

## TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review: INSTITUT CATALÀ DE PALEONTOLOGIA MIQUEL CRUSAFONT (ICP)

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Web link to published version of organisation's HR Strategy and Action Plan: <http://hrs4r.icp.cat/>

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### 1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked \* are compulsory.

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	29
Of whom are international (i.e. foreign nationality)	2
Of whom are externally funded (i.e. for whom the organisation is host organisation)	13
Of whom are women	8
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	12
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	7
Of whom are stage R1 = in most organisations corresponding with doctoral level	10
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	49
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	1.677.000€
Annual organisational direct government funding (designated for research)	1.043.000€
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	511.000€
Annual funding from private, non-government sources, designated for research	123.000€
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p>The Institut Català de Paleontologia Miquel Crusafont is a public research institute that has the Generalitat de Catalunya (Catalonia's regional government, Spain) and the Universitat Autònoma de Barcelona as patrons. It is a non-profit foundation, included in the CERCA Institution (Research Centers of Catalonia) and endowed with public funds to perform research in vertebrate paleontology at the highest international level, as well as to promote the conservation and dissemination of Catalonia's paleontological heritage. The staff is composed of ca. 50 people (researchers, technicians and administrative staff), including a Director and a General Manager with executive powers delegated by the patrons.</p>	

## 2. NARRATIVE (MAX. 2 PAGES)

**Introduction.** The ICP is the heir of a long tradition in vertebrate paleontology research in Catalonia, and the successor of the Institut de Paleontologia de Sabadell founded by M. Crusafont in 1969. As currently conceived, the ICP was established in 2006 in the framework of the CERCA Programme from the Catalan government, being subsequently incorporated into the CERCA institution when it was created in 2010. Like other CERCA centers, the ICP is an autonomous research institute with scientific excellence as its main objective. It is supervised by its patrons and an external Scientific Advisory Board, and guided by a Director that plans the scientific policy and strategic goals. The policy devised by the founding Director (S. Moyà-Solà) has been extremely successful in terms of research. However, the short history of the modern ICP, coupled with budget cuts since 2012 (due to the global financial crisis), have precluded the implementation human resources policies for researchers. Following the endorsement of the Charter and the Code in December 2016, in April 2017 a new ICP Director (D.M. Alba) was appointed, being strongly determined to implement HRS4R during the next years. The current strengths and weaknesses of the current policy and practice of the ICP, in relation to the four thematic headings of the Charter and Code, are summarized below.

**Ethical and professional aspects.** Most of the principles related to ethical and professional aspects of are almost but not fully implemented at the ICP, because current practices are generally correct, despite the fact that they have not been explicitly communicated to researchers. The two less-implemented principles are those related to contractual/legal obligations (in relation to intellectual property) and the evaluation/appraisal of researchers. Thus, ICP researchers are generally ignorant about relevant legislation on intellectual property rights, and no formal mechanisms are currently established at the ICP to evaluate researchers hired with its own funds (during either recruitment or internal promotion). These aspects could be more fully implemented by means of providing researchers with a manual of best practices in research, intellectual property and scientific authorship (of mandatory use), as well as by establishing a protocol for the evaluation of researchers. Most of the remaining principles are relatively easy to fully implement, either by improving researchers' access to some external documents (the statutes and the code of good practices of the Universitat Autònoma de Barcelona, and the CERCA Conduct Code, once it is approved), or by writing and publicizing particular documents (a welcome handbook, a definition of professional categories, and a series of protocols). Other documents (strategic plan, transparency webpage, information systems security document, equality plan, etc.) are already accessible and need only to be updated.

**Recruitment and selection.** This set of principles is the one that requires most attention at the ICP. A few principles (related to variations in the chronological order of CVs, qualifications, mobility experience, and seniority) are already correctly applied, and need only be explicitly included in the above-mentioned protocol for the evaluation of researchers. In contrast, the remaining principles, related to recruitment and selection, are only partially or even insufficiently implemented. This means that the whole ICP recruitment policy must be deeply rethought, so as to be based on transparent mechanisms and explicit evaluation criteria. This is particularly true when hiring is based on the ICP's own budget, since the situation is better when competitive funds are involved (given the mechanisms already established by external funding agencies). The new recruitment policy of the ICP should include the creation of selection/evaluation committees and explicit guidelines about how different kinds of merits are evaluated. Besides writing an evaluation protocol and performing other related actions (explicitly defining professional categories and internationally publicizing new

positions), it will be necessary to write and disseminate among researchers a manual with the ICP strategy for the professional development of researchers. Particular emphasis should be put on the conditions to transition from being a dependent postdoc (R2) to an independent researcher (R3).

