

vicomtech



HR EXCELLENCE IN RESEARCH

HUMAN RESOURCES STRATEGY FOR RESEARCHERS

ACTION PLAN FOR THE PERIOD 2020-2023

**FUNDACIÓN CENTRO DE TECNOLOGÍAS
DE INTERACCIÓN VISUAL
Y COMUNICACIONES**

VICOMTECH

Donostia-San Sebastián, September 2019

Index

1. PRESENTATION OF FUNDACIÓN VICOMTECH	3
1.1. Advanced R&D Management System	3
1.2. Structure.....	4
1.3. Specialisation Technologies	5
1.4. Technology Solutions: Business Model	6
2. HR STRATEGY at Vicomtech	7
2.1. Internal Gap Analysis.....	8
2.1.1. Survey Design	8
2.1.2. Survey deployment	9
2.1.4. Principle prioritisation	10
2.1.5. Results	11
2.1.6. Action Plan implementation:2017-2020	13
2.1.7. Conclusions.....	13
2.1.7. Interim Assessment.....	13
2.2. ACTION PLAN.....	15

1. PRESENTATION OF FUNDACIÓN VICOMTECH

Fundación Vicomtech is an applied research technology centre specialising in Computer Graphics, Visual Computing Data Analytics & Intelligence, Interactive Digital Media y Language Technologies (ICT technologies); it was founded in 2001 and is located in the Gipuzkoa Technology Park (it has three working centres, numbers 57, 63 and 71).

The centre is a member of the Basque Science, Technology and Innovation Network and is certified as a Technology Centre by the Ministry of Economy and Competitiveness with the registration number CIT-88. The centre's mission is as follows:

- To meet the Applied Research, Technology Development and Innovation requirements of local companies and institutions in the Computer Graphics, Visual Computing and Multimedia fields, enhancing their competitive edge and improving society's economic development and quality of life.
- To develop innovative visual interaction and communications technologies, creating product prototypes and applications in collaboration with industry.
- To contribute to universal knowledge by training researchers and publishing the results of its applied research work in internationally-renowned journals and at conferences.
- To provide an excellent, high-quality working environment that enables its researchers to develop the personal and professional skills needed to hold posts of responsibility at the centre itself, in industry or in other scientific areas.

Vicomtech is a member of several alliances, platforms and clusters; of particular note is GraphicsMedia.net (www.graphicsmedia.net), an International Applied Research Network specialising in Computer Graphics and Multimedia Technologies at international level. Its command of knowledge and technologies, either directly or through the network, provides value to its clients, since Vicomtech offers real solutions to companies' needs, makes it easier for them to make the most of opportunities, and suggests improvements or developments to their own products, based on the latest advances in scientific and technological knowledge.

1.1. Advanced R&D Management System

Vicomtech is the first technology centre that holds both the UNE 166002:2014 (it achieved the adaptation of the 2006 Standard to the 2014 Standard in November 2014) and ISO 9001:2008 certifications. This internationally-renowned certification places it at the forefront of research quality and is proof of its commitment to process quality (in 2016 the centre achieved the ISO 9001:2015 standard). In 2018, Vicomtech also achieved ISO 14001:2015. All of its activities are covered by the R&D&I management system – the continuous improvement and measurement of results (six-monthly and annually through audits and reviews), optimisation of technology innovation processes and knowledge transfer and generation – thereby ensuring that it uses the highest quality methods.

The centre has the essential computer tools for the management system, which supports the automatized implementation of processes and in which evaluation actions are managed and adjusted.

1.2. Structure

Vicomtech's governing body is the Board of Trustees, which is shown in Figure 1. The Board of Trustees is currently made up of 18 relevant representative members within its areas of action, ensuring that the Centre's mission is fulfilled, and regularly monitoring its activities.

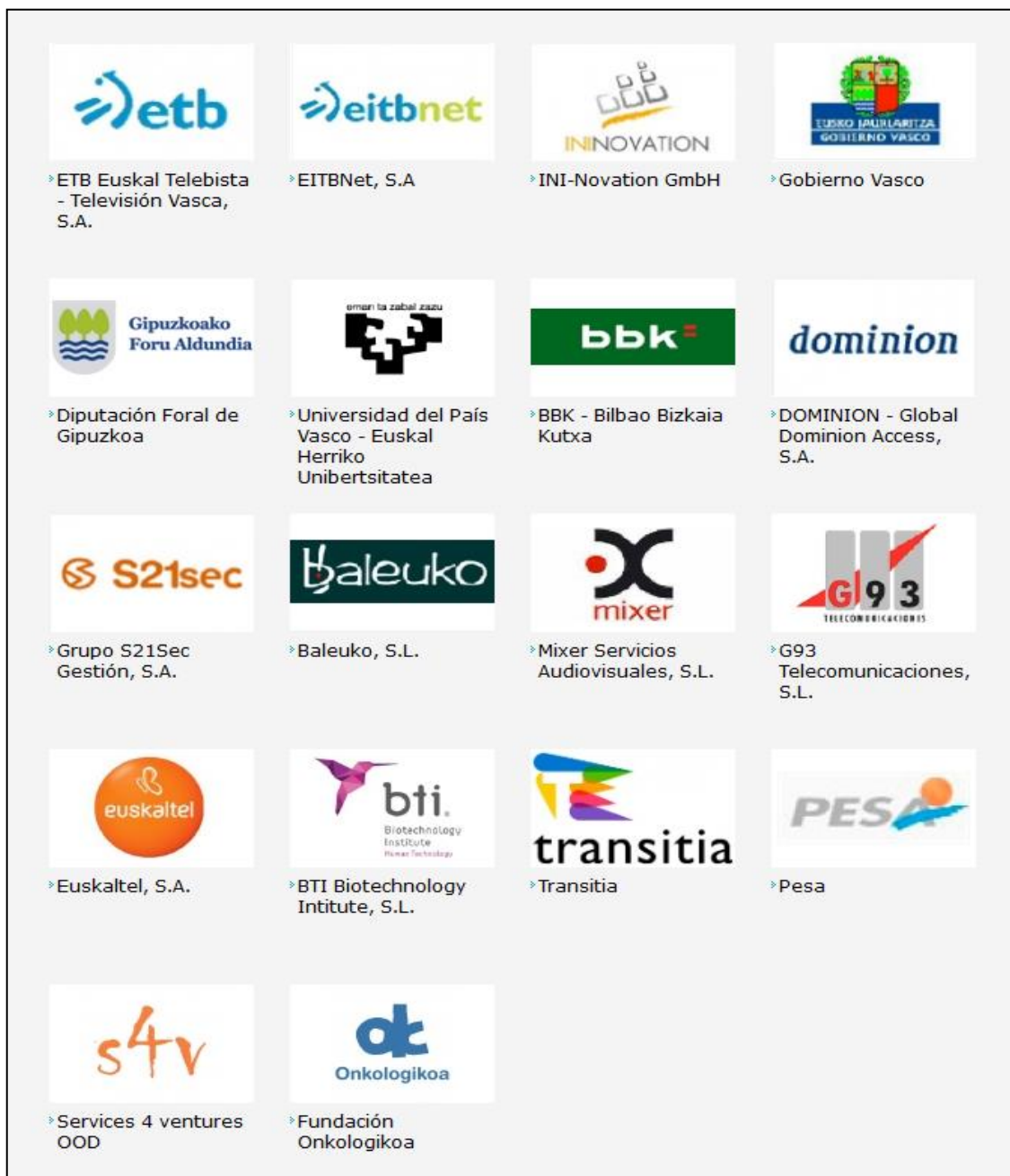


Figure 1. Vicomtech Board of Trustees

The centre has 125 (FTE) researchers. The centre's structure is shown in Figure 2:

