
In order to perform the gap analysis for CERN in the framework of the application to the HRS4R Excellence in Research award, the following methodology was followed.

In view of reaching as wide a representation of researchers in the CERN context, a survey was sent on 18 September 2017 to CERN Members of Personnel at all levels within the Organization asking for their personal input on the 40 principles of the EU Charter and Code and their opinion on the extent to which CERN implements them. This was to serve as basis for a subsequent gap analysis with a view to producing an action plan to address relevant points. You will find the content and guidelines for the survey in Annex.

The recipients of the survey were selected randomly from a list of existing Members of the Personnel at all levels, covering the different categories of personnel (covering CERN’s equivalent of levels R1 to R4 – cf. Template 2, part 1. Organizational Information for details), different Departments, as well as a fair gender and nationality representation. This included:

- 26 Doctoral students (PhD researchers, equivalent to R1).
- 40 Fellows on the EU COFUND programmes (Graduate researchers, Masters and PhD levels, equivalent to R2).
- 39 supervisors in the framework of EU COFUND programmes (equivalent to R3).
- 11 senior Members of CERN Staff, equivalent to R4, including members of the Directorate, Members of HR Management Board, Chairperson of Associates and Fellows Committee, Ombud.
- **TOTAL: 116 persons**

45 people responded to the survey, a response rate of 38.8%.

Based on the replies provided, we retained all questions where the option “fully implemented” received a score inferior to 49% (see description of the survey, full survey and responses to the survey below in Annex). 18 points out of the 40 were retained based on this criterion.

These points were brought to a Focus Group to define the corresponding Action Plan, along with an additional two points considered important and of added value to CERN’s application. Objectives were therefore defined for a total of 20 points of the C&C.

**Focus group for the elaboration of the Action Plan:**
The Focus Group comprised 19 junior and senior members of personnel throughout the Organization, nominated by their Department Heads (9 women, 10 men). These people acted on their own personal behalf, duly consulting experts in various domains where applicable to ensure the needs of the different fields were properly represented.
The work of the Focus Group was coordinated by a committee overseeing the EU Excellence in Research Award application. This committee was composed of three members of the HR Department, appointed by the Department Head and approved by the DG.

At a first meeting on 08.03.2018 the Focus Group converged on the objective, methodology and actions, and agreed to review the draft Action Plan proposed by the coordinating committee as a working basis. The Focus Group then provided extensive input which generated ample discussion by email on various specific topics. This was then compiled and discussed in depth at a workshop on 22 March to establish a consolidated and finalized Action Plan approved by all parties. The HR management board was consulted regularly throughout the month-long process. The consolidated Action Plan resulting from the work of the Focus Group was then brought to the CERN EU Steering Committee, composed namely of Directors, Department Heads or their representatives as well as key persons with a strategic or active role in CERN-EU matters, for endorsement and recommendation to the Director General. The DG in turn gave her own endorsement in April 2018. The file was then submitted on 16th April 2018 to Euraxess.

Implementation of the Action Plan and follow up of the work on the Charter and Code:
The community of researchers will be actively involved in the continuous follow-up process of the application and regular revisions of the Action Plan through a dedicated Focus Group composed of researchers of all levels throughout the Organization.

Annex: Content and guidelines provided for the C&C survey:
Recipients of the survey were asked to evaluate to what extent CERN implements each of the 40 principles of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers.

Survey Description:
Welcome to the survey for CERN’s application for the HR Excellence in Research Award. This survey covers the 40 principles of the Charter and Code on which CERN has to position itself in view of performing a gap analysis, which will in turn result in an action plan as the deliverable for the application for the award. To this end, for each principle you will be asked to answer, according to your personal opinion, the following question: “To what extent does CERN implement this principle?” The following replies will be possible:
• + fully implemented,
• +/-: almost but not fully implemented,
• -/+: partially implemented,
• -: insufficiently implemented.
The survey will take between 45 minutes and 1 hour to complete. It is possible to start the survey and return to it later if this is more convenient: every 4 questions, you have the option to 'save and close'. Then simply return to the view responses > overview on the right-hand
side of the survey screen where you will find your response, click 'edit' and resume where you left off. We thank you warmly for your time and collaboration!
3.3. Professional responsibility

To what extent does CERN implement the following principle?

