even if they are not involved in pure research activities. The profiling of the person answering the questionnaire can help in identifying issues and in applying the proper measures.
- 40 statements based on the principles of the Charter and Code split into the 4 following sections: I. Ethical and professional aspects; II. Recruitment; III. Working conditions and social security; and, IV. Training
- Open text box to provide comments, suggestions and propose actions for improving the current state of perceived issues at [company name].

All staff was asked to score each statement from 1 (lower agreement) to 5 (higher agreement), or either choose the non-applicable option.

The conclusions from the survey, along with the interpretation and internal feedback received have been used to define the Action Plan. Most tasks are addressed in the plan and will be targeted with specific actions. You will find a summary of the survey results in Annex 2.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview			
Status : to what extent does this organisation meet the following principles?	+ = **fully** implemented +/- = **almost but not fully** implemented -/+ = **partially** implemented - = **insufficiently** implemented	In case of -, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+/-	The type of projects developed and funding received by [company name] cannot give much freedom to research. Even though the response was quite positive considering the research staff and even better for the whole sample	No more suggestions for improvement
2. Ethical principles	-	Currently, an ethical code does not exist in [company name]. In Spain exists the Science Law *"Ley de la ciencia" (http://www.boe.es/diario_boe/txt.php?id=BOE-A-2011-9617)*. This law creates the figure of the "Spanish Comittee of Ethics in Investigation", as a consultive organism that provides recommendations, proposals and reports related to professional ethical matters.	(AE1) Open internal debate around the ethical code and study related ethical codes, which might be applicable to [company name] or might serve as a basis for the definition of the institutional Code of Ethics. Prepare a document as a compendium of the ethical code taking into consideration the Spanish Science Law and make all the [company name] staff adhere to it.
3. Professional responsibility	-/+	Spanish Science law says it is responsability of the researchers to take all the necessary measures in order to avoid plagiarism. A necessary step to comply with this rule is to provide access to the researcher to specific research	(AE2) To renew access to specific research databases and engines necessary to carry out their research.

		databases. [company name] has currently no access to this databases.	
4. Professional attitude	+	[company name] has already mechanisms to inform their staff about all the concerning topics: a monthly external and internal newsletter, a monthly staff meeting and two annual meetings.	No more suggestions for improvement
5. Contractual and legal obligations	+/-	[company name] is currently preparing a code that will help in identifying the IPR generated by workers and will define a set of rules to share the benefits of the IPR exploitation among the staff. This code should be presented to the staff and approved by board of trustees before the end of the year 2017. This will be a general rule of the organisation and affect all employees, existing and new ones.	(AE3) [company name] has to promote the application of the IPR code
6. Accountability	+	[company name] creates the annual report every year to inform and publish about accountability, news, projects, etc. In addition, according to the Catalan Laws regarding transparency, most relevant information related to funding and expenditure must be published in the institution web portal (webpage)	No more suggestions for improvement
7. Good practice in research	-	A plan must be implemented to enforce Data Protection regulations, Ley de Protección de Datos (www.agpd.es) on both internal and external data. Training on safe working practices and data backup mechanisms should be implemented.	(AE4) Elaborate a set of "best working practises" in relation to data storage, protection and privacy, and inform the staff leveraging on existing communication channels. (AE5) Improve management of both internal and external data, applying existing regulation and recommendations ("Ley Orgánica de Protección de Datos (LOPD)"). This implies asking every member of the staff to sign a "Non-Disclosure Agreement" to ensure the compliance of the LOPD. (AE6) Improve data backups management; either using external solutions and/or defining internal mechanisms.