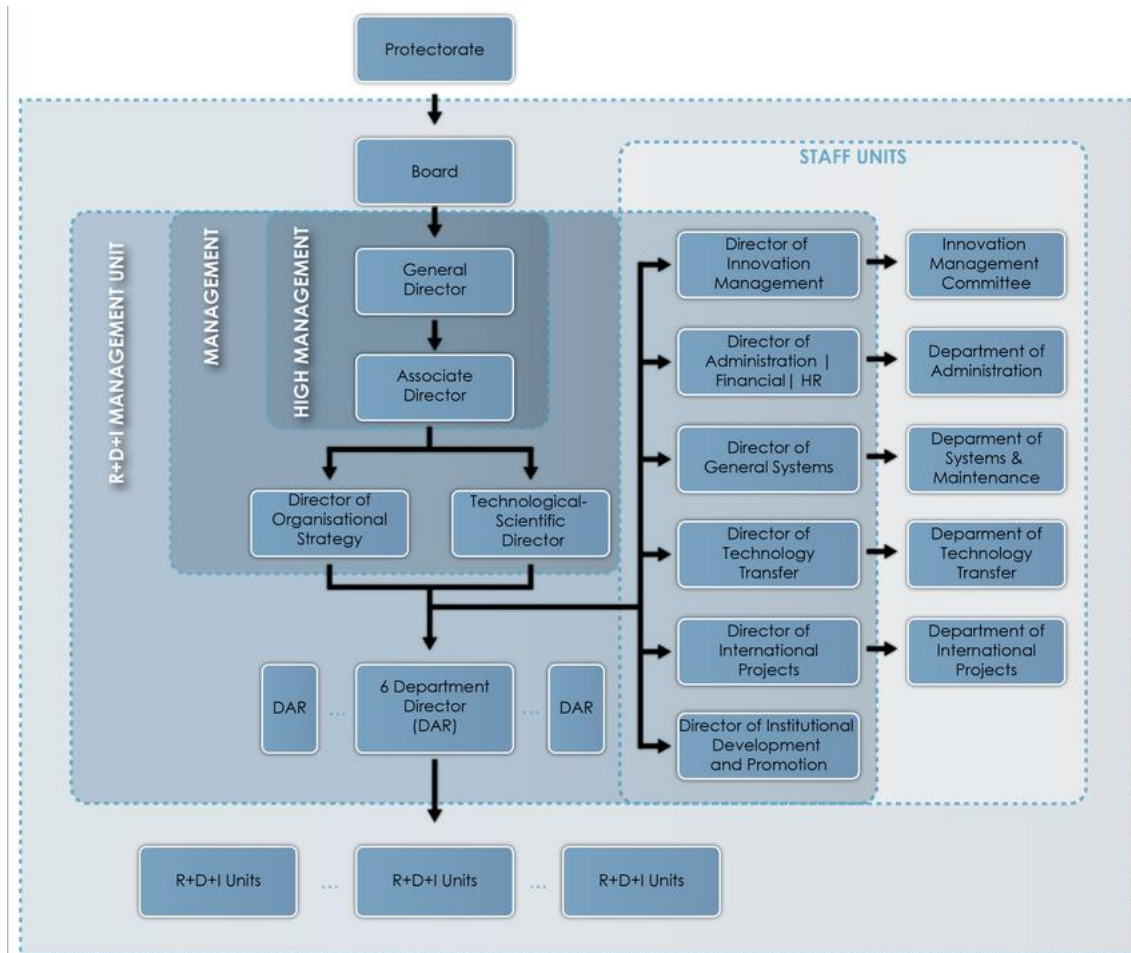


Figure 2. Vicomtech's organisational chart

1.3. Specialisation Technologies

Vicomtech is an applied research technology centre specialising in a particular field: Computer Graphics, Visual Computing and Multimedia (ICT technologies). For this reason, the key technologies on which its activities are focused are very well defined and can be seen in Figure 3:

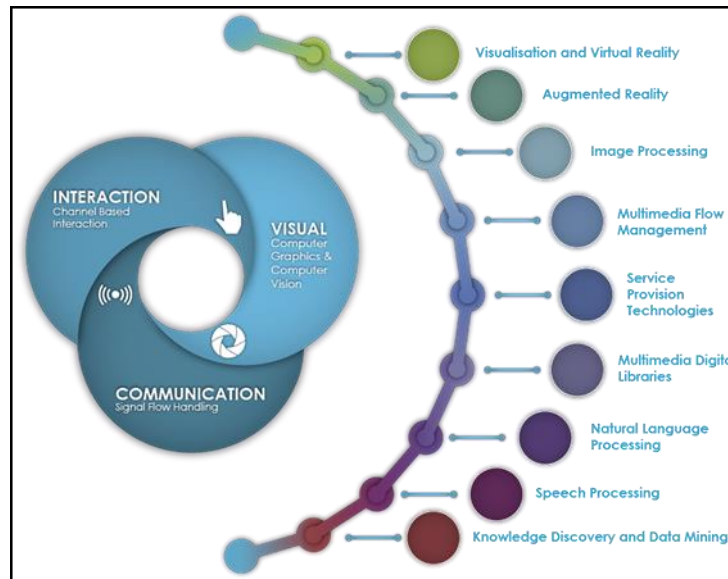


Figure 3. The centre's technology portfolio

1.4. Technology Solutions: Business Model

The centre, as a technological bridge, is positioned midway between universities and the industry (applied research). Accordingly, it is involved in knowledge generation projects (50% of its income comes from competitive funding) and in technology transfer (50% of turnover). The different sources of funding for the centre's R&D&I projects are shown in Figure 4.

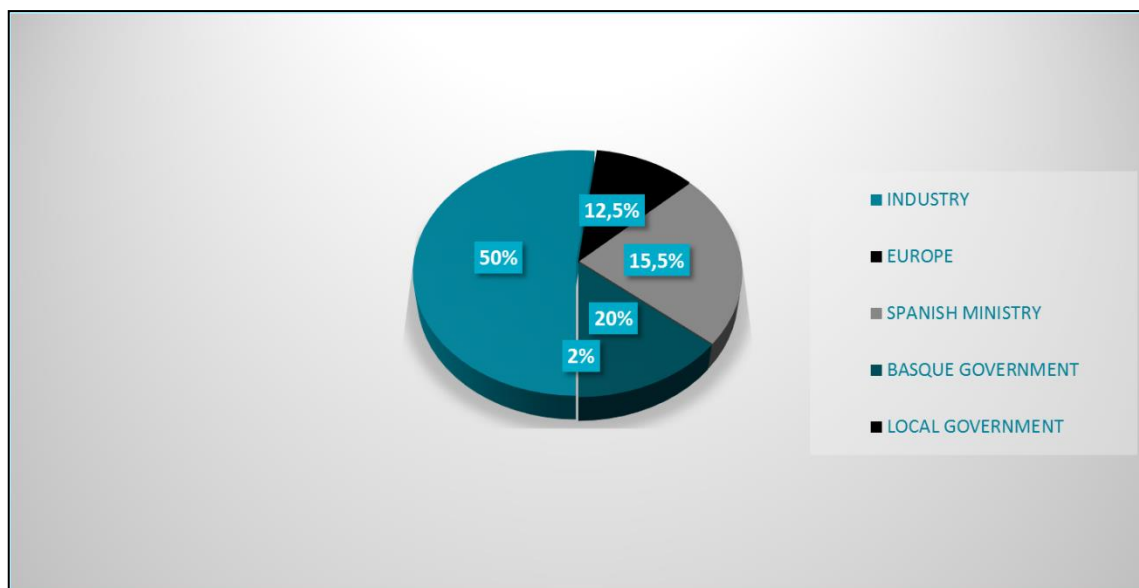


Figure 4. Distribution of Vicomtech's funding sources in % (Objective Business Model)