**Working conditions and social security.** Among the principles included in this category, only research environment appears fully implemented. Access to career advice, working conditions, and stability of employment (given the limitations upon predoc and postdoc positions in this sector) are good in overall terms and only require slight implementation by means of several actions already reported in the preceding section. Several initiatives are already under way to facilitate the conciliation of family and professional life (leaves of absence, teleworking...), but they need to be better publicized among researchers. The current sex ratio at the ICP is quite balanced, 53% men (26) and 47% women (23), and several planned initiatives (improving the current equality plan, more transparent recruitment mechanisms) intend to promote gender balance even further. However, these are unlikely to solve the more marked disequilibrium towards men in executive positions on the mid term. Merits such as mobility and teaching are well recognized, as it is coauthorship, although this largely owes to longstanding intuitive practices rather than to any specific document providing researchers with specific guidelines. All the aspects mentioned above can be readily implemented more fully by means of various manuals and protocols mentioned in the preceding sections (manual of good practices in research and authorship, welcome handbook, improved equality plan, and protocol for the evaluation of researchers). In contrast, recognition of the profession and career development are only partially implemented at the ICP, as best exemplified by the very blurry distinction between R2 and R3 researchers. This requires a better definition of professional categories, the establishment of a Head of Human Resources (currently lacking as such at the ICP), and developing an explicit strategy for the professional development of researchers. Something similar applies to salaries: while social security provisions are completely satisfactory, salaries have not improved for many years (indeed, they were reduced during the crisis and have not recovered afterward) and they do not always agree with the de facto professional category of some R3 researchers. Accordingly, most of the salaries need to be implemented to some extent and put in agreement with better defined professional categories, at least as soon as the financial conditions of the ICP enable to do so. Intellectual rights are another delicate issue to be significantly implemented. This is because researchers are very zealous of their data and often remain unaware that all the documents and files produced by them are in fact property of the ICP, without prejudice of their authorship and intellectual property rights. This needs to be solved by means of a manual that clarifies the rights and obligations of both researchers and the institution regarding intellectual property. In turn, the participation of researchers in ICP decision-making bodies is insufficient. This needs to be solved, not only by maintaining the current Researchers Commission and the recently created Steering Committee, but also by establishing periodical coordination meetings, where both researchers and technicians are represented. Finally, the ICP lacks any formal complaints/appeals procedures. These need to be established by designating two ombudspersons.

**Training and development.** None of the principles included in this section are fully implemented. The supervision of young researchers in training phase is generally satisfactory, but it can be slightly improved further by means of writing protocols for the professional development of researchers and their internal evaluation, as well as by establishing periodical mechanisms to improve communication between young and other more senior researchers. The training and continuous development of researchers can be also improved by extending the type of courses currently offered to them.

### 3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

**Table**

<b><i>Title action</i></b>	<b><i>Timing (at least by year's quarter/semester)</i></b>	<b><i>Responsible Unit</i></b>	<b><i>Indicator(s) / Target(s)</i></b>
1. Upload UAB & CERCA documents to the ICP website	1Q 2018	Communication & Scientific Dissemination Area	Documents available from the ICP website and emailed to personnel
2. Update the Strategic Plan	4Q 2018	Director	Updated document available from the ICP website, emailed to personnel, and approved by the Board of Patrons
3. Manual of Best Practices in Research, Intellectual Property and Scientific Authorship	4Q 2019	Steering Committee & Researchers Commission	Document available from the ICP website, emailed to researchers and technicians, and approved by the Board of Patrons; receipts of the manual signed by staff researchers and technicians
4. Protocol for Invasive and Destructive Analyses of Fossils	1Q 2019	Collections Management and Preparation & Conservation Areas	Internal document available and emailed to researchers and technicians; receipts of the protocol signed by staff researchers and technicians
5. Welcome Handbook	2Q 2019	Projects Area	Internal document available and emailed to personnel and visiting researchers
6. Protocol for Funding Request	4Q 2018	Projects Area	Internal document available and emailed to researchers
7. Transparency webpage and internal communication	1Q 2018	Communication & Scientific Dissemination Area	Relevant documents periodically updated on the webpage; quarterly electronic newsletter sent to personnel; email internal communiqués to personnel
8. Protocol for Fund Expenditure Accountability	2Q 2018	Administration Area	Internal document available and emailed to researchers and technicians
9. Safety and prevention training	4Q 2019	Management & Human Resources Department	Progressively increase the number of personnel attending the training sessions
10. Update the internal Information Systems Security Document	3Q 2019	Information Systems Security Committee	Updated internal document available and approved by the Steering Committee
11. Improve and translate the Plan of Equal Opportunities and Diversity Management	2Q 2020	Non-Discrimination Committee	Updated document approved by the Steering Committee, available from the ICP website and emailed to personnel; minutes of the Non-Discrimination Committee meetings (at least quarterly)
12. Establish a Non-discrimination Committee	1Q 2018	Steering Committee	Minute of the Steering Committee meeting approving the creation of the Non-Discrimination Committee