8. Dissemination, exploitation of results	+	Mechanisms such as annual reports and meetings are already used to disseminate [company name] results.	No more suggestions for improvement
9. Public engagement	+	There is an active participation in dissemination activities, such as conferences, workshops, or publications, targeted to multidisciplinary audiences (such as industry, researchers, academics, students, non-specialists, citizenry or municipalities). The Corporate Development unit was created to extend the internal brand and disseminate results via different communication channels (monthly internal netletter and KPI report)	No more suggestions for improvement
10. Non discrimination	+/-	[company name] has already defined an internal equality plan, accessible to the employees (published in the internal Intranet (webpage link) At the moment, not all internal documentation is available in English.	(AE7) Promote a transition to a fully English-supported work environment to facilitate internationalisation
11. Evaluation/ appraisal systems	-/+	Evaluations and appraisal systems are implemented in [company name] based on annual objectives, but the criteria is not made public at an appropriate time.	(AW1) Improve the evaluation and appraisal systems to: 1) Communicate the annual objectives and criteria in the first term of the year; 2) Organize follow-up meetings; 3) Provide tools/means for researchers to track the status of their yearly objectives
Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. **In addition**, your organisation also needs to complete the checklist on **Open, Transparent and Merit-Based Recruitment** included below, which focuses on the operationalization of these principles.			
12. Recruitment	-/+	There is a welcome pack, but it is not well known by the staff; according to the results of the survey. The recruitment process is not completely defined.	(AR1) Define and implement a new recruitment process and better disseminate the welcome pack for new staff
13. Recruitment (Code)	-	The recruitment process is not uniform and it is carried out in an ad-hoc manner, according to the requirements of the open position. The advertisement of the position is not always done in English.	(AR2) Translate into English all new staff positions published (AR3) Elaborate a recruitment guide that should be followed in any recruitment procedure. This guide

			should include the description of the tracking of the position, candidates evaluated and results of the different interviews and tests. The guide shall indicate how to prepare the offer, how to arrange and carry out interviews and the structure of the jury that evaluates the candidates. The guide should also define the mechanisms to announce the position, the criteria and the results of the selection process providing arguments on the candidates about the results on the process.
14. Selection (Code)	-	Maintaining a gender-balanced workforce is difficult due to the gender imbalance that exists in the IT field. Nevertheless, the organisation is aware of the need to improve in this area.	(AR4) Ensure that CERCA's "Gender Bias in Research Institutes" video (available in YouTube (https://www.youtube.com/watch?v=g978T58gELo) is watched by the members of the selection and Recruitment committee before the interviews and evaluation meetings.
15. Transparency (Code)	-/+	There is the need to address this issue in the recruitment guidelines (by specifying the transparency procedures towards prospects).	(AR3) Elaborate a recruitment guide that should be followed in any recruitment procedure. This guide should include the description of the tracking of the position, candidates evaluated and results of the different interviews and tests. The guide shall indicate how to prepare the offer, how to arrange and carry out interviews and the structure of the jury that evaluates the candidates. The guide should also define the mechanisms to announce the position, the criteria and the results of the selection process providing arguments on the candidates about the results on the process.
16. Judging merit (Code)	+	A balanced assessment of candidates, taking into account the full range of skills and accomplishments, is already implemented.	No more suggestions for improvement

17. Variations in the chronological order of CVs (Code)	+	Career breaks or variations in the chronological order of CVs are not be penalised in [company name]	No more suggestions for improvement
18. Recognition of mobility experience (Code)	+	Already implemented	No more suggestions for improvement
19. Recognition of qualifications (Code)	+	Already implemented	No more suggestions for improvement
20. Seniority (Code)	+	Already implemented	No more suggestions for improvement
21. Postdoctoral appointments (Code)	+/-	Now, the ratio of doctors in [company name] is considered lower than desired. The aim of the organisation is to retain postdoctoral researchers, promoting them as permanent and stable staff in the organisation.	Even the assessment is considered almost fully implemented, *no further measures* are considered as the aim of the point is already carried out by the organisation
Working Conditions and Social Security			
22. Recognition of the profession	+	Already implemented	No more suggestions for improvement
23. Research environment	+	Already implemented	No more suggestions for improvement
24. Working conditions	+	Some flexible working conditions were introduced for the bulk of the workforce in the course of the last two years. At present it is possible to work from home a limited number of days per month, the daily schedule has certain flexibility, the vacation period is not fixed as a whole and further flexibility advantages are available for parents of children of less than 6 years.	No more suggestions for improvement
25. Stability and permanence of employment	+/-	Due to the public funds received, [company name] is subordinated to some specific regulations of the public sector (Budget Law) with major restrictive policies related to contracting.	No more suggestions for improvement