The target sectors of the solutions developed by the centre are the following:

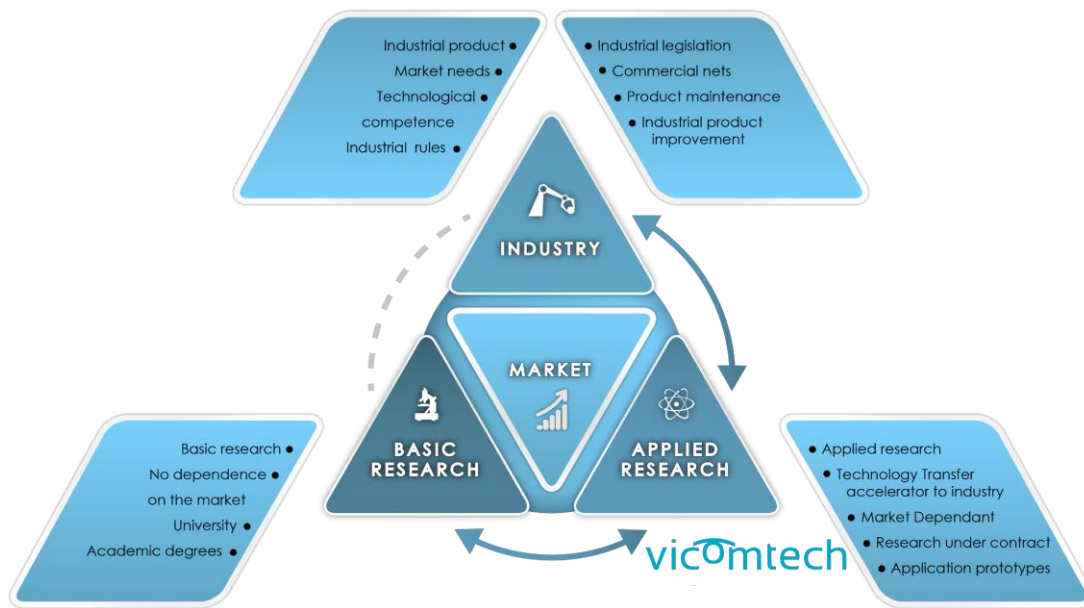


Figure 5. Vicomtech's positioning on the Market

The definition of these different sectors is supported by Vicomtech's internal structure, which is divided into R&D&I Units oriented to these sectors and ensures a customised and quality response for each type of client.

2. HR STRATEGY at Vicomtech

In 2015, Vicomtech started to improve its People Management policies and processes, and to apply the Carnegie Mellon University's People CMM Matrix. It was implemented within the centre's Management System, and the possibility of implementing the European HR Strategy was explored and considered. The Declaration of Commitment Letter to the European Commission was signed in March 2016, and the strategy is beginning to be applied with the following steps:

- Step 1: Internal gap analysis by the institution according to a standard template grouping all the 40 Charter & Code principles in 4 areas ('Ethical and professional aspects', 'Recruitment', 'Working conditions & social security' and 'Training').
- Step 2: Institutional HR Strategy for Researchers (Action Plan).
- Step 3: Acknowledgement of the HR Strategy for Researchers by the European Commission. The logo "HR Excellence in Research" identifies acknowledged institutions.
- Step 4: Implementation of actions and self-assessment process after 2 years.
- Step 5: Implementation of external evaluation after 4 years and renewal of the acknowledgement.

After signing the commitment to the Charter and Code, Vicomtech, through the Innovation Committee (including staff and technical members), and together with the General

Management of the Centre, Heads of Departments and International Projects and Technology Transfer Directors, carried out steps 1 and 2 as explained in the following sections.

2.1. Internal Gap Analysis

The group created to carry out the strategy began the first part of the Gap Analysis in May 2016, which involved completing the sections on Legislation and Work frameworks for each principle of the Charter and Code, together with the processes, policies, procedures or practices that address this principle within the centre.

Afterwards, an anonymous survey was conducted to determine the importance of each principle and the level of implementation of each of them. The table below (Table 1) shows the planned schedule for the HRS4R implementation at Vicomtech, including the design of the internal gap analysis, its evaluation and the final drafting of the definitive action plan and strategy document.

Table 1. Milestones Calendar for HR Strategy

	2016							
	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Design of the internal gap analysis	x							
Survey design		x						
Survey performance		x						
Survey results analysis			x					
Specific working team meetings			x					
Action Plan & Strategy writing				x	x			
Submission to EU					x			
EU evaluation							x	x

2.1.1. Survey Design

The HRS4R working team prepared an online survey to be answered anonymously and voluntarily. This online survey was sent to 19 people (researchers and support technicians from the institution). Administrative and general service staff were not invited to answer the survey.

The survey included an explanatory e-mail and, for each principle (40 in total), the existing legislation and guidance documentation were outlined. By these means, the implementation of the principle up to the time of the survey could be found in the System.

Respondents were asked to evaluate – one by one – two variables for each of the principles listed: “Importance” and “Level of implementation at Vicomtech”. The possible scores ranged from 1 to 5, with a sliding scale that included “none, low, medium, sufficient and high” categories. In addition, respondents were provided with an empty box to give them the chance to propose actions to be taken to improve the level of implementation of principles at Vicomtech. Annex 2 shows a screen shot from a survey question sample.

Taking into account the Level of Importance and Level of Implementation, a Priority Index (Pri) was calculated as follows:

$$\text{Pri} = \frac{\text{Level of Importance}}{\text{Level of Implementation}}$$

The final purpose of this survey was to obtain an ordered list of the most important and least implemented C&C principles from the point of view of staff, in order to then develop the improvement actions that should constitute the final Action Plan.

2.1.2. Survey deployment

The survey was sent out in June by the Human Resources Director. The introductory text described the HRS4R and its implementation procedure at Vicomtech according to the Innovation Management System and People CMM Matrix. 18 people answered the survey (almost all of those who received it). One of the surveys was not valid and thus the study was carried out based on 17 answers.

The sample for the survey was decided as follows:

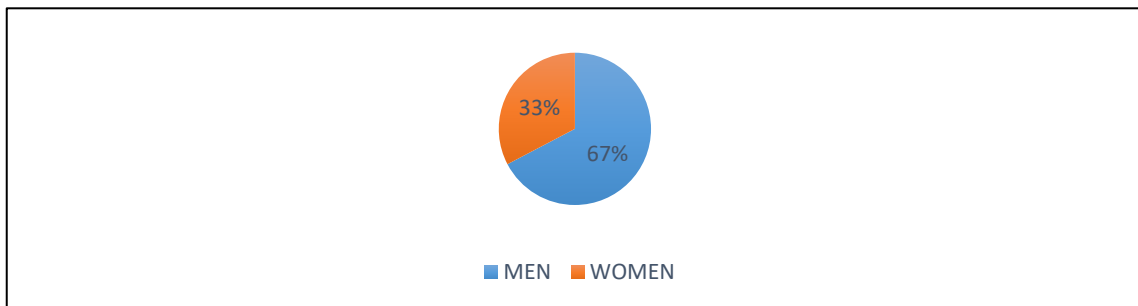


Figure 6: Staff Gender Ratio

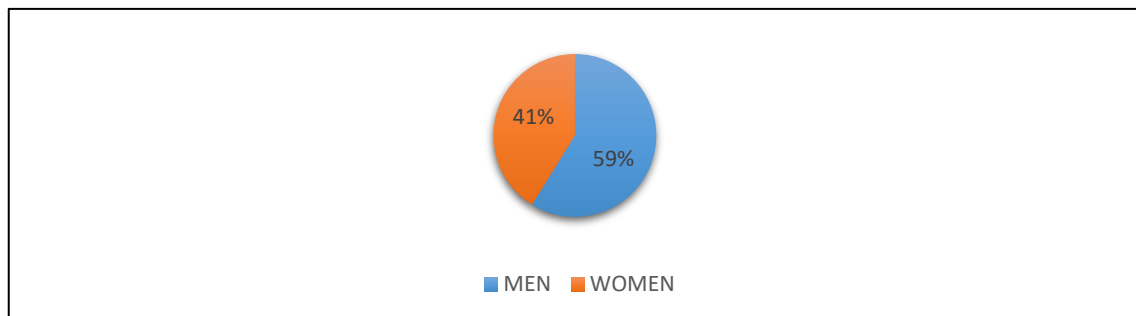


Figure 7: Gender Ratio in the answered surveys

- The same female-male ratio as at the centre was selected (Figure 6 shows that the centre has 33% women and Figure 7 shows that 41% of those who took part in the survey were women).
- Staff from different professional categories (see figure 8).

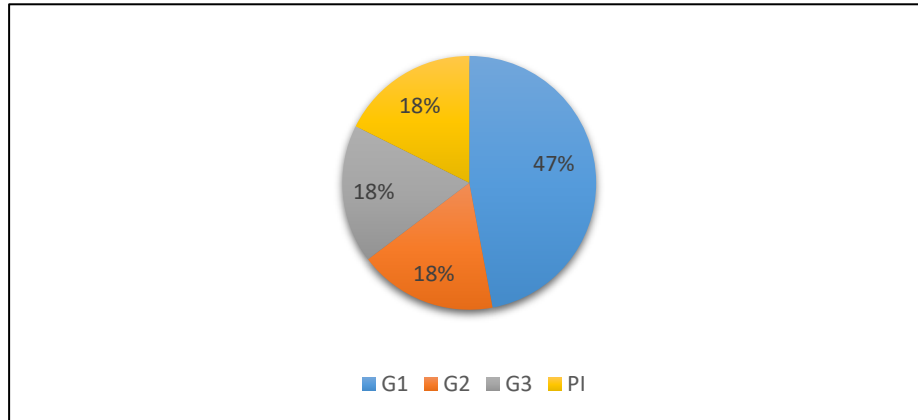


Figure 8: Ratio by categories

G1: Principal Researcher; G2 Senior Researcher; G3: Junior Researcher; PI: International Projects.

- All the preselected people have collaborated in European projects and have professional experience as researchers in various disciplines (see figure 9).

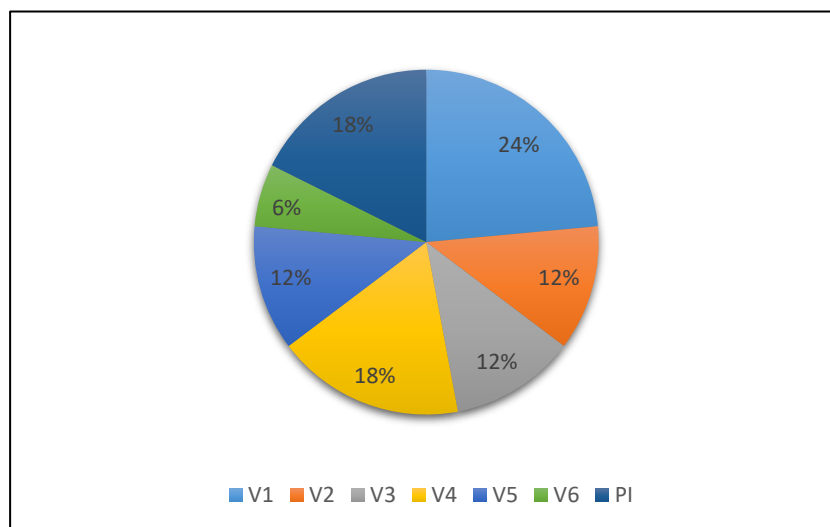


Figure 9: Ratio by Departments

V1: Digital TV & Multimedia Services; V2: Speech and Natural Language Technologies; V3: e-Tourism & Heritage; V4: Smart Transport and Engineering Systems; V5: Computer Graphics and Interaction; V6: e-Health & Biomedical applications; PI: International Projects.

2.1.4. Principle prioritisation

All the questions responded to the Index of importance and Implementation (both from 1 to 5). The Priority Index is extracted from these indices as mentioned in sub-section 2.1.1.; it can be

between 0.20 and 5 (1/5 and 5/1). Using the Priority Index average, the threshold is set in order to determine the Principles that require an Action Plan.

The criteria used to define the final list of principles to be included in the Action Plan were:

- The threshold is reflected by the Priority Index average (1.16). The principles which are above this threshold are selected for the Action plan.
- The requirements and the new legislation affecting the C&C.
- The People CMM implementation process: As explained in the previous sections, the HR Strategy implementation process is part of the continuous enhancement of Vicomtech's People Management Process. This process has been in progress for a year now and requires this strategy to be in line with the System Standards (UNE166002 and ISO 9001) and with People CMM.

2.1.5. Results

The Graphs below (figure 10 and 11) show the values obtained from the analysis of the survey results. The values correspond to the average Importance and the average Level of Implementation scores for each Principle. The average Implementation/Importance index is also shown.