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.

- = fully implemented
  25 (56%)
+/− = almost but not fully implemented
  17 (38%)
*/− = partially implemented
  1 (2%)
− = insufficiently implemented
  1 (2%)
0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.
  1 (2%)
Total: 45

4.4. Professional attitude

To what extent does CERN implement the following principle?

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.

+ = fully implemented
  17 (38%)
+/*− = almost but not fully implemented
  24 (53%)
*/− = partially implemented
  2 (4%)
− = insufficiently implemented
  0 (0%)
0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.
  2 (4%)
Total: 45
5. Contractual and legal obligations

To what extent does CERN implement the following principle?

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. They 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.

<table>
<thead>
<tr>
<th>Option</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ - fully implemented</td>
<td>20 (44%)</td>
</tr>
<tr>
<td>+/- - almost but not fully implemented</td>
<td>17 (38%)</td>
</tr>
<tr>
<td>*/= - partially implemented</td>
<td>5 (11%)</td>
</tr>
<tr>
<td>*= - insufficiently implemented</td>
<td>1 (2%)</td>
</tr>
<tr>
<td>0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>1 (2%)</td>
</tr>
</tbody>
</table>

Total: 45

6. Accountability

To what extent does CERN implement the following principle?

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. 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, the 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.

<table>
<thead>
<tr>
<th>Option</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ - fully implemented</td>
<td>22 (49%)</td>
</tr>
<tr>
<td>+/- - almost but not fully implemented</td>
<td>17 (38%)</td>
</tr>
<tr>
<td>*/= - partially implemented</td>
<td>5 (11%)</td>
</tr>
<tr>
<td>*= - insufficiently implemented</td>
<td>0 (0%)</td>
</tr>
<tr>
<td>0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>1 (2%)</td>
</tr>
</tbody>
</table>

Total: 45
7. Good practice in research

To what extent does CERN implement the following principle?

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 fulfill them at all times.

- = fully implemented
+/- = almost but not fully implemented
-/+ = partially implemented
- = insufficiently implemented
0 = do not have enough information to be able to provide a suitable opinion or answer to this question.

Total: 45

8. Dissemination, exploitation of results

To what extent does CERN implement the following principle?

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.

+ = fully implemented
+/- = almost but not fully implemented
-/+ = partially implemented
- = insufficiently implemented
0 = do not have enough information to be able to provide a suitable opinion or answer to this question.

Total: 45
9. Public engagement

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>22</td>
<td>(49%)</td>
</tr>
<tr>
<td>+/-</td>
<td>12</td>
<td>(27%)</td>
</tr>
<tr>
<td>-/+</td>
<td>10</td>
<td>(22%)</td>
</tr>
<tr>
<td>-</td>
<td>0</td>
<td>(0%)</td>
</tr>
<tr>
<td>0</td>
<td>1</td>
<td>(2%)</td>
</tr>
</tbody>
</table>

Total: 45

10. Non discrimination

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>31</td>
<td>(69%)</td>
</tr>
<tr>
<td>+/-</td>
<td>10</td>
<td>(22%)</td>
</tr>
<tr>
<td>-/+</td>
<td>2</td>
<td>(4%)</td>
</tr>
<tr>
<td>-</td>
<td>1</td>
<td>(2%)</td>
</tr>
<tr>
<td>0</td>
<td>1</td>
<td>(2%)</td>
</tr>
</tbody>
</table>

Total: 45
11. Evaluation/ appraisal systems

To what extent does CERN implement the following principle?

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.

- = fully implemented
16 (36%)
+/- = almost but not fully implemented
15 (33%)
+/ = partially implemented
5 (11%)
- = insufficiently implemented
3 (7%)
0: I do not have enough information to be able to provide a suitable opinion or answer to this question.
6 (13%)

Total: 45

12. PART II: Recruitment and Selection

12. Recruitment

To what extent does CERN implement the following principle?

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of 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.

- = fully implemented
26 (58%)
+/- = almost but not fully implemented
8 (18%)
+/ = partially implemented
4 (9%)
- = insufficiently implemented
1 (2%)
0: I do not have enough information to be able to provide a suitable opinion or answer to this question.
6 (13%)

Total: 45
13. Recruitment

To what extent does CERN implement the following principle?