13. Improve and translate the Guide of Prevention and Action in Case of Gender Violence	4Q 2020	Non-Discrimination Committee	Expanded and translated version of the document available from the ICP website and emailed to personnel
14. Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians	2Q 2018	Steering Committee, Management & Human Resources Department, and Researchers Commission	Document approved by the Steering Committee and Researchers Commission, available from the ICP website, and emailed to researchers
15. Definition of professional categories	3Q 2018	Steering Committee and Management & Human Resources Department	Internal document draft elaborated by the Steering Committee with the help of the Management & Human Resources Department, to be subsequently incorporated in the "ICP Strategy for the Professional Development of Researchers" document
16. Strategy for the Professional Development of Researchers	4Q 2019	Director, Projects Area, and Researchers Commission	Document approved by the Steering Committee, available from the ICP website, emailed to researchers, and approved by the Board of Patrons
17. Publicize positions at an international level	4Q 2018	Communication & Scientific Dissemination Area and Management & Human Resources Department	Job announcements approved by the Steering Committee and publicized through the ICP website, Euraxess and international mailing lists; minutes of the corresponding ad hoc Selection Committees established; progressive increase in the number of visits to the "Work with us" webpage of the ICP
18. Implementation of new organigram with Management & Human Resources Department	2Q 2018	Director	Document with new organigram approved by the Steering Committee, available from the ICP website, emailed to personnel, and approved by the Board of Patrons
19. Basic instructions for travelling abroad	3Q 2018	Management & Human Resources Department	Internal document approved by the Steering Committee and emailed to personnel
20. Complaints protocol	2Q 2018	Projects and Communication & Scientific Dissemination Areas	Internal document approved by the Steering Committee and emailed to personnel; two ombudspersons designated; training courses about conflict resolution performed by the ombudspersons
21. Steering Committee	2Q 2018	Director	Document with new organigram approved by the Steering Committee, available from the ICP website, emailed to personnel, and approved by the Board of Patrons; minutes of the Steering Committee meetings (at least monthly)
22. Coordination Meetings	1Q 2018	Director	Minute of the Steering Committee meeting in which periodicity of coordination meetings is established; minutes of the coordination meetings (at least

			quarterly)
23. Researchers Commission	1Q 2018	Steering Committee	Minute of the Steering Committee meeting in which periodicity of coordination meetings is established; minutes of the Researchers Commission meetings (at least quarterly)
24. Organization of talks	1Q 2018	Communication & Scientific Dissemination Area	Posters announcing the paleovermuts (monthly)
25. Free language courses and other types of training	1Q 2018	Projects Area	Internal records of the courses offered to and performed by the ICP personnel; progressive increase on the mid term

### Extended action plan

#### **Action 1: Upload UAB & CERCA documents to the ICP website**

Timing: 1Q 2018.

Description: To make the Statutes of the UAB and the Code of Good Practices in Research of the UAB available to ICP researchers through the ICP website, and to further publicize the CERCA Conduct Code draft among ICP staff once its final version is approved (principles 1-3, 5, 9, 27, 31-32 & 34).

Responsible Unit: Communication & Scientific Dissemination Area (Outreach & Communication Department).

Indicator(s)/Target(s): Documents available from the ICP website and emailed to personnel.

