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# INTERNAL REVIEW- HRS4R

THE HUMAN RESOURCES STRATEGY  
FOR RESEARCHERS INCORPORATING THE CHARTER  
AND CODE

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December 2017 – rev0



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

## TEMPLATE 3: INTERNAL REVIEW

<b>1 ORGANISATIONAL INFORMATION .....</b>	<b>3</b>
<b>2 NARRATIVE .....</b>	<b>4</b>
<b>3 ACTIONS: CIRCE ACTION PLAN .....</b>	<b>7</b>
<b>4 OPEN, TRANSPARENT AND MERIT-BASED RECRUIMENT OF RESEARCHERS OTM-R ..</b>	<b>17</b>
<b>5 IMPLEMENTATION. ....</b>	<b>19</b>

## TEMPLATE 3: INTERNAL REVIEW

**Name Organisation under review:** FUNDACIÓN CIRCE.

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Web-link to published version of organisation's HR Strategy and Action Plan: [www.fcirce.es](http://www.fcirce.es)

Web-link to organisational recruitment policy (OTM-R principles):<sup>45</sup>

[www.fcirce.es](http://www.fcirce.es) --> Employment

**SUBMISSION DATE TO THE EUROPEAN COMMISSION:** 2017, DECEMBER 15<sup>TH</sup>.

### 1 ORGANISATIONAL INFORMATION

Please provide an update of the key figures for your organization. Figures marked \* are compulsory.

\*Note: Information available (31/12/2016).

<b>STAFF &amp; STUDENTS</b>	<b>FTE *Note</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	126 (full time)
Of whom are international (i.e. foreign nationality)	20
Of whom are externally funded (i.e. for whom the organization is host organization)	---
Of whom are women	58
Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	14
Of whom are stage R2 = in most organizations corresponding with postdoctoral level	7
Of whom are stage R1 = in most organizations corresponding with doctoral level	18
Total number of students (if relevant)	11
Total number of staff (including management, administrative, teaching and research staff)	134 (full time)- 5 teachers
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organizational budget	7.511.834 €
Annual organizational direct government funding (block funding, used for teaching, research, infrastructure,...)	-
Annual competitive government-sourced funding (designated for research, obtained in competition with other organizations – including EU funding)	4.358.405 €
Annual funding from private, non-government sources, designated for research	2.714.105 €

<sup>1</sup>

[http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

**ORGANISATIONAL PROFILE** (a very brief description of your organisation, max. 100 words)

CIRCE Foundation was established in 1993 as an independent Research Centre that creates and develops innovative solutions and scientific/technical knowledge and transfers them to the business sector in the field of energy.

The main research topics in CIRCE are: energy efficiency, wind and solar power, natural resources, biomass, electrical substations, smart-grids and storage, thermal power systems and emissions reduction, sustainable mobility and energy socioeconomics.

CIRCE's mission is to drive forward improvements in energy efficiency and to spread the use of renewable energy by means of the development of R+D+i activities and formative actions, thereby contributing to a sustainable development.

## 2 NARRATIVE (max. 2 pages)

To achieve the HRS4R accreditation meant a huge incentive to encourage a cultural change inspired by European Research bases. Since 2015 CIRCE is implementing the 40 principles contained in the European Charter for Researchers besides since 2017 is also applying the OTM-R bases to ensure:

- The generating, transferring, transparency and disseminating of knowledge and technology advances.
- Professional career development of Researchers.
- Open, transparent and merit-bases recruitment (OTM-R) procedures.

Along the last two years, CIRCE has worked in the following main areas:

- Ethical and professional aspects.
- Working conditions and social security.
- Training and development.
- Open, transparent and merit-based recruitment (OTM-R).

It is highlighted that in February 2017 the Aragon Government informed us that CIRCE become to be considered as member of public administration activity sector. This means that CIRCE has also to accomplish with additional rules related to control and information requirements. This new situation implies the following changes in the managing of CIRCE:

- CIRCE is a public entity according to the European system about national and regional accounts of the European Union (SEC2010). This means that CIRCE must apply the Public Sector agreements Law (Spanish Royal Decree-Law 3/2011).
- CIRCE must to ensure the basis of financial caution in all operation in which the level of its doubt be increased.
- CIRCE must to inform periodically to Aragon Government about its financial situation.

This new situation implies that some measures defined in 2015 must be changed and others must be defined (see chapter 3. Actions). It must be highlighted that this new situation doesn't change the scope of CIRCE neither the priorities in the short and medium term.