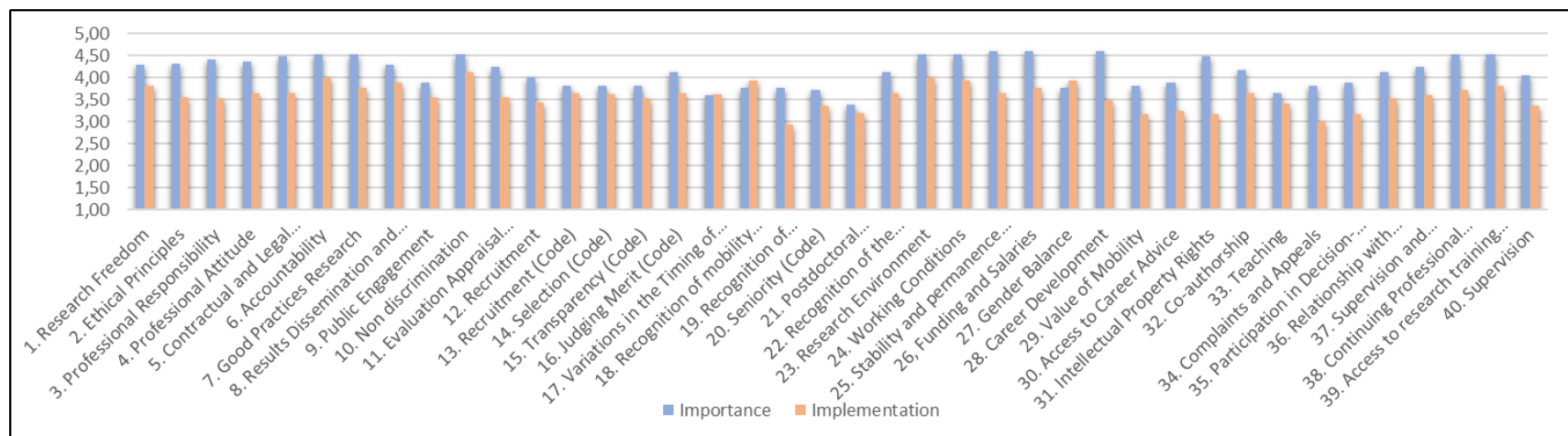


Figure 10: Implementation and Importance index

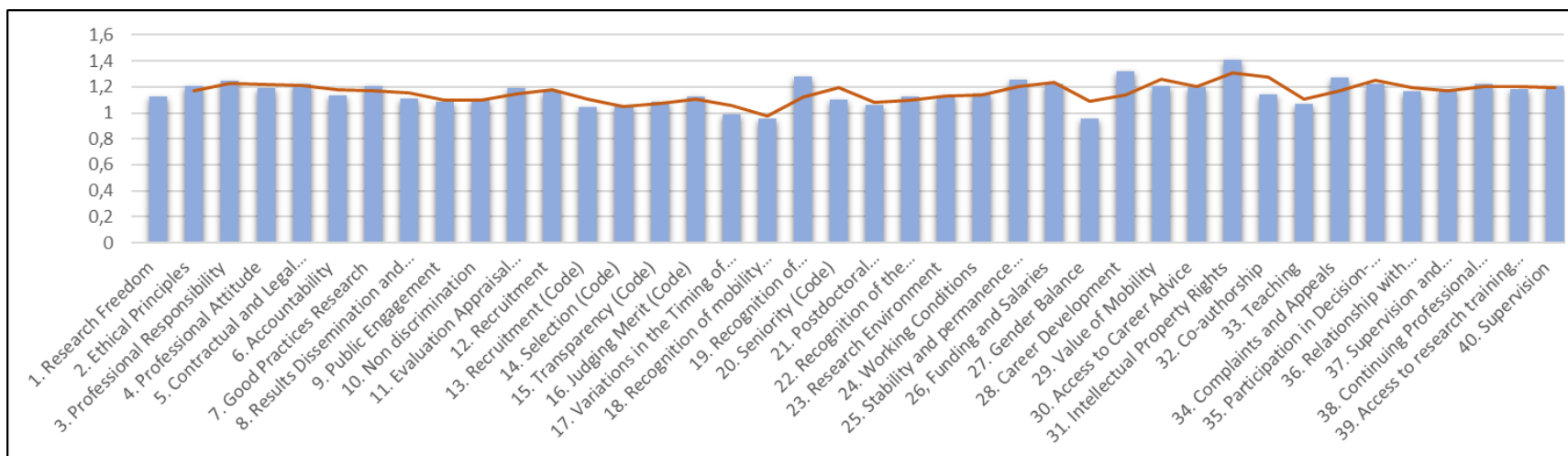


Figure 11: Priority Index

As can be seen in Figure 11, Vicomtech's Priority Index is between 0.96 and 1.41, since all the Principles have been implemented in the centre (and all of them were considered to be important). The Priority Index threshold is 1.16, meaning that the Principles with a higher figure will be analysed. Accordingly, the principles selected for the Action Plan are the following:

- Ethical Principles
- Professional Responsibility
- Professional Attitude
- Contractual and Legal Obligations
- Good Practices in Research
- Evaluation and Appraisal Systems
- Recognition of Qualifications
- Stability and Permanence of Employment
- Funding and Salaries
- Professional Career Development
- Value of Mobility
- Access to Career Advice
- Intellectual Property Rights
- Complaints and Appeals
- Participation in Decision-making bodies
- Relationship with Supervisors
- Supervision and Management Tasks
- Continuous Professional Development
- Access to Research Training
- Supervision

The Action Plan is described in section 2.2 of this document.

2.1.6. Action Plan implementation:2017-2020

The Action Plan was added to actions as part of the 2017-2020 Strategic Plan. The actions are agreed by the General Management and Heads of Departments, together with the International Project and Technology Transfer Directors. Follow-up will be conducted through the Innovation Committee and by means of the computer tools available in the Management System to reach milestones and carry out plans.

2.1.7. Conclusions

This process allowed an exhaustive study of the Principles to be carried out and improvement measures to be incorporated into the System in relation to People Management. The timing is appropriate since a substantial reorientation of the system is in progress and the Strategic Plan is being drafted. The actions will be carried out during the implementation of the Strategic Plan.

2.1.7. Interim Assessment

In 2019, an internal review has been developed to reflect and document progress and alter actions or timing of actions, and to offer the opportunity to create new actions for the upcoming years.

In this internal review regarding the interim assessment, Vicomtech indicates how its Action Plan has been implemented. The authors also include a revised Action Plan including proposed actions for the next 3 years.

This interim assessment's notes have been written in blue.

2.2. ACTION PLAN

The European Charter for Researchers and Code of Conduct for the Recruitment of Researchers

“A Human Resources Strategy for Researchers incorporating the Charter and Code”

Annex 1: Example of a standard template for internal analysis –

<http://ec.europa.eu/euraxess/rights>

I. Ethical and professional aspects

1. Research freedom			
Researchers should focus their research for the good of mankind and to expand the frontiers of scientific knowledge, while enjoying 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 of 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 must adhere.			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.10- People management- P-06.11- Performance Management Procedure- P-06.15-Professional Career Development Procedure- P-06.01- Training Procedure- Innovation Management Handbook: Fostering the Innovation Culture- P-06.03- Internal Communication and Coordination- P-06.20-Innovation Groups- Vicomtech's Code of Conduct- Vicomtech's Policy	The Ethical Channel should be developed in the internal ERP	General Management (first semester of 2020)

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, sectoral 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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - General Data Protection Regulation - Compliance Regulation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - 04.00.03- Strategic Plan including Centre's Mission, Vision, Values and Policy - Principles of People Management (included in P-06.10 People Management Procedure) - R&D&I Policy and Principles - Regulation: Vicomtech image and continuous improvement. Use of the Centre Resources - P-07.02- Customer requirements and proposal drafting - P-07.06-Project design and implementation. - P-05.09-Environmental Management - Vicomtech's Code of Conduct - P-05.08. Compliance Management - P-07.19-Confidentiality Management - P-05.03- Personal Data Protection - Vicomtech's Policy 	<p>The Mission, the Vision, the Values and the Strategies are reviewed for the new Strategic Plan. The Principles of People Management will be regularly pointed out during the monthly meetings and management seminars at the centre. Moreover, a welcome video for staff is made underlining the Centre's Principles of People Management.</p> <p>In the next 3 years revised values will be implemented in the centre's policy, and procedures and tutorials will be developed according to them. An Ethical Channel will be developed.</p>	<p>General Management (second semester of 2016)</p> <p>General Management (second semester of 2020)</p>

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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - General Data Protection Regulation - Compliance Regulation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - 04.00.03-Strategic Plan - P-07.06- Scientific Policy with P-07.10 procedures on Scientific Dissemination and PhD framework - P-06.15- Professional Career Development - P-07.06- Project design and implementation - P-07.15-Technology Transfer - P-06.21-Knowledge Management - P-05.09-Environmental Management - Vicomtech's Code of Conduct - P-05.08-Compliance Management - P-07.19-Confidentiality Management - E-07.23 Software Protocol (GITLab) - P-06.20-Innovation Groups 	<p>The Centre's Monitoring System will be restructured by improving data acquisition to allow researchers to carry out more professional and comprehensive monitoring, Moreover, Communities of Practice and Interest Groups will be boosted in order to avoid duplication in software development internally. Within the Strategic Plan, a software development protocol will be established, and ad-hoc training will be provided to researchers regarding this matter.</p> <p>Annual seminars and three-monthly awareness capsules will be developed using videos, tutorials and trainings.</p>	<p>Monitoring for second semester of 2016 (by the Innovation Committee) and for second semester of 2017 (by the Communities of Practice).</p> <p>Software Protocol for second semester of 2017 (responsibility of the ad-hoc selected committee).</p> <p>Semesterly monitoring for capsules and seminars, and second semester 2020 for tutorials and videos (Innovation Committee and General Management).</p>