#### **Action 2: Update the Strategic Plan**

Description: To update the ICP Strategic Plan (2010-2013) available from the ICP website, stating the aims and scope of the various ICP research groups (principles 1 & 4) and more explicitly recognizing the significance of teaching and supervision (principle 33).

Timing: 4Q 2018.

Responsible Unit: Director.

Indicator(s)/Target(s): Updated document available from the ICP website and emailed to personnel, and approved by the Board of Patrons.

#### **Action 3: Manual of Best Practices in Research, Intellectual Property and Scientific Authorship**

Description: To write an "ICP Manual of Best Practices in Research, Intellectual Property and Scientific Authorship", specifying (a) the ethical principles and legal regulations specific to paleontology and the ICP protocols to comply with them (principle 2); (b) the rights and obligations of the ICP and its personnel regarding intellectual property, industrial property and scientific authorship (principles 3 & 5); (c) the obligation by researchers to ensure the safeguard of their data by means of standard protocols (principle 7); including (d) a specific protocol that explains how and when should the ICP Communication Department be contacted by researchers to ensure that their research activities are adequately publicized to the society (principle 9); (e) encouraging researchers to disseminate their research results as well as to explore its possible applications, by means of including a protocol on knowledge transfer (principle 8); and in which (f) the principle of professional recognition is explicitly explained and promoted (principle 22); (g) the rights and obligations of both researchers and the ICP in these matters are exposed, and explicit guidelines for researchers are

provided (principle 31); and (h) the rights and obligations of both researchers and the ICP with regard to scientific authorship are clearly stated (principle 32). This manual should be compulsory for all ICP staff performing research.

Timing: 4Q 2019.

Responsible Unit: Steering Committee & Researchers Commission.

Indicator(s)/Target(s): Document available from the ICP website, emailed to researchers and technicians, and approved by the Board of Patrons; receipts of the manual signed by staff researchers and technicians

#### **Action 4: Protocol for Invasive and Destructive Analyses of Fossils**

Description: To write an “ICP Protocol for Invasive and Destructive Analyses of Fossils” to facilitate this kind of research while complying with the current Catalan legislation on paleontological heritage (principle 2).

Timing: 1Q 2019.

Responsible Unit: Collections Management and Preparation & Conservation Areas (Research Support & External Services Department).

Indicator(s)/Target(s): Internal document available and emailed to researchers and technicians; receipts of the protocol signed by staff researchers and technicians

#### **Action 5: Welcome Handbook**

Description: To write an “ICP Welcome Handbook” for new employees, providing guidelines for practical issues such as: ethics in research, strategic goals, accountability, non-discrimination, internal evaluation and career development, working conditions, professional categories, complaints/appeals, organization chart with updated contact details of responsables of particular tasks, ICP committees and commissions, and continuous training (principles 2, 4, 6, 7, 10, 11, 22, 24-26, 28, 34, 35, 38, 39).

Timing: 2Q 2019.

Responsible Unit: Projects Area (Research Support & External Services Department).

Indicator(s)/Target(s): Internal document available and emailed to personnel and visiting researchers.

#### **Action 6: Protocol for Funding Request**

Description: To write an “ICP Protocol for Funding Request”, detailing the funding mechanisms available to ICP researchers and the approvals required by them before application (principle 4).

Timing: 4Q 2018.

Responsible Unit: Projects Area (Research Support & External Services Department).

Indicator (s)/Target(s): Internal document available and emailed to researchers.

#### **Action 7: Transparency webpage and internal communication**

Description: To officially designate the ICP employee in charge of regularly updating the documents available from the ICP Transparency webpage and automatically communicating such changes to all the personnel from the ICP (principle 6). These documents should be made available also in the Spanish and English versions of the ICP website.

Timing: 1Q 2018.

Responsible Unit: Communication & Scientific Dissemination Area (Outreach & Communication Department).

Indicator(s)/Target(s): Relevant documents periodically updated on the webpage; quarterly electronic newsletter sent to personnel; email internal communiqués to personnel.

**Action 8: Protocol for Fund Expenditure Accountability**

Description: To write an internal “ICP Protocol for Fund Expenditure Accountability”, including all the necessary templates to facilitate to ICP staff the correct justification of research expenses (principle 6).

Timing: 2Q 2018.