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 the 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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Number</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully implemented</td>
<td>23</td>
<td>51%</td>
</tr>
<tr>
<td>Almost but not fully implemented</td>
<td>18</td>
<td>40%</td>
</tr>
<tr>
<td>Partially implemented</td>
<td>2</td>
<td>4%</td>
</tr>
<tr>
<td>Insufficiently implemented</td>
<td>1</td>
<td>2%</td>
</tr>
<tr>
<td>Do not have enough information</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Total</td>
<td>45</td>
<td></td>
</tr>
</tbody>
</table>

14. Selection

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Number</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fully implemented</td>
<td>17</td>
<td>38%</td>
</tr>
<tr>
<td>Almost but not fully implemented</td>
<td>12</td>
<td>27%</td>
</tr>
<tr>
<td>Partially implemented</td>
<td>6</td>
<td>13%</td>
</tr>
<tr>
<td>Insufficiently implemented</td>
<td>1</td>
<td>2%</td>
</tr>
<tr>
<td>Do not have enough information</td>
<td>9</td>
<td>20%</td>
</tr>
<tr>
<td>Total</td>
<td>45</td>
<td></td>
</tr>
</tbody>
</table>
15. Transparency

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>17 (38%)</td>
</tr>
<tr>
<td>+/-</td>
<td>12 (27%)</td>
</tr>
<tr>
<td>-/=</td>
<td>4 (9%)</td>
</tr>
<tr>
<td>-</td>
<td>2 (4%)</td>
</tr>
<tr>
<td>0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>5 (11%)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>45</strong></td>
</tr>
</tbody>
</table>

16. Judging merit

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>22 (49%)</td>
</tr>
<tr>
<td>+/-</td>
<td>12 (27%)</td>
</tr>
<tr>
<td>-/=</td>
<td>4 (9%)</td>
</tr>
<tr>
<td>-</td>
<td>0 (0%)</td>
</tr>
<tr>
<td>0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>7 (16%)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>45</strong></td>
</tr>
</tbody>
</table>
17. Variations in the chronological order of CVs

To what extent does CERN implement the following principle?

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 an application is being made.

- + = fully implemented
  17 (38%)
- +/- = almost but not fully implemented
  9 (20%)
- */= = partially implemented
  5 (11%)
- -= = insufficiently implemented
  1 (2%)
- 0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
  14 (31%)

Total: 45

18. Recognition of mobility experience

To what extent does CERN implement the following principle?

Any mobility experience, e.g., a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

- + = fully implemented
  23 (51%)
- +/- = almost but not fully implemented
  8 (18%)
- */= = partially implemented
  10 (22%)
- -= = insufficiently implemented
  1 (2%)
- 0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
  3 (7%)

Total: 45
19. Recognition of qualifications

To what extent does CERN implement the following principle?

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.

- = fully implemented
11 (24%)

+/ - = almost but not fully implemented
13 (29%)

-/- = partially implemented
7 (16%)

- = insufficiently implemented
0 (0%)

0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.
14 (31%)

Total: 45

20. Seniority

To what extent does CERN implement the following principle?

The levels of qualifications required should be in line with the needs of the position and 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.

- = fully implemented
19 (42%)

+/ - = almost but not fully implemented
15 (33%)

-/- = partially implemented
4 (9%)

- = insufficiently implemented
1 (2%)

0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.
6 (13%)

Total: 45
21. Postdoctoral appointments

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>fully implemented</td>
<td>54%</td>
</tr>
<tr>
<td>7</td>
<td>almost but not fully implemented</td>
<td>10%</td>
</tr>
<tr>
<td>4</td>
<td>partially implemented</td>
<td>4%</td>
</tr>
<tr>
<td>1</td>
<td>insufficiently implemented</td>
<td>2%</td>
</tr>
<tr>
<td>0</td>
<td>do not have enough information to be able to provide a suitable opinion or answer to this question</td>
<td>13%</td>
</tr>
</tbody>
</table>

Total: 45

22. Recognition of the profession

To what extent does CERN implement the following principle?