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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - 04.00.03-Strategic Plan - P-06.03- Internal Communication and Coordination - P-06.20-Innovation Groups - P-07.01- Calls for proposals, generation of ideas and approaching. - P-07.02- Customer requirements and proposal drafting - P-07.06- Project design and implementation - P-07.07- Project development - E-07.19- Deviation Management during the project - 05.01.02- Reviews of each department - Vicomtech's Code of Conduct 	<p>Once a year, seminars on Project management/calls for proposals will be organised to update researchers' knowledge regarding this matter, and they will be reminded about Project deviation management.</p> <p>Tutorials and videos will be developed as an alternative to seminars so that they are available in real time</p>	<p>Innovation Committee (second semester of each period).</p> <p>Innovation Committee (second semester of each period)</p>

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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Organic Law on Personal Data Protection - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - Work contract - P-06.02- Staff welcome and departure - 06.02.02-Staff non-disclosure agreement - P-05.03- Personal Data Protection - Vicomtech's Code of Conduct - P-07.06.-Scientific Policy - P-07.15-Technology Transfer - P-07.19-Confidentiality Management 	<p>Within the 2017-2020 Strategic Plan, an active search for staff with expertise in Software Intellectual Property will be carried out to improve current procedures and train research staff and managers. Once the training has been finished, the associated procedures will be improved.</p> <p>Vicomtech has outsourced a DPO and a new employee has been hired for the technology Transfer Department. However, associated procedures still need to be improved.</p>	<p>General Management (second semester of 2017)</p> <p>General Management (second semester of 2021)</p>

6. Accountability

Researchers need to be aware that they are accountable to their employers, funders, or other related public or private bodies as well as, on more ethical grounds, to 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, 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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - Organic Law on Personal Data Protection - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - Organisation Framework and Social commitment in the Innovation Management Workbook - P-06.15- Professional Career Development - Grant justification processes - P-07.07- Project Development - E-06.12- Curriculum Vitae processing at Vicomtech - I-07.07- Guidelines for conclusions in R&D&I projects - Vicomtech's Code of Conduct - P-05.09-Environmental Management - P-05.08-Compliance Management - P-07.19-Confidentiality Management - Vicomtech's Policy - P-05.03- Personal Data Protection 	<p>Compliance procedures must be revised and improved, and an associate ethical channel must be developed.</p> <p>Environmental certification (ISO 14001) needs to be maintained and employee awareness is needed.</p> <p>Security certification (ISO 27001) is the new challenge for 2020.</p>	<p>General Management (second semester of 2022)</p>

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 fulfil them at all times.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Organic Law on Personal Data Protection - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - P-06.13- Working Environment Procedure (including Occupational Risk Prevention) (concerning activities related to Safety at Work, Ergonomics and applied Psychosociology, Industrial Hygiene and Health Monitoring) - P-06.03- Internal Communication and Coordination - P-07.07- Project Development - P-08.02- Non-compliant product and problem monitoring - E-07.19- Deviation management during the project - 06.02.02- Staff non-disclosure agreement - P-05.03- Personal Data Protection - 07.07.06- Prototype verification and validation - P-07.09- System Management (including preventive and corrective maintenance of software, hardware and laboratories) - Vicomtech's Code of Conduct - P-05.09- Environmental Management - P-05.08- Compliance Management 	<p>Following the Software Writing Protocol by in-house experts with external support, the software output process will be improved. Another action to be carried out within this Principle is the improvement of the custody of information, including prototypes and software code.</p> <p>For 2020-2023 Action plan, annual training and improvements are required in this field.</p>	<p>Ad-hoc Committee for Software Protocol (first semester of 2018)</p> <p>Ad-hoc Committee for Software Protocol and General Management (annual monitoring)</p>

8. Dissemination and 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-07.15- Technology Transfer- P-06.06- External communication- P-07.10- Scientific Dissemination- P-07.07- Project Development- P-07.16- Creation of Technology-based Companies- 07.01.03- Business Plan- Annual Intellectual Capital Report- Scientific paper: "Model for calculating the intellectual capital of research centres". Journal of Intellectual Capital (2018). Vol. 19 Issue: 4, pp.787-813. https://doi.org/10.1108/JIC-01-2017-0021		

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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - P-06.06- External Communication (including web, social media, press, etc.) - Innovation Management Handbook: Organisation Framework - P-06.21- Knowledge Management - Vicomtech's Code of Conduct - P-05.08- Compliance Management 	Compliance procedures must be revised and improved, and an associate ethical channel has to be developed.	General Management (second semester of 2022)

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
	-		
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- E-06.13- Equality Plan- P-06.13- Work Environment Policy- E-06.11- Reconciliation of work and family life- Vicomtech's Code of Conduct		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation	<ul style="list-style-type: none">- P-06.11- Performance Management Procedure- P-06.15- Professional Career Development- Scientific paper about Researchers' performance management in R&D Management Conference 2018 (Milan)	<p>Although the centre's Performance Management is a 5-year process, it has not yet been grounded and it is currently in the process of being changed. This process is linked to the Professional Career, Training and Remuneration of Researchers. The final amendments are expected in 2016 in order for it to remain stable over time.</p> <p>Holistic model according to Career Development not only for researchers but also for Staff employees. Scientific publications about Career Development are required in the next Action Plan. Moreover, Performance Evaluation variables need to be revised and improved annually.</p>	<p>General Management for second semester of 2016.</p> <p>General Management for second semester of 2021.</p>

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.12-Recruitment Policy- 06.12.01-Recruitment Process- P-06.04- Talent Recruitment procedure- P-06.02-Staff welcome and departure- Vicomtech's Code of Conduct		

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 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.12- Recruitment Policy- P-06.04- Talent Recruitment procedure- P-06.15- Professional Career Development- P-06.13- Working Environment Procedure (including Occupational Risk Prevention)- Vicomtech's Code of Conduct- P-06.11- Performance Management Procedure- Scientific paper about Researchers performance management in R&D Management Conference 2018 (Milan)		

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.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Authority and Responsibility Table from the Recruitment Process- Training at the IESE Business School for Managers- P-06.04- Talent Recruitment procedure- 06.12.01- Recruitment Process		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.04- Talent Recruitment procedure- 06.12.01- Recruitment Process- P-06.15- Professional Career Development		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.15- Professional Career Development- P-06.11- Performance Management Procedure- P-06.04- Talent Recruitment procedure- 06.12.01- Recruitment Process- P-06.21- Knowledge Transfer- P-07.15- Technology Transfer- P-06.20- Innovation Groups- P-06.23- Intellectual Capital Management- Scientific paper: “Model for calculating the intellectual capital of research centres”. Journal of Intellectual Capital (2018). Vol. 19 Issue: 4, pp.787-813. https://doi.org/10.1108/JIC-01-2017-0021		

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 their application is being made.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- E-06.12- Curriculum Vitae processing at Vicomtech- P-06.15- Professional Career Development		