Responsible Unit: Administration Area (Management & Human Resources Department).

Indicator(s)/Target(s): Internal document available and emailed to researchers and technicians

**Action 9: Safety & prevention training**

Description: To encourage the ICP personnel to attend training sessions in safety at work and prevention of occupational hazards.

Timing: 4Q 2019.

Responsible Unit: Management & Human Resources Department.

Indicator(s)/Target(s): Progressively increase the number of personnel attaining the training sessions

**Action 10: Update the internal Information Systems Security Document**

Description: To update the internal “Information Systems Security Document” of the ICP in the light of the new European regulation of personal data protection, including a protocol aimed to implement mechanisms for safe data access and storage among ICP researchers and technicians (principle 7).

Timing: 3Q 2019.

Responsible Unit: Information Systems Security Committee.

Indicator(s)/Target(s): Updated internal document available and approved by the Steering Committee.

**Action 11: Improve and translate the Plan of Equal Opportunities and Diversity Management**

Description: To improve, expand and translate into English the current ICP Plan of Equal Opportunities and Diversity Management, aiming to (a) promote equality in racial, ethnic or birth origin, gender, sexual orientation, religion or beliefs, political opinion, disability, age, or any other condition personal or social circumstances (principle 10); and (b) promote equality and strengthen gender balance at selection and evaluation committees (principles 14 & 27) as well as supervisory, managerial and decision-making bodies of ICP (principle 27). This includes initiatives to facilitate the combination of family and professional life (principle 24).

Timing: 2Q 2020.

Responsible Unit: Non-Discrimination Committee.

Indicator(s)/Target(s): Updated document approved by the Steering Committee, available from the ICP website and emailed to personnel; minutes of the Non-Discrimination Committee meetings (at least quarterly).

**Action 12: Establish a Non-discrimination Committee**

Description: To transform the Equality Plan Committee that redacted the original plan into a Non-discrimination Committee that intends to further improve it and looks after its correct application.



Timing: 1Q 2018

Responsible Unit: Steering Committee.

Indicator(s)/Target(s): Minute of the Steering Committee meeting approving the creation of the Non-Discrimination Committee.

**Action 13: Improve and translate the Guide of Prevention and Action in Case of Gender Violence**

Description: To improve, expand and translate into English the current ICP Guide for the Prevention and Action in Case of Gender Violence, aiming to avoid these conflicts and facilitate their management if they exist (principle 10).

Timing: 4Q 2020.

Responsible Unit: Non-Discrimination Committee.

Indicator(s)/Target(s): Expanded and translated version of the document available from the ICP website and emailed to personnel.

**Action 14: Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians**

Description: To establish a transparent and publicly accessible “ICP Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians” that (a) specifies the periodicity and criteria of evaluation, the rules governing the configuration of Evaluation and Selection Committees (depending on professional category; principles 11 & 14); (b) the selection criteria depending on type of positions as well as the rules governing the configuration of Selection Committees (principle 15), (c) criteria to be considered in the evaluation of researchers and the selection of candidates during recruitment (including, besides bibliometric indices and quality of publications, supervision and teaching, fieldwork, international visibility and mobility, fundraising, outreach activities, knowledge transfer and experience in the business sector, and management) (principle 16); (d) the criteria to be considered in the evaluation of researchers and the selection of candidates during recruitment, as well as the rules according to which the different types of merits will be assessed (principle 19); (e) the merits to be taken into account (principle 13); (f) the consequences of a positive or negative evaluation (also in relation to internal promotion; principles 11 & 14); that (g) clearly establishes the selection procedures for all ICP personnel (hired with either competitive or non-competitive funds) and which details the minimum requirements of academic degrees and the merits that should be considered for each type of job (in agreement with the Code in the case of researchers and technicians; principle 12); which asserts that (h) variations in the chronological order of CVs will not be penalized (principle 17); (i) mobility experience is a merit to be taken into account in the evaluation of ICP researchers and the selection of new researchers during recruitment processes (principles 18 & 29); (j) seniority will be taken into account not only in recruitment selection processes, but also during the internal evaluation of ICP researchers (principle 20); (k) the maximum duration of postdoctoral contracts at the ICP and formal guidelines for the recruitment of postdocs (principle 21); (l) which takes into account gender parity with regard to both the selection process and the composition of the selection committees (principle 27); (m) which is in accordance with the principles implemented in the “ICP Strategy for the Professional Development of Researchers” (principle 28); and (n) which explicitly recognizes the values of teaching and supervision activities (principle 33) and of supervision, mentoring and leadership activities (principle 37).