Both the SWOP analyze and the surveys have been reviewed. It is concluded that both of them are still valid.

CIRCE considers the implementation of the OTM-R as very positive because it ensures the transparency and objectivity in the selection processes. As consequence, new actions (number 29 and 30) to be implemented in the short and medium term have been created.

### **Methodology.**

In some principles CIRCE had to start from scratch however in others it was only necessary to adapt some work procedures that were being already implemented.

The main change has been the creation of working groups in CIRCE organized by topics and actions. These groups are integrated by researchers, administrative and scientific technical support staff members. By means of this open approach both policies and procedures launched from 2015 to 2017 have been assimilated.

To do it, the following three working teams were made:

- Main team. This working team has been the responsible to review not only the Action Plan implementation but also the documentation). This team is constituted by:
  - o Andrés Llombart (Members of CIRCE's Management)
  - o Elena Calvo (The Director of the Internationalisation and Promotion Unit)
  - o Maria Salamero (The Director of the Administration Unit)
  - o Carmen Capablo and Marina Ferrer (Human Resources).
  - o Covadonga Estrada and Javier Fernández (Controlling).
  - o Patricia Martínez (CIRCE's Coordinator for Quality, the Environment and Risk Prevention).
  - o Miguel Gil (Senior researcher)
  - o Sara Olivera and David Rodriguez (Internationalisation and Promotion Unit).
  - o Jorge Bruna (Senior Researchers).
  - o Marcos Franceschini y Erika Laporta (Researchers)
  - o Israel Baigorri, Beatriz Gimeno, Natalia Lapuente Gracia, Javier Morales (Assistant Researchers).
  
- Two supporting teams. This working teams have developed two main activities:
  - o To make the specific activities contained in the Action Plan that were assigned by the main team.
  - o To review the actions made by the other team to define improvement points.

As an example, it is presented the following real case:

- Main team: To order that *Team A* made the CIRCE Management Manual.
- Team A: To plan the elaboration Management Manual and made it.
- Team B: To review the Management Manual made by *Team A* and it also identify improvement points.
- Team A. To review the improvements identified by *Team B* and make the appropriate changes in the Management Manual.
- Main team: To review the Management Manual and it is approved if there are not more improvement points identified.
- Main team: To communicate to all CIRCE staff that the Management Manual is available.

Team A: Formed by 10 employees (6 men and 4 women).

Adrián Alonso (Project manager)  
Eduardo Alcalde. (Project manager)  
Juan Almajano. (Project manager)  
Eva López. (Project manager)  
Juan Manuel Perié (Project manager)  
Aitana Sáez. (Project manager)  
Daniel San Miguel. (Project manager)  
Ana Talayero. (Project manager)  
Mayte Villén. (Project manager)  
Carlos Herce. (Project manager)

Team B: Formed by 10 employees (5 men and 5 women).

Maria Pilar Andrés. (Senior researcher)  
Ignacio Martín (Senior manager)  
Miguel Gil (Senior researcher)  
Laura Giménez (Senior researcher)  
David Llombart (Senior researcher)  
Enrique Morgades (Senior researcher)  
Enrique Telmo (Senior researcher)  
Alicia Valero (Project manager)  
Carmen Capablo (head of Human Resources).  
Marina Ferrer (head of Human Resources).

### 3 ACTIONS: CIRCE ACTION PLAN

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
Action 1) Developing the CIRCE Management Manual.	Initial deadline: Q4 2016 <b>(Extended deadline: Q1 2018)</b>	Administration Staff	Not applicable	It is available a draft but is pending to be approved.
Action 2) Developing the CIRCE Good Practice Manual / Researcher Code.	Initial deadline: Q4 2016 <b>(Extended deadline: Q1 2018)</b>	Administration Staff	Not applicable	It is available a draft but is pending to be approved.
Action 3) List of collaborations/agreements with other institutions.	Implemented (+ quarterly reviews)	Administration Staff	Intranet / No. of inputs listed. <b>2016= 83 inputs</b> <b>2017 = 53 inputs</b>	
Action 4) List of applicable regulations/ standards.	Continuously on going (+ quarterly reviews)	Initial responsible: Human Resources <b>New responsible:</b> <b>Controlling</b>	SIG / No. of inputs listed. <b>2016 = 49 inputs</b> <b>2017= 59 inputs</b>	
Action 5) Technology Watch System.	Implemented Initial deadline: Q4 2016 <b>(Extended deadline: Q4 2018 + annual review)</b>	UIP	Intranet / Compliance with the Technology Watch System.	Technology Watch is done during the process of preparing reports.

