

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number:

Name Organisation under review: PRINCIPE FELIPE RESEARCH CENTER

Organisation's contact details:

SUBMISSION DATE:

DATE ENDORSEMENT CHARTER AND CODE:

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.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

<p>Status: to what extent does this organisation meet the following principles?</p>	<p>++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented</p>	<p>In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation.</p>	<p>If relevant, list any national/regional legislation or organisational regulation currently impeding implementation</p>
<h3>Ethical and Professional Aspects</h3>			
<p>1. Research freedom</p>	<p>+</p>	<p>GAP: Survey results and other feedback indicate that researchers at the CIPF have full freedom to pursue their research, within potential limits related to ethics and funding constraints. However, the CIPF does not have an explicit institutional statement which recognizes and guarantees research freedom.</p>	<p>Suggestions for improvement: The CIPF is developing a Code of Good Practices for Research that will recognize the concept of research freedom.</p>
<p>2. Ethical principles</p>	<p>-/+</p>	<p>GAP: The CIPF complies fully with national and EU legislation regarding ethical practices in research, animal experimentation, and transparent management of public funds. However, the centre does not have a specific committee of researchers to perform internal review of ethical issues and good research practices.</p>	<p>Suggestions for improvement: The CIPF is developing a Code of Good Practices for Research that will cover ethical principles. A committee for Research Integrity will be created to oversee implementation and review of Code of Good Research Practices in the centre. Periodic, specific training will be provided to researchers on the Code of Good Practices for research and other issues related to ethics.</p>
<p>3. Professional responsibility</p>	<p>+/-</p>	<p>GAP: The CIPF researchers accept responsibility of ensuring that their research is</p>	<p>Suggestions for improvement:</p>

		relevant to the society and does not duplicate other efforts. They also recognize the importance of standards for avoiding plagiarism. The CIPF has a published policy for collaborations and hosting external researchers that clearly governs intellectual property and data ownership.	The emerging institutional Code of Good Practices for Research will explicitly define concepts of professional responsibility related to originality and reproducibility of results, authorship, and plagiarism. Moreover, specific training will be provided to researchers Research Integrity committee.
4. Professional attitude	+/-	GAP: A new five-year strategic plan (2018-2020) was recently adopted with the aim of defining the mission of the center and identifying a series of common goals. This recent plan has been presented publically and researchers are familiar with the strategic goals governing their research environment and funding mechanisms, and seek all necessary approvals before starting their research or accessing the resources provided. However, additional actions were suggested in order to unify the whole research community at the CIPF.	Suggestions for improvement: The new strategic plan will be discussed with all sectors R1 to R4 and is available on the webpage. The CIPF is developing a Code of Good Practices for Research will be widely disseminated to all CIPF researchers.
5. Contractual and legal obligations	+/-	GAP: As a part of the public administration, the CIPF must comply with legal obligations regarding audits and funding reports. Researchers at the CIPF are familiar with the national and institutional regulations governing training and/or working conditions. The HR department provides support and answers to the CIPF personnel. Moreover, the Technology Transfer Office informs researchers regarding the requirements and conditions set by any sponsor or funder, including Intellectual Property Rights. However, researchers identified the need for more administrative support for preparing and	Suggestions for improvement: The CIPF has recently implemented a new software program for management of research foundations. FUNDANET has modules for managing HR, grants, animal experimentation, and research projects. The centre is currently providing training on FUNDANET to researchers. The CIPF will also develop a new Research Support Office for pre- and post-award management of research grants. This initiative is designed to increase success of funding applications and facilitate research activities.

		administering their research projects. management.	
6. Accountability	+	As a part of the public administration, the CIPF must comply with legal obligations regarding transparency, yearly financial audits, and funding reports. Researchers at the CIPF are familiar with the national and institutional regulations governing training and/or working conditions. The CIPF is fully committed to the principles of sound, transparent, and efficient management of public funds. Methods of collection and analysis, the outputs and, where applicable, details of the data are open to internal and external review. Additionally, we regularly hosts events to engage taxpayers in our activities.	The CIPF will continue to promote a culture of individual as well as institutional accountability. To further optimize public resources, the CIPF has recently implemented a new software program for management of research foundations. FUNDANET has modules for managing HR, grants, animal experimentation, and research projects. The centre is currently providing training on FUNDANET to researchers.
7. Good practice in research	+/-	GAP: CIPF researchers recognize and adhere to safe working practices, in line with national legislation. We have an institutional safety officer and a data protection manager. They are also familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and receive training periodically. However, some of the internal procedures are available only in Spanish.	Suggestions for improvement: The CIPF will implement periodic training in laboratory safety practices for research personnel and periodic training for all employees on data protection policies. Given the recent change in EU legislation on data protection (2018), it is necessary to review and update our policies and training in this area. The CIPF will translate into English all the relevant procedures regarding safe working practices, emergency plan, and data protection so that this critical information is accessible to all researchers.
8. Dissemination, exploitation of results	+/-	GAP: Researchers strive to ensure that results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Together with the Technology Transfer Office, senior researchers, take a lead	Suggestions for improvement: The CIPF is developing a Code of Good Practices for Research that will include dissemination and exploitation of research results. The CIPF is assessing institutional policies on Open Access and Open Data