Timing: 2Q 2018.

Responsible Unit: Steering Committee, Managements & Human Resources Department, and

Researchers Commission.

Indicator(s)/Target(s): Document approved by the Steering Committee and Researchers Commission, available from the ICP website, and emailed to researchers

**Action 15: Definition of professional categories**

Description: To define the ICP professional categories and evaluate current ICP salaries in relation to those in other CERCA research institutions (principles 11, 13, 22, 25-26 & 28).

Timing: 3Q 2018.

Responsible Unit: Steering Committee and Management & Human Resources Department.

Indicator(s)/Target(s): Internal document draft elaborated by the Steering Committee with the help of the Management & Human Resources Department, to be subsequently incorporated in the “ICP Strategy for the Professional Development of Researchers” document.

**Action 16: Strategy for the Professional Development of Researchers**

Description: To develop and write an “ICP Strategy for the Professional Development of Researchers”, to be distributed among the ICP researchers and technicians, as well as to candidates to be hired by the ICP (principles 13, 15 & 28), to further promote the continuous development of ICP researchers (principles 38 and 39), and establishing inter alia (a) the conditions to be met for transitioning from dependent postdoc to independent researchers (principles 21 & 25) and (b) the several categories of researchers and technicians officially recognized at the ICP (principle 22); (c) taking into account the value of mobility (principle 29); (d) outlining the different professional paths available to ICP researchers and candidates for recruitment (principle 30); (e) explicitly mentioning teaching and supervision activities (principle 33); (f) in which in which the supervision roles expected for each professional category are specified (principle 36); (g) which explicitly mentions supervision, mentoring and leadership activities (principle 37); and (h) in which the supervision roles expected for each professional category are specified (principle 40).

Timing: 4Q 2019.

Responsible Unit: Director, Projects Area (Research Support & External Services Department) and Researchers Commission.

Indicator(s)/Target(s): Document approved by the Steering Committee, available from the ICP website, emailed to researchers, and approved by the Board of Patrons.

**Action 17: Publicize positions at an international level**

Description: To improve coordination between the Head of Human Resources and the Head of Communication of the ICP with regard to recruitment, to ensure that open positions at the ICP are adequately publicized, by means of the ICP webpage as well as other available instruments (such as the pan-European Researcher’s Mobility Portal), so as to ensure their maximum diffusion at an international level (principle 13).

Timing: 4Q 2018.

Responsible Unit: Communication & Scientific Dissemination Area (Outreach & Communication Department) and Management & Human Resources Department

Indicator(s)/Target(s): Job announcements approved by the Steering Committee and publicized through the ICP website, Euraxess and international mailing lists; minutes of the corresponding ad hoc Selection Committees established; progressive increase in the number of visits to the “Work with us” webpage of the ICP

**Action 18: Implementation of new organigram with Management & Human Resources Department**

Description: To modify the ICP Organigram, in order to create a Department of Management and Human Resources that officially recognizes the role of the General Manager as the Head of Human Resources, as well as to further implement the “ICP Strategy for the Professional Development of Researchers” (principles 28 & 30).

Timing: 2Q 2018.

Responsible Unit: Director.

Indicator(s)/Target(s): Document with new organigram approved by the Steering Committee, available from the ICP website, emailed to personnel, and approved by the Board of Patrons.

**Action 19: Basic instructions for traveling abroad**

Description: Develop and make known to all ICP staff all the basic instructions on the various issues that have to be taken into account before traveling abroad (principle 29).

Timing: 3Q 2018.

Responsible Unit: Management & Human Resources Department.

Indicator(s)/Target(s): Internal document approved by the Steering Committee and emailed to personnel.

**Action 20: Complaints protocol**

Description: To write a document stating what the procedure would be in case of a complaint, as well as designating two ombudspersons within our organization to mediate in work-related conflicts (principle 34).

Timing: 2Q 2018.

Responsible Unit: Projects Area (Research Support & External Services Department) & Communication & Scientific Dissemination Area (Outreach & Communication Department).