		For this reason, it is difficult to guarantee a permanent position to all researchers. However, as far as possible, the organisation has the commitment to avoid uncertainty on contracts to improve the working conditions.	
26. Funding and salaries	-	Score is very poor, and reflects a widespread dissatisfaction with the salaries structure and contractual policies of the organisation. These should be addressed in ways consistent with the existing financial constraints and in line with current market conditions. As stated in written feedback from the survey, a key source of dissatisfaction is specially related to the perceived lack of transparency in the structure of retributions within the organisation, and the perceived lack of clear correlation between levels of responsibility and levels of payment.	(AW2) Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category. Also mentoring tasks may be included. (AW3) Design through consensus some new ways to increase retributions to employees. An alternative is already planned with the usage of IPR code mentioned in statement number 5. Other approaches related to improving the efficiency of the organisation should be studied.
27. Gender balance	+/-	Gender balance is in line with the one existing in the ICT sector. As an example, in 2016 only a 10% of the students of informatic engineering in Catalonia where women, while [company name] has 9.8% of feminine researchers. (http://www.ctecno.cat/wp-content/uploads/2017/07/ENG_DEF.pdf) Although no issues have been identified, to ensure equal treatment in selection and evaluation, actions to raise awareness are considered appropriated.	(AR4) Ensure that CERCA's "Gender Bias in Research Institutes" video (available in YouTube) is watched by the members of the selection and Recruitment committee before the interviews and evaluation meetings to ensure that no kind of discrimination due to gender issues will appear during the selection process.
28. Career development	-	There is no public career development strategy in the organisation.	(AW2) Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category. Also mentoring tasks may be included.
29. Value of mobility	+	Already implemented	None

30. Access to career advice	-	There is no public career development strategy. Personal objectives are evaluated yearly but are not implemented with the correct timing – for this reason these lost part of their effectiveness as an indicator that provides job advice.	(AW1) Improve the evaluation and appraisal systems to: 1) Communicate the annual objectives and criteria in the first term of the year; 2) Organize follow-up meetings; 3) Provide tools/means for researchers to track the status of their yearly objectives (AW4) Objectives and merit-based economic supplements must be clearly stated (in written form) and negotiated with the employee. (AW2) Define and communicate an internal career development plan. Categories, associated salary ranges and expected transitions across categories, as well as specialization lines must be included. The plan must ensure feasible transitions from/to each category. Also mentoring tasks may be included.
31. Intellectual Property Rights	+/-	[company name] is currently preparing a code that will help in identifying the IPR generated by workers and will define a set of rules to share the benefits of the IPR exploitation among the staff. This code should be presented to the staff and approved by board of trustees before the end of the year 2017. This will be a general rule of the organisation and affect to all employees, existing ones and new.	(AE3) [company name] has to promote the application of the IPR code
32. Co-authorship	+	Already implemented	No more suggestions for improvement
33. Teaching	-	Not applicable to [company name] since the staff (in general) has no teaching obligation.	No more suggestions for improvement

34. Complains/appeals	-/+	There is an anonymous web form named "Suggestion box" for complaints, appeals and suggestions. There is also an email address available for the equality plan, to act as mediator when conflicts arise. Every month there is a general meeting with all the staff where suggestions/claims received can be commented to the employees, as well as making public the approach planned from management. The survey has revealed that these channels are not well known and that there is the impression that the "Suggestion Box" is not fully attended.	(AW5) Improve the current communication mechanism to better reach all staff and provide more feedback on the suggestions and complaints raised from staff. The feedback to the comments — conveniently anonymized— should be provided during the monthly general meeting and included in the internal monthly newsletter.
35. Participation in decision-making bodies	-/+	The Management Team is the representation of the organisation towards the board of trustees. The Management Team is a team of 4 people involved with the different areas of [company name], ranging from economic management, technology transfer and research activity.	(AW6) Improve the information flow in the management team to communicate better the needs between the board of trustees and the staff. Facilitate the participation of staff on the board of trustees and the executive committee when required.
Training and Development			
36. Relation with supervisors	+	Already implemented	No more suggestions for improvement
37. Supervision and managerial duties	+	Already implemented	No more suggestions for improvement
38. Continuing Professional Development	-	Lack of training offer and no clear information on how to access training opportunities.	(AT1) Definition of an internal training plan along with the staff to identify real needs. Take into account cross-topic fields such as negotiation and leadership skills, as well as foreign languages. (AT2) Formalize the procedures related to training (how to request specific training, internal communication of a new training event, etc).