		in ensuring that transfer capacity of results is fully assessed and made accessible to the public in the form of publications or reports.	policy, with the aim of aligning with the EU on these initiatives.
9. Public engagement	+/-	GAP: Researchers take part into public communication activities in a way that their research can be understood by non-specialists, thereby improving the public's understanding of science. While many of these activities are organized on a regular basis, an overall public engagement strategy is lacking,	Suggestions for improvement: Our new five-year strategic plan (2018-2020) emphasizes the need to educate and engage public stakeholders on our research activities, particularly patients in local community. The CIPF is committed to involving citizens in our center and leading a campaign to promote the importance of science in society. Open Science is one means to accomplish this strategic point but we also plan for public forums on specific disease topics and new technological innovations.
10. Non discrimination	+	GAP: The CIPF has just approved an updated Equality Plan that embodies equal access to science. Our previous plan was mainly focused on balancing family and working life whereas the new version more explicitly states our non-discrimination policy.	Suggestions for improvement: The updated Equality Plan states that the CIPF prohibits discrimination 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. To comply with this Equality Plan, the CIPF will align its HR and promotion practices with non-discrimination policy.
11. Evaluation/ appraisal systems	-	GAP: The CIPF does not have an established system for periodic evaluation/appraisal of professional performance of researchers at different stages of their careers. Our new research track system (R1-R4) is based on meeting defined criteria and logically, an appropriate transparent system must be implemented to monitor progress and provide career advice.	Suggestions for improvement: The CIPF will develop institutional guidelines for structured feedback and appraisal of the research track system. Furthermore, an HR tool for annual appraisal of all staff will be developed. The Education Committee will develop specific mechanisms for assessing feedback between supervisors and students and for monitoring progress of doctoral projects. The CIPF is committed to implementation of fair, merit-based, transparent

			mechanisms for evaluated professional development.
Recruitment and Selection			
12. Recruitment	+/-	GAP: While recruitment process at the CIPF usually specifies clearly admission standards there is no explicit regulation about this. There are no measures to facilitate access for disadvantaged groups.	Suggestions for improvement: The CIPF recruitment procedures will be updated in order to improve admission standards and to explicitly adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers.
13. Recruitment (Code)	+/-	GAP: The recruitment procedures at the CIPF are open, efficient, transparent, and based on scientific merit. However, job announcements do not include career development prospects, which are pending of the development of the CIPF Career Development Plan.	Suggestions for improvement: The CIPF is developing the HRS4R track system and a corresponding a Career Development Plan, which will be linked to job advertisements.
14. Selection (Code)	+	Selection committees at the CIPF reflect diverse expertise and competences as they are comprised of personnel from different departments. Some positions may include external, international reviewers through the involvement of the CIPF's Scientific Advisory Board. Gender balance is required.	
15. Transparency (Code)	+	GAP: Information on the recruitment process and the selection criteria are always provided in job announcements so that candidates have a clear concept of how candidates are evaluated. Information about the strengths and weaknesses of their applications is provided by the CIPF when requested by the candidates.	