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).

<table>
<thead>
<tr>
<th>Score</th>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>fully implemented</td>
<td>71%</td>
</tr>
<tr>
<td>6</td>
<td>almost but not fully implemented</td>
<td>13%</td>
</tr>
<tr>
<td>4</td>
<td>partially implemented</td>
<td>2%</td>
</tr>
<tr>
<td>1</td>
<td>insufficiently implemented</td>
<td>2%</td>
</tr>
<tr>
<td>0</td>
<td>do not have enough information to be able to provide a suitable opinion or answer to this question</td>
<td>11%</td>
</tr>
</tbody>
</table>

Total: 45
23. Research environment

To what extent does CERN implement the following principle?

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers 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.

- = fully implemented
20 (57%)

+/− = almost but not fully implemented
13 (39%)

−/+ = partially implemented
0 (0%)

− = insufficiently implemented
1 (2%)

0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
1 (2%)

Total: 45

24. Working conditions

To what extent does CERN implement the following principle?

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.

- = fully implemented
18 (40%)

+/− = almost but not fully implemented
17 (38%)

−/+ = partially implemented
0 (0%)

− = insufficiently implemented
1 (2%)

0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
1 (2%)

Total: 45
25. Stability and permanence of employment

To what extent does CERN implement the following principle?

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore 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.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>fully implemented</td>
<td>9 (20%)</td>
</tr>
<tr>
<td>+/-</td>
<td>almost but not fully implemented</td>
<td>17 (39%)</td>
</tr>
<tr>
<td>/+</td>
<td>partially implemented</td>
<td>6 (16%)</td>
</tr>
<tr>
<td>-</td>
<td>insufficiently implemented</td>
<td>2 (4%)</td>
</tr>
<tr>
<td>0</td>
<td>I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>0 (0%)</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>45</td>
</tr>
</tbody>
</table>

26. Funding and salaries

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+</td>
<td>fully implemented</td>
<td>27 (50%)</td>
</tr>
<tr>
<td>+/-</td>
<td>almost but not fully implemented</td>
<td>13 (29%)</td>
</tr>
<tr>
<td>/+</td>
<td>partially implemented</td>
<td>3 (7%)</td>
</tr>
<tr>
<td>-</td>
<td>insufficiently implemented</td>
<td>0 (0%)</td>
</tr>
<tr>
<td>0</td>
<td>I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>2 (4%)</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>45</td>
</tr>
</tbody>
</table>
27. Gender balance

To what extent does CERN implement the following principle?

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.

- = fully implemented
21 (59%)

+/- = almost but not fully implemented
13 (37%)

/> = partially implemented
8 (22%)

< = insufficiently implemented
3 (8%)

0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
0 (0%)

Total: 45

28. Career development

To what extent does CERN implement the following principle?

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.

- = fully implemented
6 (13%)

+/- = almost but not fully implemented
16 (36%)

/> = partially implemented
12 (27%)

< = insufficiently implemented
7 (16%)

0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
4 (9%)

Total: 45
29. Value of mobility

To what extent does CERN implement the following principle?

Employers and/or funders must recognize the value of geographical, intersectoral, 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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ = fully implemented</td>
<td>7</td>
<td>16%</td>
</tr>
<tr>
<td>+/- = almost but not fully implemented</td>
<td>15</td>
<td>33%</td>
</tr>
<tr>
<td>+/- = partially implemented</td>
<td>8</td>
<td>18%</td>
</tr>
<tr>
<td>+ = insufficiently implemented</td>
<td>5</td>
<td>11%</td>
</tr>
<tr>
<td>0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>10</td>
<td>22%</td>
</tr>
<tr>
<td>Total:</td>
<td>45</td>
<td></td>
</tr>
</tbody>
</table>

30. Access to career advice

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Rating</th>
<th>Count</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ = fully implemented</td>
<td>8</td>
<td>18%</td>
</tr>
<tr>
<td>+/- = almost but not fully implemented</td>
<td>15</td>
<td>33%</td>
</tr>
<tr>
<td>+/- = partially implemented</td>
<td>11</td>
<td>24%</td>
</tr>
<tr>
<td>+ = insufficiently implemented</td>
<td>5</td>
<td>11%</td>
</tr>
<tr>
<td>0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.</td>
<td>6</td>
<td>13%</td>
</tr>
<tr>
<td>Total:</td>
<td>45</td>
<td></td>
</tr>
</tbody>
</table>
31. Intellectual Property Rights

To what extent does CERN implement the following principle?