39. Access to research training and continuous development	-	Lack of training offer and no clear information on how to access training opportunities.	(AT1) Definition of an internal training plan along with the staff to identify real needs. Take into account cross-topic fields such as negotiation and leadership skills, as well as foreign languages. (AT2) Formalize the procedures related to training (how to request specific training, internal communication of a new training event, etc).
40. Supervision	+	Already implemented	No more suggestions for improvement

Annex: Open, Transparent and Merit-based Recruitment Check-list[1]

OTM-R checklist for organisations

	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)?				--	There is no OTM-R policy written yet.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?				--	There is no internal guide setting out OTM-R procedures and practices
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?				--	There is no training programmes for OTM-R
4. Do we make (sufficient) use of e-recruitment tools?	X	X		+/-	Website (link) and TalentClue (www.talentclue.com)
5. Do we have a quality control system for OTM-R in place?				--	
6. Does our current OTM-R policy encourage external candidates to apply?	X	X	X	++	Our job offers are open and transparent to internal and external candidates.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	X	X	X	-/+	All job offers are written in English and published on international job portals, ie. EURAXESS.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	X	X	X	-/+	Our OTM-R policy does not discriminate underrepresented groups but no specific actions are taken for this collective.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	X	X	X	+/-	[company name] offers flexible salary, flexible working schedules, tele-work option for all employees
10. Do we have means to monitor whether the most suitable researchers apply?				--	

[1] http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies

14

Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	X	X		+/-	A template for advertising positions is available to researchers in order to inform them about the requirements that must include a job position.
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*[2]]				--	
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	X	X		-/+	The use of EURAXESS is currently being implemented.
14. Do we make use of other job advertising tools?	X	X		+/+	Infojobs, Linkedin, TalentClue, etc.
15. Do we keep the administrative burden to a minimum for the candidate? [*see Chapter 4.4.1 b)* [45]]	X			+/+	Candidates do not have to present supporting documents to certify his/her knowledge and expertise unless legally required
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	-/+	
17. Do we have clear rules concerning the composition of selection committees?		X	X	-/+	Selection Committees are formed by the respective area manager, CTIO and HR
18. Are the committees sufficiently gender-balanced?		X	X	-/+	The ICT Sector is not gender-balanced, which may not allow in all cases to have a gender balanced committee
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?				--	
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		X		+/+	Candidates, who are interviewed, are informed according to the different phases based on the requirements stipulated in each vacancy. Candidates who applied but not selected to follow the process, they are also informed per email.

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[2] http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies

		X		+/-	All interviewed candidates receive feedback in written form.
21. Do we provide adequate feedback to interviewees?		X		+/-	All interviewed candidates receive feedback in written form.
22. Do we have an appropriate complaints mechanism in place?				--	No complaints mechanism is available now.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				--	Not yet defined

ANNEX 1: HRS4R QUESTIONNAIRE

HUMAN RESOURCES STRATEGY FOR RESEARCHERS' SURVEY

The "Human Resources Strategy for Researchers" supports research institutions such as [company name] in the implementation of "the European Charter for Researchers" and "The Code of Conduct for the Recruitment of Researchers" in their policies and practices. The implementation of the Charter and Code by research institutions will render them more attractive to researchers looking for a position.

[company name] launches this survey with the objective to perform an internal analysis for identifying areas of improvement according to the principles of the Charter and Code. Analyzing the results of the survey, the institution will be able to establish a strategy and an action plan to improve the current practices. The European Commission will evaluate this work and acknowledge [company name] with the

Logo "HR Excellence in Research" if the result of the evaluation is positive.

The survey is anonymous, but for data analysis reasons it is necessary to define your profile. After this, please score each of the 40 statements from 1 to 5 in terms of agreement. In case one of these declarations does not refer to you, please choose non-applicable (N/A).

All these issues are split into 4 sections:

1. Ethical and professional aspects
2. Recruitment
3. Working conditions and social security
4. Training

This poll can be answered in 20 minutes approximately.

We encourage you to participate in this survey constructively and fairly, to get the most valuable inputs to analyze as good as possible the [company name] Foundation. The commission in charge of evaluating the results of this survey guarantees the confidentiality of the information provided, and that information introduced as part of the profile will be exclusively used for aggregated data analysis, and never to try to de-anonymize specific submissions.

Thank you for your participation!