16. Judging merit (Code)	+	The selection process at the CIPF takes into consideration the whole range of experience of the candidates. While focusing on the achievements and merits as researchers, concepts such as creativity, capacity for teamwork, and problem-solving skills are assessed with in-person interviews. This allows us to evaluate merit qualitatively as well as quantitatively. Different phases of the research track require different performance criteria. Bibliometric indices are not as relevant for early-stage researchers as for principal investigators.	
17. Variations in the chronological order of CVs (Code)	-/+	GAP: The CIPF recognizes that not all researchers have a linear development reflected by a chronological CV. We value life experiences that may temporarily interrupt career progression e.g. maternity and paternity leaves. However, we have no existing HR practices to assess variations in the chronological order of CVs.	Suggestions for improvement: The updated CIPF Equality plan takes into account certain circumstances that would produce variations in the chronological order of the CV. Nevertheless, we will develop a set of recruitment guidelines that specifically governs the evaluation of these aspects in the interview and selection of the candidates. Specific training on OTM-R will be provided to Principal Investigators involved in selection committees.
18. Recognition of mobility experience (Code)	+	GAP: Researchers at the CIPF agree that geographic as well as inter-disciplinary mobility enhances scientific knowledge and professional development. For this reason, various aspects of our new strategic plan focus on international mobility, both outgoing and incoming. The person responsible for carrying out the assessment of this aspect of the CV is the Principal Investigator who view positively international experience.	Suggestions for improvement: The CIPF will promote assessment of mobility in the interview and selection of the candidates. Specific training on OTM-R will be provided to Principal Investigators involved in selection committees. The CIPF will also promote mobility among our researchers, whether as part of the initial research training or a later stage of the research career, or virtual mobility experience.

19. Recognition of qualifications (Code)	+/-	GAP: While academic and professional qualifications, including non-formal qualifications are usually taken into account by the selection committee is not explicitly stated in any internal procedure.	Suggestions for improvement: The CIPF will develop a set of recruitment guidelines that includes the evaluation of these aspects in the interview and selection of the candidates.
20. Seniority (Code)	+/-	GAP: The level of qualifications required is in line with the needs of the positions. However, it is not explicitly stated in any internal procedure.	Suggestions for improvement: The CIPF will develop a set of recruitment guidelines that includes the valuation of these aspects in the interview and selection of the candidates.
21. Postdoctoral appointments (Code)	-/+	GAP: Postdoctoral fellowships are considered advanced training opportunities. Postdoctoral contracts are limited to maximum of 4 years to encourage mobility and are expected to provide additional professional development opportunities for a research. However, postdocs expressed need for career advice and support with placement in other institutes.	Suggestions for improvement: The CIPF will develop and approve a Career Development Plan, which will provide rules and guidelines for the recruitment and appointment of postdoctoral researchers, clearly defining the role and progression of postdoctoral researchers in our track system.
Working Conditions and Social Security			
22. Recognition of the profession	+	The CIPF and its researchers recognize the social, economic, and academic value of scientific research. The CIPF actively promotes the importance of careers in biomedical research as key to advancing in the treatment of human disease.	
23. Research environment	-/+	GAP: The CIPF offers an extensive program for scientific seminars and workshops. However, researchers commented that infrastructure could be better organized, including maintenance of scientific equipment and more frequent training in the use of specialized equipment.	Suggestions for improvement: The CIPF will develop training courses for use of specialized scientific equipment. In addition, the Infrastructure Committee will oversee repair and maintenance of equipment.

		Along different lines, researchers commented on the need for more lounge or study spaces within the centre to facilitate interactions and research activities.	The centre will identify space for a study room(s) and create hang-out spaces where researchers can discuss science in an informal setting.
24. Working conditions	+	GAP: The CIPF provides flexible conditions to enable researchers to balance work with other commitments (care of children, care of elderly, professional development). Our HR practices and Equality Plan present ample options for flexible hours to accommodate personal needs ranging from nursing of infants to pursuit of a master's degree.	
25. Stability and permanence of employment	-/+	GAP: 31% of CIPF researchers have permanent contracts. However, given the recent economic crisis and budget cuts for research, comments at group meetings reflect a concern about future job prospects for researchers on temporary contracts, particularly postdoctoral researchers.	Suggestions for improvement: The CIPF is generating a career development plan, which will include mechanisms for providing career advice and support.
26. Funding and salaries	-/+	GAP: Salary levels at the CIPF are stipulated in the <i>Convenio de Sanidad Privada de la Provincia de Valencia</i> (Private Healthcare Collective Bargaining Agreement). Thus, CIPF researchers recognize that salaries particularly for senior researchers are below other European countries. Researchers recognize that improving salaries will increase competitiveness of the centre.	Suggestions for improvement: CIPF will review the labour categories and research salaries and will publish a well-defined salary table based on HRS4R track program.
27. Gender balance	+	Female researchers account for 66% of the CIPF's staff and the CIPF existing Equality Plan aims at ensuring gender balance at all levels of staff.	The CIPF is firmly committed to equal pay for equal work and to the promotion of women in science. Corrective measures will be applied to eliminate any pay gap based on gender.