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.

- = fully implemented
+/- = almost but not fully implemented
-/+ = partially implemented
- = insufficiently implemented
0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.

Total: 45

32. Co-authorship

To what extent does CERN implement the following principle?

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).

- = fully implemented
+/- = almost but not fully implemented
-/+ = partially implemented
- = insufficiently implemented
0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.

Total: 45
33. Teaching

To what extent does CERN implement the following principle?

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 that time devoted by senior members of staff to the training of early stage researchers should be 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.

- = fully implemented
+/- = almost but not fully implemented
10 (22%)
-/+ = partially implemented
11 (24%)
- = insufficiently implemented
3 (7%)
0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
8 (18%)
Total: 45

34. Complaints/ appeals

To what extent does CERN implement the following principle?

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombuds-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.

- = fully implemented
28 (62%)
+/- = almost but not fully implemented
11 (24%)
-/+ = partially implemented
0 (0%)
- = insufficiently implemented
0 (0%)
0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
6 (13%)
Total: 45
35. Participation in decision-making bodies

To what extent does CERN implement the following principle?

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.

- = fully implemented
22 (49%)

+/− = almost but not fully implemented
14 (31%)

+/− = partially implemented
3 (7%)

− = insufficiently implemented
1 (2%)

0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.
5 (11%)

Total: 45

36. PART IV: Training and Development

36. Relation with supervisors

To what extent does CERN implement the following principle?

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.

- = fully implemented
21 (47%)

+/− = almost but not fully implemented
13 (29%)

+/− = partially implemented
8 (18%)

− = insufficiently implemented
1 (2%)

0 - I do not have enough information to be able to provide a suitable opinion or answer to this question.
2 (4%)

Total: 45
37. 37. Supervision and managerial duties

To what extent does CERN implement the following principle?

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 the researchers’ careers.

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>✅ = fully implemented</td>
<td>20 (44%)</td>
</tr>
<tr>
<td>✅/ = almost but not fully implemented</td>
<td>13 (29%)</td>
</tr>
<tr>
<td>✅/= = partially implemented</td>
<td>9 (20%)</td>
</tr>
<tr>
<td>✅/ = insufficiently implemented</td>
<td>0 (0%)</td>
</tr>
<tr>
<td>0 = I do not have enough information to be able to provide a suitable opinion or answer to this question</td>
<td>3 (7%)</td>
</tr>
<tr>
<td>Total: 45</td>
<td></td>
</tr>
</tbody>
</table>

38. 38. Continuing Professional Development

To what extent does CERN implement the following principle?

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.

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>✅ = fully implemented</td>
<td>30 (67%)</td>
</tr>
<tr>
<td>✅/ = almost but not fully implemented</td>
<td>10 (22%)</td>
</tr>
<tr>
<td>✅/= = partially implemented</td>
<td>3 (7%)</td>
</tr>
<tr>
<td>✅/ = insufficiently implemented</td>
<td>1 (2%)</td>
</tr>
<tr>
<td>0 = I do not have enough information to be able to provide a suitable opinion or answer to this question</td>
<td>3 (7%)</td>
</tr>
<tr>
<td>Total: 45</td>
<td></td>
</tr>
</tbody>
</table>
39. Access to research training and continuous development

To what extent does CERN implement the following principle?

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

- fully implemented
  26 (38%)
-/+ = almost but not fully implemented
  17 (27%)
/+ = partially implemented
  1 (2%)
= = insufficiently implemented
  0 (0%)
0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
  1 (2%)
Total: 45

40. Supervision

To what extent does CERN implement the following principle?

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.

- fully implemented
  27 (60%)
-/+ = almost but not fully implemented
  11 (24%)
/+ = partially implemented
  4 (9%)
= = insufficiently implemented
  1 (2%)
0 = I do not have enough information to be able to provide a suitable opinion or answer to this question.
  2 (4%)