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
Action 6) Monitoring the Action Plan's annual objectives.	Implemented (+ annual review)	Management	2017: 100% of compliance with objectives.	It will be considered to improve the template with the aim to get more information (see new action 6.1)
New action: 6.1) To improve the Monitoring the Action Plan's annual objectives.	Q4 2018 (+annual review)	Management	Intranet	Q4. It is available a draft but is pending to be approved
Action 7) End of the timeframe for implementing the effort management tool.	Implemented (+ annual review)	Administration Staff + UIP	No. of projects implemented using the tool. <b>2016:</b> 29 public projects <b>2017:</b> 75 public projects	Implemented the effort management tool.
Action 8) Implementing project sheets.	Initial deadline: Q4 2016 <b>(Extended deadline: Q4 2018)</b> (+ annual review))	Initial responsible: Quality Coordinator + Project Heads. <b>New responsible:</b> Project Heads	No. of projects managed using project sheets. <b>2017:</b> 15 projects	Q3 2017. A new project template is defined. Q4 2017. The new templated is tested in 15 projects.
Action 9) Updating NDA clauses in contracts.	Initial deadline: Q1 2016 <b>(Extended deadline: Q1 2018)</b> (+ annual review))	Human Resources	SIG / No. of new contracts signed. <b>2017:</b> 0	Q1 2017. An external audit. Q2 2017. Audit results and action plan definition. Q4 2017. There are documentation in draft state.



DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
Action 10) Carrying out the intellectual property management procedure.	Initial deadline: Q1 2016 <b>(Extended deadline: Q4 2018 + annual review )</b>	UIP + Management	Intranet / No. of ideas/prototypes assessed internally.	
Action 11) Annual activity report.	Completed (+ annual review)	UIP	Web site/ No. of reports published. <b>2016: 1.</b> <b>2017: 1.</b>	Annual activity report, published in CIRCE's webpage.
Action 12) Drawing up and approving the financial statements.	Completed (+ annual review)	Administration Staff + Management	Not applicable	There is available a tool for an effective monitoring.
Action 13) Developing an internal procedure to govern and manage the Data Protection Act.	Initial deadline: Q1 2016 <b>(Extended deadline: Q1 2018 (+ annual review))</b>	Administration Staff	SIG / No. of issues raised by non-compliance.	Q1 2017. An external audit. Q2 2017. Audit results and action plan definition. Q4 2017. There are documentation in draft state.
Action 14) Developing an electronic media manual.	Initial deadline: Q4 2015 <b>(Extended deadline: Q1 2018 (+ annual review))</b>	Administration Staff	SIG/ No. of issues raised by non-compliance. <b>2017: 0.</b>	Q3 2017. Manual approved on 30/06/2017. Minute nº 64. It is pending to be published to the hole of organization.

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
Action 15) Planning prevention measures for trainee researchers.	Completed	Quality Coordinator + Regional Private Health Insurance (Mutuality of accidents of Zaragoza)	SIG + Intranet / % of compliance with the plan. <b>2017:</b> 100%	Q4 2016. There are available risk assessments to junior researchers. Q4 2017. A new agreement with Regional Private Health Insurance where trainee researchers are included.
Action 16) Controlling and monitoring IT issues.	Initial deadline: Q1 2016 <b>(Extended deadline: Q1 2018</b> (+ annual review))	IT	SIG / No. of IT issues. <b>2017 = 0.</b>	Q1 2017. An external audit. Q2 2017. Audit results and action plan definition. Q4 2017. There are documentation in draft state.
Action 17) Communication plan.	Completed (+annual review)	UIP	Intranet / % of compliance with the communication plan. <b>2017:</b> 90%	
Action 18) Defining capabilities and drawing up a training and performance assessment plan (Directors, Managers, Group Leaders and Project Heads).	Implemented <b>(Extended deadline: Q2 2018)</b>	Management + Human Resources + Quality Coordinator	Intranet / % of compliance with the training plan (hours of training). 2015/2016= 100%: 2017/2018 = 44,44 %	From Q3 2016 training activities are being organized to Directors, Managers, Group Leaders and Project Heads. Satisfactory results, new training groups 2017/2018