28. Career development	-	GAP: The CIPF does not have an existing Career Development Plan.	Suggestions for improvement: The CIPF has already planned to develop and approve a Career Development Plan.
29. Value of mobility	-	GAP: The CIPF recognizes that geographic as well as inter-disciplinary mobility enhances scientific knowledge and professional development. For this reason, various aspects of our new strategic plan focus on international mobility, both outgoing and incoming. Currently, the centre lacks formal mechanisms for promoting mobility of our researchers.	Suggestions for improvement: The CIPF will develop a program to fund outgoing mobility of researchers of all stages. Stays in laboratories outside of Spain will be encouraged. A policy on sabbaticals for senior investigators will be developed. The CIPF is developing collaborative agreements with other research institutes to permit bi-lateral exchange programs for students and postdocs.
30. Access to career advice	-/+	GAP: The CIPF does not provide career advice and job placement assistance. However, the Sponsored Research and Technology Transfer Office provides advice on grants and funding programs to researchers in order to further develop their careers.	Suggestions for improvement: Creation of an internal CIPF committee for Mentoring and Career Advice, composed by senior researchers and representatives at different levels. In addition to scientific and career mentoring, the committee will provide advice and mediation in case of conflicts.
31. Intellectual Property Rights	+	The CIPF internal regulation on IPR ensures that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results.	
32. Co-authorship	-/+	GAP: Co-authorship and independent publishing is viewed positively by CIPF when evaluating staff, as evidence of a constructive approach to the conduct of research. However, there are no institutional rules about that.	Suggestions for improvement: The CIPF is developing a Code of Good Practices for Research that will cover all aspects related to co-authorship and independent publishing.

33. Teaching	+	The CIPF staff is fully devoted to research. Some of them may have, voluntarily, teaching responsibilities in other institutions.	
34. Complains/ appeals	-	GAP: The CIPF lacks of mechanisms to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers.	Suggestions for improvement: Creation of an internal CIPF committee for Mentoring and Career Advice, composed by senior researchers and representatives at different levels. In addition to scientific and career mentoring, this committee will provide advice and mediation in case of conflicts.
35. Participation in decision-making bodies	+	Researchers are involved in all of the committees within the centre. The labor committee also has representation from researchers. The CIPF values the interests and opinions of researchers and believe that involvement of researchers in decision-making bodies is critical to a healthy, productive institute.	
Training and Development			
36. Relation with supervisors	-/+	GAP: While relations between researchers in their training phase and their supervisor uses to be fluent and regular, it is not structured by any institutional policy or practice. Furthermore, the CIPF does not offer a comittee to monitor the interaction between young researchers and their supervisors.	Suggestions for improvement: Creation of an internal CIPF committee for Mentoring and Career Advice, composed by senior researchers and representatives at different levels, which will develop a framework for the relationship between researchers and supervisors.
37. Supervision and managerial duties	+/-	GAP: While senior researchers devote particular attention to their multi-faceted role,	Suggestions for improvement:

		and aim at building up a constructive and positive relationship with the early-stage researchers, there is not any institutional policy or practice about that.	The CIPF has already planned to develop and approve a Career Development Plan, which will include a definition what it means to be a research supervisor and supervision and managerial duties, particularly towards early-stage researchers.
38. Continuing Professional Development	+/-	GAP: While the CIPF provides training tailored to the employees' needs, training opportunities could be further extended.	Suggestions for improvement: The CIPF will update and carry out the Research Development Program in order to improve the skills and abilities of the researchers
39. Access to research training and continuous development	+/-	GAP: While the CIPF provides training tailored to the employees' needs, training opportunities could be further extended.	Suggestions for improvement: The CIPF will update and carry out the Research Development Program in order to improve the skills and abilities of the researchers. Furthermore, the CIPF will organize feedback sessions where a group of experts of the CIPF will provide scientific advice and mentoring for improving researchers professional development.
40. Supervision	+/-	GAP: While all early-stage researchers have a clearly identified supervisor, some of them lack additional supervisors, such as postdoctoral researchers, who can provide support on daily basis.	Suggestions for improvement: The CIPF will develop a mentoring one-to-one program particularly aimed at PhD students but also open to other levels (Postdocs or Junior PIs). Every student should have a personal mentor that will provide feedback on regular basis (e.g. meetings every 6 months) on the progress of the scientific project and working situation. The personal mentor will be a Senior scientist or PI at CIPF independent from the actual supervisor of the PhD student. Furthermore, a common area will be created for informal discussion and interaction between researchers.

--	--	--	--