0. **Profile**

Personal Information

1. Gender
   - o Man
   - o Woman
2. Age
   - o <26
   - o 26-30
   - o 31-35
   - o 36-40
   - o 41-45
   - o 46-50
   - o 51-55
   - o >55
3. Nationality:
   - o Spanish
   - o European (other than Spanish)
   - o From Middle East and Africa
   - o Asia Pacific
   - o From North America
   - o From Latin America

Professional Information

4. Professional category
   - o Postdoctoral researcher
   - o PhD. candidate
   - o Engineer
   - o Other

5. Type of unit where the work is carried out
   - o Research Areas
   - o Innovation Business Units
   - o Software Engineering Group
   - o Support Areas (Administration, PMO, Corporate Development, ASIS)

6. Dedication
   - o Full time
   - o Part time

7. Seniority in the organization
   - o < 1 year
   - o 1-3 years
   - o 4-10 years
   - o >10 years

8. International exposure.
   Having lived in a foreign country for studying and/or working

   - o   No or less than a month
   - o   1 month – 1 year
   - o   1-3 years
   - o   > 3 years

1. Ethical and Professional aspects

Score from 1 to 5: (1: less agreement; 5: full agreement) or select N/A (non-applicable)

1. **Research freedom:** [company name] provides adequate means for researchers to 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 recognized ethical principles and practices. (always taking into account the limitations by budget or infrastructure reasons)

	1	2	3	4	5	N/A
Level of agreement						

2. **Ethical principles:** [company name] correctly distributes and spreads the institutional Code of Good Practice in Research

	1	2	3	4	5	N/A
Level of agreement						

3. **Professional responsibility:** [company name] provides adequate means for researchers to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

	1	2	3	4	5	N/A
Level of agreement						

4. **Professional attitude:** [company name] provides adequate means for researchers to be familiar with the institutional strategic goals and existing governing bodies (Board of Trustees and Delegate Committee)

	1	2	3	4	5	N/A
Level of agreement						

5. **Contractual and legal obligations:** [company name] provides adequate means for researchers to be familiar with and accomplish the national, sectorial 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.

	1	2	3	4	5	N/A
Level of agreement						

6. **Accountability:** [company name] provides adequate means for researchers 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

7. Good practice in research: [company name] provides adequate means for researchers to adopt Spanish legislation in order to address safe working places, take precautions for health and safety, recover from information technology disasters, accomplish the data and confidentiality protection requirements and/or seek all necessary approvals before starting their research.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

8. Dissemination, exploitation of results: [company name] ensures that the activity of their researchers are disseminated and exploited (e.g. communicated, transferred into other research setting or, if appropriate, commercialized)

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

9. Public engagement: [company name] ensures that research activities of its researcher are made known to society in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

10. Non discrimination: [company name] does 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

11. Periodical evaluation/appraisal system: [company name] introduces evaluation / appraisal systems of assessing researcher's professional performance (including senior researchers) on a regular basis, in a transparent manner by an independent committee.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

2. Recruitment

Score from 1 to 5: (1: less agreement; 5: full agreement) or select N/A (non-applicable)

12. Recruitment: [company name] ensures 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

13. Recruitment: [company name] establishes recruitment procedures, which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements give a broad description of knowledge and competencies required, and are not so specialized as to discourage suitable applicants. It also includes a description of the working conditions and entitlements, including career development prospects, and an adequate timeline for presenting and resolving the applications.

	1	2	3	4	5	N/A
Level of agreement						

14. Selection: [company name] ensures that the selection committees bring together diverse expertise and competences and have an adequate gender balance and, where appropriate and feasible, include members from different sectors and disciplines, including from other countries and with relevant experience to assess the candidate

	1	2	3	4	5	N/A
Level of agreement						

15. Transparency: Prior to the selection, [company name] informs about the recruitment process and the selection criteria, the number of available positions and the career development prospects. After the selection process, [company name] informs the candidates about the strengths and weaknesses of their applications.

	1	2	3	4	5	N/A
Level of agreement						

16. Judging merit: [company name] judges merits qualitatively and quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications (the bibliometric indices are properly balanced within a range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities).

	1	2	3	4	5	N/A
Level of agreement						

17. Variations in the chronological order of CV: [company name] does not penalise career breaks or variations in the chronological order of CVs, therefore candidates are allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

	1	2	3	4	5	N/A
Level of agreement						

18. Recognition of mobility experience: [company name] considers as a valuable contribution to the professional development of a researcher, 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).