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
Action 19) Updating the job profile sheet (including capabilities/skills).	Initial deadline: Q1 2016 <b>(Extended deadline: Q2 2018)</b> (+ annual review))	Quality Coordinator + Prevention Coordinator + Human Resources	Intranet.	Some profile sheets are in draft state. There have been created job positions. (i.e: Area director = Experienced senior research).
Action 20) Encouraging mobility / researcher exchange programmes.	Completed (+ annual review)	Management + Human Resources	Intranet/ SIG No. of days spent abroad by CIRCE researchers. <b>2016</b> =45 days (1 researcher) <b>2017</b> =314 days(3 researchers) No. of days spent abroad by foreign researchers. <b>2016</b> = 45 days (1 researcher) <b>2017</b> = 122days(1 researcher)	There are 2 ITN projects (3 researchers in Awesome and 2 ones in Means4SG). These pre-doctoral researchers are making stays in different countries from project consortium.
Action 21) Salary policy.	Initial deadline:Q4 2017 <b>(Extended deadline: Q1 2019)</b> (+ annual review)	Management + Administration Staff	Intranet / % of compliance salary policy.	Q1 2017 It´s made a salary balance and salary supplements are removed.
Action 22) Including in-house training in the training plan.	Completed (+ annual review)	Management + Human Resources + Quality Coordinator	Intranet / % of compliance with the training plan (hours of training). <b>2017</b> = 718,5 hours	Internal training records in SIG.

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
Action 23) Including a link to the EURAXESS web site on the intranet.	Completed	UIP	Web.	<a href="http://www.fcirce.es/web/page.aspx?id=hrexcellence">www.fcirce.es/web/page.aspx?id=hrexcellence</a>
Action 24) Defining control indicators in publications and monitoring their impact.	Partially finished <b>(Extended deadline: Q4 2018.</b> (+ quarterly reviews)	UIP	Intranet / No. of publications <b>2016</b> = 17 publications <b>2017</b> = 26 publications. Impact of publications. <b>2017</b> : Not available	Papers and publications made by researchers are registered in SIG. It is considered that new indicators should be defined.
Action 25) Defining control indicators in course results.	Completed (+ annual review)	Training	Intranet / No. of courses. <b>2015-2018</b> = 50 courses. No. of hours of training carried out. <b>2015-2018</b> =7035 hours. No. of attendants trained. <b>2015-2018</b> = 708 students.	Information gathering system. New indicators have been defined to university education and other training activities.
Action 26) Work climate survey for all CIRCE Foundation staff.	Completed	Management + Quality Coordinator + Prevention Coordinator	Intranet / Outcome of the climate survey.	It is considered that a new work environment survey must be done.

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
New action: 26.1) New work climate survey for all CIRCE Foundation staff. Assessment of results.	Q3 2017 (+annual review)	Management + Quality Coordinator + Prevention Coordinator	Intranet / Outcome of the climate survey.	Planned for Q1 2018
Action 27) Encouraging inter-discipline work teams.	Continuously on going	UIP + Management	Intranet/ No. of inter-discipline improvement teams. <b>2016</b> = 3 teams <b>2017</b> = 7 teams No. of multi-area projects. <b>2016</b> : 11 projects (8 public + 3 private) <b>2017</b> :17 projects (12 public + 5 private)	The inter-discipline work teams have been consolidated.
Action 28) Defining the catalogue of competencies/skills.	Q3 2018 (+annual review)	Management + Human Resources + Quality Coordinator	Intranet.	It's aligned with actions: 9, 16, 19 and 21.
New action 29) OTM-R policy	Q3 2018	Human Resources	Publish OTM-R policy	Under elaboration.

DELIVERABLE	TIMING	RESPONSIBLE	INDICATOR(S) / TARGET	CURRENT STATUS
New action 30) Internal Guide setting out clear OTM-R OTM-R procedures	Q3 2018	Human Resources	Nº de researchers Nº of employees according to OTM-R Nº of staff members trained to OTM-R Average nº of candidates by job vacancy. <b>2017= 28,82</b> Average nº of candidates from abroad by job vacancy. <b>2017= 2,87</b> Average nº of female candidates by job vacancy. <b>2017= 2,87</b> Average nº of female from abroad candidates by job vacancy.	Under elaboration.