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 their initial research training or at a later stage of their 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.15- Professional Career Development- P-07.13- Travel Request- P-06.14- Training Procedure- P-07.10- Scientific Dissemination		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Work Contract- Vicomtech's Code of Conduct- P-06.11- Performance Management Procedure- P-06.07- Scientific Policy.- Scientific paper about Researchers performance management in R&D Management Conference 2018 (Milan)	<p>The Centre's Remuneration Policy will be reviewed to detect possible improvements, and salaries will be benchmarked against those at other Basque Technology Centres to identify Vicomtech's positioning in this field.</p> <p>Scientific paper about Researchers' performance management and its link with salaries in a journal is required.</p>	<p>General Management for second semester of 2016.</p> <p>General Management for second semester of 2021.</p>

20. Seniority (Code)

The levels of qualifications required should be in line with the needs of the position and should 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.15- Professional Career Development- P-06.11- Performance Management Procedure- Scientific paper about Researchers performance management in R&D Management Conference 2018 (Milan)		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Postdoctoral Work Contract according to Science Law- P-06.15- Professional Career Development- P-06.11- Performance Management Procedure- Scientific paper about Researchers performance management in R&D Management Conference 2018 (Milan)		

III. Working conditions and social security

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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Statute of workers' rights - Labour agreement - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - Postdoctoral Work Contract according to Science Law - P-06.15- Professional Career Development - P-06.11- Performance Management Procedure - P-06.04-Talent recruitment Procedure - Scientific paper about Researchers performance management in R&D Management Conference 2018 (Milan) 		

23. Research environment			
Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created, offering 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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - Innovation Management Handbook: Support for R&D&I Infrastructure - Innovation Management Handbook: Context of the Organization - P-07.09-Systems Management - P-07.08-Maintenance Management - P-06.13- Working Environment Procedure (including Occupational Risk Prevention) - P-07.03-Alliances and Customers Agreements Procedure 		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation	<ul style="list-style-type: none">- E-06.11- Reconciliation of work and family life- P-06.13- Working Environment Procedure (including Occupational Risk Prevention)- Vicomtech's Code of Conduct.		

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. Therefore, they should 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers 'rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Work Contract- P-06.15- Professional Career Development- P-06.04.-Talent Recruitment procedure.	<p>Decree 109/2015 regulating the Basque Science, Technology and Innovation Network requires Basque Technology Centres to transfer 8 out of every 100 researchers to Basque Industry each year. Vicomtech is not currently meeting the target, but the actions that will be undertaken in this area must be in line with Basque regulation.</p> <p>Annual monitoring through annual Key Performance Indicators is required.</p>	<p>General Management second semester of 2016.</p> <p>General Management, Annual monitoring.</p>

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.10-People Management- Work Calendar- Remuneration Policy- P-06.15- Professional Career Development- P-06.11- Performance Management Procedure	<p>The Centre's Remuneration Policy will be reviewed to detect possible improvements, and salaries will be benchmarked against those at other Basque Technology Centres to identify Vicomtech's positioning in this field.</p> <p>Permissions will be reviewed through benchmarking and an explanatory document will be developed for each of them.</p> <p>Staff department members' Professional Careers will be revised according to their functions and Performance Evaluation.</p>	<p>General Management for second semester of 2016.</p> <p>General Management for second semester of 2021.</p>

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.13- Work Environment Procedure- E-06.13-Equality Plan		

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.15- Professional Career Development- P-06.20-Innovation Groups- P-06.03- Internal Communication Procedure	<p>-This process is linked to Performance Management, Training and Remuneration of researchers. The final amendments are expected in 2016 in order for it to remain stable over time.</p> <p>-Scientific articles about Career Development implementation and results according to employees' job satisfaction.</p> <p>-International benchmarking regarding Career Development for R&D Professionals is required.</p>	<p>General Management second semester of 2016</p> <p>General Management second semester of 2021</p>

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the Basque Country Register of Foundations- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.15- Professional Career Development- Sub-process of Researchers' Transfer- P-07.13-Travel Procedure- P-06.14-Training Procedure	<p>This Principle will be reviewed within the Professional Career and Performance Management process currently under review.</p> <p>-Scientific articles about Career Development implementation and results according to employees' job satisfaction and Evaluation performance in journals and Conferences is required.</p> <p>-International benchmarking regarding Career Development for R&D Professionals is required.</p>	<p>General Management second semester of 2016</p> <p>General Management second semester of 2021</p>

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
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the Basque Country Register of Foundations - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Labour agreement - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - P-06.14- Training Procedure - P-06.07-Scientific Policy - P-06.15- Professional Career Development - Smooth communication in all directions to clarify doubts and to give support - Annual feedback interviews according to P-06.11- Performance Management Procedure - P-06.22. Mentoring 	Feedback interview process will be reviewed, and the mentoring process will be carried out within the People CMM matrix. -Scientific articles about Evaluation Performance in journals is required. -International benchmarking regarding Key Performance Indicators is required.	General Management second semester of 2017 General Management second semester of 2021.

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
<ul style="list-style-type: none">- Charter & Code legal framework- Intellectual Property Law- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-07.15-Technology Transfer- 07.15.03-Intellectual Property Assets- P-07.10- Scientific Dissemination- P-06.23. Intellectual Capital management including software libraries valuation and other indicators.	The Patent Procedure will be reviewed in terms of copyright. Moreover, within the 2017-2020 Strategic Plan, an active search for staff with expertise in Software Intellectual Property will be carried out to improve the current procedures, train the research staff and managers, and to improve the associated procedures.	General Management second semester of 2017

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-07.15- Technology Transfer- 07.15.03- Intellectual Property Assets- P-07.10- Scientific Dissemination- E-06.12- Curriculum Vitae procedure at Vicomtech- 07.16.01- Professional Career Development		

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 also ensure that time devoted by senior members of staff to the training of early stage researchers is 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Teaching Section in P-06.07- Scientific Policy- P-06.15- Professional Career Development		

34. Complaints/ 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
<ul style="list-style-type: none">- Charter & Code legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- P-06.03- Internal Communication Procedure- Internal Communication Channels (within procedure P-06.03-Staff Motivation).- P-05.08. Compliance Management- P-05.09-Environmental Management- P-05.03- Personal Data Protection	The centre's communication processes will be reviewed.	General Management and Innovation Committee, second semester of 2017.

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
<ul style="list-style-type: none">- Charter & Code legal framework- Statute of workers' rights- Labour agreement- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Roles, Responsibilities and Organisational Authorities: Structure of the R&D&I Management Unit and R&D&I Units in the Leadership and Management section of the R&D&I Management Handbook- E-06.08- Internal Communication Procedure- Internal Communication Channels	The centre's communication processes will be reviewed.	General Management and Innovation Committee, second semester of 2017.