	1	2	3	4	5	N/A
Level of agreement						

19. Recognition of qualifications: [company name] provides 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

20. Seniority: The levels of qualifications required are in line with the needs of the position and are not set as a barrier to entry. [company name] recognizes and evaluates qualifications, focusing on the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

21. Postdoctoral appointments: [company name] establishes clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, considering 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

3. Working conditions and social security
Score from 1 to 5: (1: less agreement; 5: full agreement) or select N/A (non-applicable)

22. Recognition of the profession: All researchers engaged in a research career are recognized by [company name] as professionals and are treated accordingly, regardless of their classification.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

23. Research environment: [company name] promotes the creation of a stimulating research environment and/or a research training environment (offering appropriate equipment, facilities and opportunities), and the accomplishment of the national or sectorial regulations concerning health and safety in research.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

24. Working conditions: [company name] ensures, where appropriate, the flexibility deemed essential for successful research performance in accordance with existing national legislation providing with opportunities to allow researchers to combine family and work, children and career.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

25. Stability and permanence of employment: [company name] ensures that the performance of researchers is not undermined by instability of employment contracts, and therefore has an itself commitment as far as possible to improving the stability of employment conditions for researchers.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

26. Funding and salaries: [company name] ensures that researchers at all career stages 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 sectorial collective bargaining agreements.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

27. Gender balance: [company name] aims for a representative gender balance at all levels of staff, including at supervisory and managerial level. This is achieved based on 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 have an adequate gender balance.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

28. Career development: [company name] has defined a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, and provides a guidance and/or mentoring for the personal and professional development of researchers, in order to contribute to the reduction of the insecurities in the professional future.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

29. Value of Mobility: [company name] recognizes 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

30. Access to career advice: [company name] offers to researchers at all stages of their careers, regardless of their contractual situation, career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

31. Intellectual Property Rights: [company name] ensures 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

32. Co-authorship: Co-authorship is viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Therefore [company name] develops 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 recognized 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).

	1	2	3	4	5	N/A
Level of agreement						

33. Teaching: [company name] ensures 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 is counted as part of their teaching commitment.

	1	2	3	4	5	N/A
Level of agreement						

34. Complaints/appeals: [company name] has established appropriate procedures to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor/s and early-stage researchers, providing 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.

	1	2	3	4	5	N/A
Level of agreement						

35. Participation in decision-making bodies: [company name] allows researchers to be legitimately represented in the relevant information, consultation and decision-making bodies of the institution, to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.

	1	2	3	4	5	N/A
Level of agreement						

4. Training

Score from 1 to 5: (1: less agreement; 5: full agreement) or select N/A (non-applicable)

36. Relation with supervisors: [company name] promotes and evaluates good practices between the supervisors and the researchers in their training phase so as to take advantage of their relationship (ensuring structured/regular follow-up, records keeping of the work pogress and research findings, feedback by means of reports and seminars, work in accordance with agreed schedules, milestones, deliverables and/or research outputs)

	1	2	3	4	5	N/A
Level of agreement						

37. Supervision and managerial duties: In [company name], senior researchers, as supervisors or mentors of researchers, 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

38. Continuing Professional Development: [company name] provides adequate means, such as formal training, workshops, and conferences and e-learning, for researchers at all career stages to continually improve themselves by regularly updating and expanding their skills and competencies.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

39. Access to research training and continuous development: [company name] ensures 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.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

40. Supervision: [company name] ensures that early-stage researchers can refer to a clearly designated person to seek any information needed and get help with their professional duties. The supervisor should provide appropriate support for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

	1	2	3	4	5	N/A
Level of agreement	◯	◯	◯	◯	◯	◯

5. Other comments

General comments could be included in this section.

ANNEX 2. SURVEY RESULTS

The survey results were evaluated according to the criteria presented in Table 1.

| Poor	There are discrepancies between the state of the given issues in [company name] and the provisions of the Charter and Code. Remedial actions are recommended	<3
Average	An acceptable situation. Actions recommended depending on the opportunity and the amount of resources needed to develop an action	3-4
Good	Implementation of the provisions of the Charter and Code evaluated as good	>4

Table 1: Criteria applied when evaluating the results on each statement

The percentile corresponding to the answer (Not Applicable, 1, 2, 3, 4 and 5) has been computed to get further detailed conclusions, e.g. to identify the percentage of people not displaying criteria (N/A) or the distribution of the answers. This has been useful to detect, for instance, the unanimity or dispersion on the given answer.