New activities / New deadline

Completed

Monitoring / Continuously on going

	Completed	Q2 2017	Q3 2017	Q4 2017	Q1 2018	Q2 2018	Q3 2018	Q4 2018	Q1 2019	Q2 2019	Q3 2019	Q4 2019	2020
Action 1													
Action 2													
Action 3	Q4 2016												
Action 4	Q4 2016												
Action 5													
Action 6	Q4 2017			Q4 2017									
Action 6.1													
Action 7	Q4 2015												
Action 8													
Action 9													
Action 10													
Action 11	Q4 2016												
Action 12	Q4 2016												
Action 13													
Action 14													
Action 15	Q4 2017			Q4 2017									
Action 16													
Action 17													
Action 18	Q4 2016												
Action 19													
Action 20	Q4 2016												
Action 21													
Action 22	Q4 2017			Q4 2017									
Action 23	Q4 2015												
Action 24													
Action 25	Q1 2016												

	Completed	Q2 2017	Q3 2017	Q4 2017	Q1 2018	Q2 2018	Q3 2018	Q4 2018	Q1 2019	Q2 2019	Q3 2019	Q4 2019	2020
Action 26	Q3 2015												
Action 26.1													
Action 27	Q4 2017												
Action 28													
Action 29													
Action 30													



## 4 OPEN, TRANSPARENT AND MERIT-BASED RECRUITMENT OF RESEARCHERS OTM-R

	Open	Transparent	Merit-based	Answer	
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy on line ( in the national language and in English)?	x	x	x	No	We have not published our OTM-R policy but in CIRCE's web ( <a href="http://www.fcirce.es">www.fcirce.es</a> --> Employment) we publish the reference of the OTM-R's guide.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	Yes partially	We have guidelines to set selection committees, however there are not yet defined in the internal guide. It will be included in the Internal Guide setting out clear OTM-R procedure (view action 30)
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	No	Once the internal guide be finished the training process will be organized.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		Yes	We have published in in the following web pages: Euraxess, Infojobs, LinkedIn, CIRCE's web.
5. Do we have a quality control system for OTM-R in place	x	x	x	Yes partially	We have guidelines for the composition of the selection committees but it is not defined in the internal guide. It will be included in the Internal Guide setting out clear OTM-R procedure (view action 30)
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	Yes partially	We have not published our OTM-R policy but in CIRCE's web ( <a href="http://www.fcirce.es">www.fcirce.es</a> --> Employment) we publish the reference of the OTM-R's guide. View result indicators of action 30.

7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	Yes	We have 2 ITN projects: AWESOME → Turkish woman MEAN4SG → Two men (Italian, Sudanese)
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	Yes.	Abroad women: 2 women researchers and 1 women Project manager.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	X	x	x	Yes partially	We have not published our OTM-R policy but in CIRCE's web (www.fcirce.es --> Employment we publish the reference of the OTM-R's guide.
10. Do we have means to monitor whether the most suitable researchers apply?				No	

Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes	
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a)]	x	x		Yes	
13. Do we make full use of EURAXESS to ensure research vacancies reach a wider audience?	x	x		Yes	
14. Do we make use of other job advertising tools?	x	x		Yes	Infojobs, LinkedIn, CIRCE's web.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b)]	x			Yes	

## 5 IMPLEMENTATION.

We are quite satisfied with the result of the first internal review because a lot of milestone planned in November 2015 have been achieved.

These successful results have been got for the following reasons:

- There have been created multidisciplinary working teams.
- The working teams have understood the 40 rules contained in the European Charter for Researchers and the OTM-R guidelines.
- The action plan has been integrated to que global internal management system (quality, environment and risk prevention) which is certificated by TÜV Rheiland.
- From 2015 to nowadays there have been developed the following activities:
  - Action plan monitoring made by the Main Team.
  - Monitoring of key performance indicator made by the Main Team.
  - Elaboration of annual internal audits to the internal management system (quality, environment and risk prevention) made by the quality, environment and risk prevention CIRCE's coordinator.
  - Elaboration of annual external audits to the internal management system (quality, environment and risk prevention) made by TÜV Rheiland.
  - Frequently communication to CIRCE employees about the state of the process.

In 2017 it was also created a suggestion box where any employee can suggest or report any situation that was in front of the Charter for Researchers basis. Suggestions come to the Main Team where are assessed and in the case that were approved are also incorporated to the action plan.

CIRCE considers that the work methodology described is effective so we will continue achieving the milestones contained in the Action Plan. Moreover we will be ready to pass the new external audit.