

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review:

Organisation's contact details:

SUBMISSION DATE:.....

DATE ENDORSEMENT CHARTER AND CODE:

Please provide the date when your organisation officially endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. ¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

GAP ANALYSIS

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

¹ The term 'Human Resources' is used **in the largest possible sense**, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.

² For a description of R1-R4, please see http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

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			
2. Ethical principles			
3. Professional responsibility			
4. Professional attitude			
5. Contractual and legal obligations			
6. Accountability			
7. Good practice in research			
8. Dissemination, exploitation of results			
9. Public engagement			
10. Non discrimination			

11. Evaluation/ appraisal systems			
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			
13. Recruitment (Code)			
14. Selection (Code)			
15. Transparency (Code)			
16. Judging merit (Code)			
17. Variations in the chronological order of CVs (Code)			
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			
20. Seniority (Code)			
21. Postdoctoral appointments (Code)			
Working Conditions and Social Security			
22. Recognition of the profession			
23. Research environment			
24. Working conditions			

25. Stability and permanence of employment			
26. Funding and salaries			
27. Gender balance			
28. Career development			
29. Value of mobility			
30. Access to career advice			
31. Intellectual Property Rights			
32. Co-authorship			
33. Teaching			
34. Complains/ appeals			
35. Participation in decision-making bodies			
Training and Development			
36. Relation with supervisors			
37. Supervision and managerial duties			
38. Continuing Professional Development			
39. Access to research training and continuous development			

40. Supervision			
Any additional issues			

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list³

OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- 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		[web link]
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x		[Date of latest update; ensure that it is sent to all staff]
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x		- Existence of training programmes for OTM-R - Number of staff following training in OTM-R
4. Do we make (sufficient) use of e-recruitment tools?	x	x			Web-based tool for (all) the stages in the recruitment process
5. Do we have a quality control system for OTM-R in place?	x	x	x		
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x		Trend in the share of applicants from outside the organisation
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x		Trend in the share of applicants from abroad

³ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x		Trend in the share of applicants among underrepresented groups (frequently women)
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x		Trend in the share of applicants from outside the organisation
10. Do we have means to monitor whether the most suitable researchers apply?					
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x			
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 ⁴]	x	x			
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x			- The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x			
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x				
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		Statistics on the composition of panels
17. Do we have clear rules concerning the composition of selection committees?		x	x		Written guidelines
18. Are the committees sufficiently gender-balanced?		x	x		
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		Written guidelines
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x			

⁴ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

21. Do we provide adequate feedback to interviewees?		x			
22. Do we have an appropriate complaints mechanism in place?		x			Statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?					