The survey was answered by 45 members of the [company name] staff, out of 61. The rate of participation was of 75%. The participation on the HRS4R survey by the [company name] staff was considerably high. Analyzing the participation by job roles, it is uniform among them and in terms of gender women represent a higher percentage of participation.
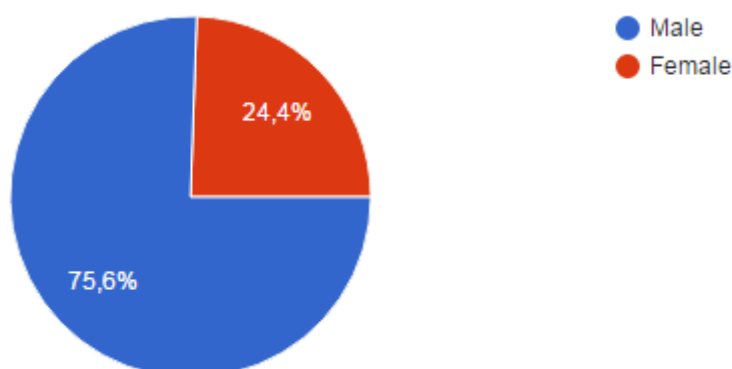

The distribution per ages is as follows, being the largest group that of people between 31 and 35 years.
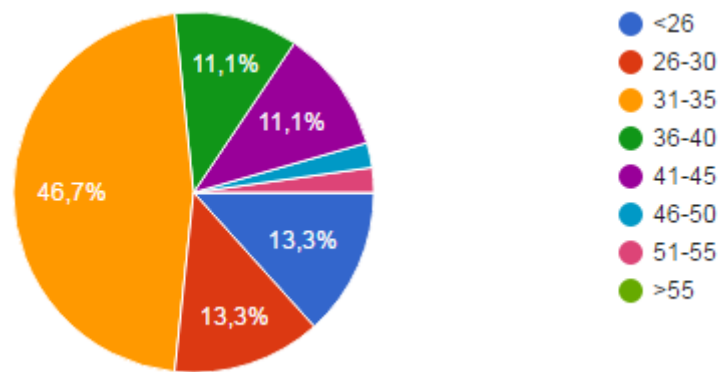
Regarding the studies of the employees, almost half (48,9%) are engineers, while the rest of profiles, like PhD and Others (Support areas) have the same weight (24,4%).
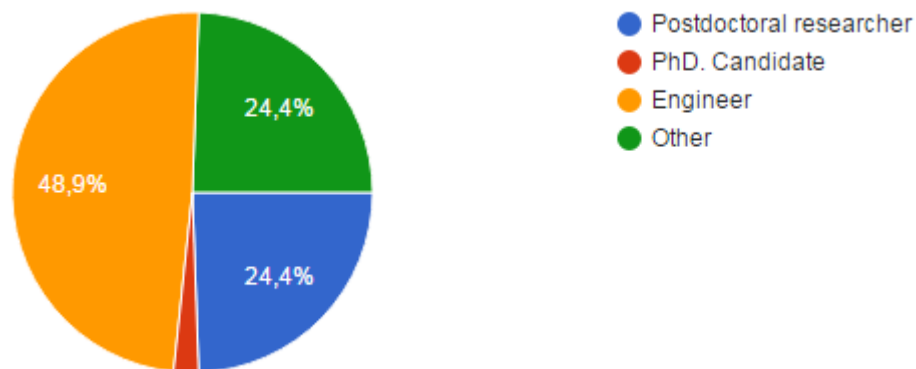
The analysis of the results also takes into account the unit were the surveyed employees are carrying out their job – considering the Research Areas the most significant unit.
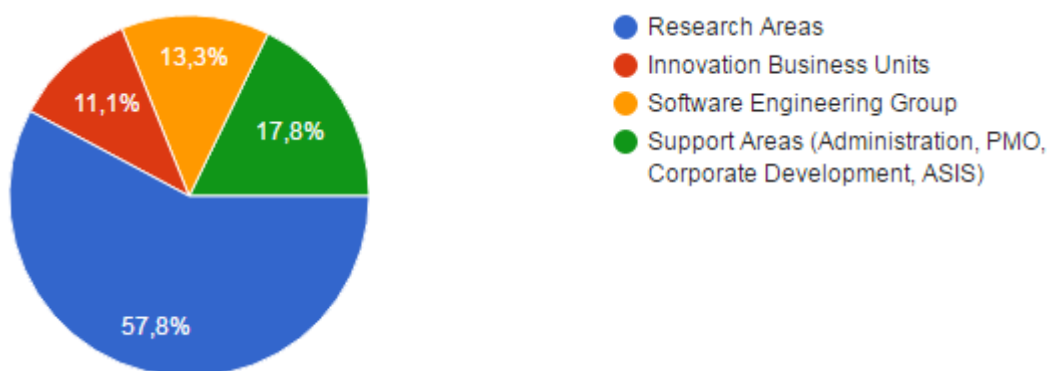
The results of the survey are presented in Table 2. The mean values for a given statement are shown for two groups of employees: the whole staff (left) and the research department (right). Colours are used to mark the results according to the value thresholds defined in Table 1.