36. Relation with supervisors			
<p>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.</p>			
Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none"> - Charter & Code legal framework - Legal framework of the National Technology Centre Register - Basque Science, Technology and Innovation Network legal framework - Law 14/2011 of 1 June on Science, Technology and Innovation - 109/2015 Basque Government Decree 	<ul style="list-style-type: none"> - Process responsibilities defined in the Innovation Management System - Definitions and Responsibilities in P- P-06.09-Thesis Framework - P-06.22.- Mentoring procedure - P-06.01.- Training procedure - Minutes of feedback interviews - Minutes of meetings - P-07.07-Project development - Six-monthly follow-up report from departments - Automation of Project audits - Semesterly monitoring for Head of Departments 	<p>Automation of Project audits to detect communication issues in the projects.</p> <p>Request for minutes from Head of Department in annual feedback interviews.</p>	<p>General Management second semester of 2016</p>

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 researchers' careers.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing Institutional rules and/or practices	Actions required	When/Who
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Mission and Skills in 07.16.01- Professional Career Development- P-06.22.- Mentoring procedure- P-06.01.- Training procedure- P-06.11.-Performance Management Procedure	Mentoring process to be developed according to People CMM matrix. Mentoring process' monitoring and improvements if necessary.	General Management second semester of 2017 General Management second semester of 2022

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Mission and Skills in 07.16.01- Professional Career Development- P-06.01-Training- P-07.10-Scientific Dissemination- P-06.07-Scientific Policy- P-06.11-Performance Management procedure- P-06.22.- Mentoring procedure- P-06.11.- Performance Management Procedure	<p>The need for specific training in developing Leadership, Communication and Management Skills for researchers has been detected. The centre is currently looking for trainers and designing training programmes for several skills.</p> <p>Annual seminars, tutorials and videos must be implemented.</p>	<p>General Management second semester of 2017</p> <p>General Management second semester of 2021</p>

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 to undertake professional development and improve 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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the National Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Mission and Skills in 07.16.01- Professional Career Development- P-06.01-Training- P-07.10-Scientific Dissemination- P-06.07-Scientific Policy- P-06.11-Performance Management procedure- P-06.22.- Mentoring procedure	<p>The need for specific training in developing Leadership, Communication and Management Skills for researchers has been detected. The centre is currently looking for trainers and designing training programmes for several skills.</p> <p>Annual seminars, tutorials and videos must be implemented.</p>	<p>General Management second semester of 2017</p> <p>General Management second semester of 2021</p>

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
<ul style="list-style-type: none">- Charter & Code legal framework- Legal framework of the national Technology Centre Register- Basque Science, Technology and Innovation Network legal framework- Law 14/2011 of 1 June on Science, Technology and Innovation- 109/2015 Basque Government Decree	<ul style="list-style-type: none">- Mentoring Process- Mission and Skills in 07.16.01- Professional Career Development (Project leader, Research Line Manager and Department Manager)- P-06.22.- Mentoring procedure	Mentoring process to be developed according to CMM People matrix. To monitor Mentoring process and improvements if necessary.	General Management second semester of 2017 General Management second semester of 2022

Principle	Action Number	Description of the action <u>(Initial Action Plan)</u>	2016		2017		2018		2019		2020		Action Leader
			1 st sem	2 nd sem	1 st sem	2 nd sem	1 st sem	2 nd sem	1 st sem	2 nd sem	1 st sem	2 nd sem	
I	2.1	Review of the Mission, Vision, Values and Strategy for the new Strategic Plan.											Management
	2.2	Emphasis on People Management's principles in every monthly meeting and seminar.	●	●	●	●	●	●	●	●	●	●	Management
	2.3	Staff welcome video and its review				●		●		●		●	Management
	3.1	Restructuring of the Monitoring System.											Innovation Committee
	3.2	Boost for people to avoid duplication in software development.											Community of practice
	3.3	Setting of a Software Development Protocol and ad hoc training for researchers involved.											Ad hoc committee
	3.4	Implementation of a Software Development Protocol.											Ad hoc committee
	4.1	Seminars on project management and project deviations		●		●		●		●		●	Innovation Committee
	4.2	Seminars on calls for proposals	●		●		●		●		●		Innovation Committee
	5.1	Search for staff with expertise in Software Intellectual Property.											Management
	5.2	Development of related Software Intellectual Property training and procedures.											Management
	7.1	Development of Software Writing Protocol. Improvement of the software output process.											Ad hoc Committee
	7.2	Improvement of the custody of information.											Ad hoc Committee
	11.1	Review of the Performance Management Process.		●		●		●		●		●	Management
II	19.1/19.2/26.1	Review of the Remuneration Policy and salaries benchmarked against other Basque TCs ¹		●		●◇		●		●		●◇	Management
	26.2	Review of permissions, benchmarking and development of an explanatory document.				●◇						●◇	Management
III	25.1	Researchers' transfer to Basque Industry in accordance with Decree 109/2015											Management
	28.1	Review of researchers' performance management, training and remuneration.		●		●		●		●		●	Management
	29.1	Review the value of researchers' mobility.		●		●		●		●		●	Management
	30.1	Review the process of Performance Appraisal feedback interviews.		●		●		●		●		●	Management
	30.2/37.1/40.1	Development of a mentoring process according to the People CMM matrix.											Management
	31.1	Review of the Patent Procedure in terms of copyright.											Management
	34.1/35.1	Review of the Communication process.											Management/Inn.Committee
	36.1	Automation of Project audits to detect communication issues in the projects.											Management
IV	36.2	Request for minutes from Department Directors in annual feedback interviews.		●		●		●		●		●	Management
	38.1/39.1	Search for trainers and design of training programmes in several skills for researchers.											Management
All principles		People CMM Matrix Audit		●						●			HR Manager
		Action Plan Monitoring (Internal and External Audits)		●		●		●		●		●	Innovation Committee

(●) Milestones (●◇) Review and benchmarking (¹) Technology Centre

Principle	Action number	Description of the action (Interim Assessment)	2020		2021		2022		2023		Action Leader
			1 st sem	2 nd sem	1 st sem	2 nd sem	1 st sem	2 nd sem	1 st sem	2 nd sem	
I	1.1	Ethical Channel development in the internal ERP.	◊◊								General Management
I	2.2	Implementation of the revised values in the center's policy so that all procedures and tutorials will be developed regarding them, in the next three years.			•		•		•		General Management
I	3.1	Three-monthly awareness capsules using videos, tutorials and trainings on Software Development Protocol.	◊◊		◊◊		◊◊		◊◊		Innovation Committee and General Management
I	3.2	Tutorials and videos according to the values of the centre .	◊◊	◊◊	◊◊	◊◊	◊◊	◊◊	◊◊	◊◊	Innovation Committee and General Management
I	4.1	Development of tutorials and videos on project management, available in real time, every six months as an alternative to seminars.		◊◊		◊◊		◊◊		◊◊	Innovation Committee
I	5.1	Improvement actions for data protection procedures.						◊◊			General Management
I	6.1/9.1	Revision and improvement of the compliance procedures and of the associated ethical channel.						◊◊			General Management
I	6.2	Employees' environmental awareness according to ISO14001						◊◊			General Management
I	6.3	Information security management certification (ISO 27001).		◊◊							General Management
I	7.1	Annual training actions and improvements related to Software Writing Protocol.	•		•		•		•		Ad hoc committee and General Management
I	11.1	Holistic model approach according to career development for researchers as well as staff employees.				◊◊					General Management
I	11.2	Performance Evaluation variables improvement.	•		•		•		•		General Management
II	19.1	Researchers 'performance measurement scientific article				◊◊					General Management
III	25.1	Centre's monitoring through annual Key Performance Indicators.	•		•		•		•		General Management
III	26.1	Professional careers of the Staff Department members revision, according to their functions and Performance Evaluation.				◊◊					General Management
III	28.1/29.1	Publication and/or presentation of scientific articles about the Career Development implementation and results according to employees' job satisfaction, in journals and/or conferences.				◊◊					General Management
III	28.2/29.2/30.1	Publication and/ or scientific articles about Performance Evaluation, in journals and/or conferences.				◊◊					General Management
III	28.2/29.2	International benchmarking regarding the Career Development for R&D professionals.				◊◊					General Management
III	30.2	International benchmarking regarding Key Performance Indicators				◊◊					General Management
IV	37.1/40.1	Monitoring the mentoring process and establish improvement actions, if necessary.						◊◊			General Management
IV	38.1/39.1	Implementation of annual seminars, tutorial and videos about several skills (e.g., leadership, communication, management)				◊◊					General Management

•: annually ◊◊: six-monthly ◊: quarterly •◊: annual/quartely