A clear correlation can be observed between the columns in the table, thus coinciding in the evaluation of a good part of the questions from the survey. This is explained by one group (research staff) being quite significant within the whole staff. Even though, some differences deserve some analysis. The following section provides a detailed analysis for each of the statements.

WHOLE SAMPLE		RESEARCH AREAS	
Charter and Code	**Survey Score**	**Charter and Code**	**Survey Score**
1. Research freedom	3,72	1. Research freedom	3,58
3. Ethical principle	2,79	3. Ethical principle	2,68
3. Professional responsabiltiy	3,11	3. Professional responsabiltiy	3,22
4. Professional attitude	3,72	4. Professional attitude	3,62
5. Contractual and legal obligation	3,44	5. Contractual and legal obligation	3,32
6. Accountability	3,54	6. Accountability	3,36
7. Good practice in research	3,08	7. Good practice in research	2,96
8. Dissemination, exploitation of results	3,75	8. Dissemination, exploitation of results	3,76
9. Public engagement	3,56	9. Public engagement	3,48
10. Non discrimination	4,55	10. Non discrimination	4,56
11. Periodical/Appraisal systems	2,44	11. Periodical/Appraisal systems	2,35
12. Recruitment	3,12	12. Recruitment	3,00
13. Recruitment (Code)	3,18	13. Recruitment (Code)	3,18
14. Selection	3,00	14. Selection	2,78
15. Transparency	3,00	15. Transparency	3,05
16. Judging merit	3,49	16. Judging merit	3,50
17. Variations in the chronological order of CV'S	3,74	17. Variations in the chronological order of CV'S	3,70
18. Recognition of mobility experience	3,79	18. Recognition of mobility experience	3,73
19. Recognition of qualifications	3,58	19. Recognition of qualifications	3,42
20. Seniority	3,78	20. Seniority	3,69
21. Postdoctoral appointments	2,70	21. Postdoctoral appointments	2,79
22. Recognition of the profession	4,13	22. Recognition of the profession	3,76
23. Research environment	3,61	23. Research environment	3,58
24. Working conditions	3,85	24. Working conditions	3,67
25. Stability and pepermanence of employment	3,16	25. Stability and pepermanence of employment	3,17
26. Funding and salaries	2,29	26. Funding and salaries	2,33
27. Gender balance	3,13	27. Gender balance	3,09
28. Career development	2,15	28. Career development	2,16
29. Value of Mobility	3,46	29. Value of Mobility	3,55
30. Access to career advice	2,71	30. Access to career advice	2,64
31. Intellectual Property Rights	2,83	31. Intellectual Property Rights	2,84
32. Co-authorship	3,76	32. Co-authorship	3,86
33. Teaching	2,59	33. Teaching	2,54
34. Complaints/appeals	2,74	34. Complaints/appeals	2,52
35. Participation in decision-making bodies	2,74	35. Participation in decision-making bodies	2,87
36. Relation with supervisors	3,14	36. Relation with supervisors	3,13
37. Supervision and and managerial duties	4,14	37. Supervision and and managerial duties	4,13
38. Continuing Professional development	2,58	38. Continuing Professional development	2,04
39. Access to research training	2,71	39. Access to research training	2,23
40. Supervision	3,75	40. Supervision	3,61

Table 2. Column of the left presents the mean values for each of the statements of the whole sample of responses. Column on the right shows results for the research staff..