Indicator(s)/Target(s): Internal document approved by the Steering Committee and emailed to personnel; two ombudspersons designated; training courses about conflict resolution performed by the ombudspersons.

**Action 21: Steering Committee**

Description: To implement the recent changes in the ICP organigram, which includes the recently created Steering Committee (including the Director, General Manager, and Heads of Department), with mandatory meetings of a predeterminate periodicity, in order to more actively participate in consultation and decision-making (principle 35).

Timing: 2Q 2018.

Responsible Unit: Director.

Indicator(s)/Target(s): Document with new organigram approved by the Steering Committee, available from the ICP website, emailed to personnel, and approved by the Board of Patrons; minutes of the Steering Committee meetings (at least monthly).

**Action 22: Coordination Meetings**

Description: To establish the periodicity of Coordination Meetings, in order to facilitate the periodical exchange of ideas between Heads of technical and managerial Areas and the members of the Steering Committee of the ICP (principle 35).

Timing: 1Q 2018.

Responsible Unit: Director.

Indicator(s)/Target(s): Minute of the Steering Committee meeting in which periodicity of coordination meetings is established; minutes of the coordination meetings (at least quarterly)

**Action 23: Researchers Commission**

Description: To maintain the currently-established Researchers Commission, including at least a representative of the four researchers levels recognized by the EU, beyond the implementation of the HRS4R Action Plan, to provide advice the ICP Steering Committee in matters relevant to researchers (principle 35).

Timing: 1Q 2018.

Responsible Unit: Steering Committee.

Indicator(s)/Target(s): Minute of the Steering Committee meeting in which periodicity of coordination meetings is established; minutes of the Researchers Commission meetings (at least quarterly).

**Action 24: Organization of talks ('Paleovermut's initiative')**

Description: To make it mandatory for PhD candidates at the ICP to report at least once a year the progress of their research to other ICP researchers by means of talks in the framework of the ICP Paleovermut's initiative (public talks organized for the ICP, in which personnel from or visiting the institution perform a talk followed by informal discussion accompanied by snacks and beverages) (principle 36).

Timing: 1Q 2018.

Responsible Unit: Communication & Scientific Dissemination Area (Outreach & Communication Department).

Indicator(s)/Target(s): Posters announcing the paleovermutts (monthly)

**Action 25: Free language courses and other types of training**

Description: To extend the type of courses currently offered for free to ICP personnel, including their extension, the covered topics (other than language courses), and the types of courses (including e-learning) (principles 38 and 39).

Timing: 1Q 2018.

Responsible Unit: Projects Area (Research Support & External Services Department)

Indicator(s)/Target(s): Internal records of the courses offered to and performed by the ICP personnel; progressive increase on the mid term

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found.

**Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:**

As stated in the Narrative section, the whole ICP recruitment policy must be deeply rethought. In this sense, the toolkit of the “Open, Transparent and Merit-based Recruitment of Researchers” (OTM-R) Package of the European Union will be used as a guide to elaborate the “ICP Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians” as well as the “ICP Strategy for the Professional Development of Researchers” (respectively, actions 16 and 14 of the ICP HRS4R Action Plan outlined above). The latter document (to be implemented before the end of 2019) will establish a definite strategy for the professional development of researchers that work at the ICP or that might be working at our institution—including not only general guidelines, but also specific compulsory rules. Among the latter, the above-mentioned protocol (developed at an earlier phase, to be completed during the second trimester of 2018), being largely based on the toolkit of the EU OTM-R Package, will be included. Both documents will be written in English, published on the ICP website, and further publicized among ICP researchers and technicians, as well as potential candidates to ICP job announcement for researchers.

As it is evident from the complete name of the above-mentioned ICP protocol, it will not only regulate the principles that must rule the recruitment of researchers by the ICP, but also the career progression of ICP researchers (i.e., internal promotion). As noted by the OTM-R Package, to get the best possible person for a given job, recruitment must be open, transparent and merit-based, thereby ensuring that both internal and external candidates have equal opportunities to occupy a new or a vacant position. Obviously, as further noted by the OTM-R Package, internal promotion cannot be open, but it must be a transparent and merit-based as recruitment. Therefore, the HRS4R Implementation Committee & Working Group that both recruitment and internal promotion at the ICP should be made on the basis of similar evaluation procedures and selection criteria, even if with minor differences because internal promotion must be restricted to ICP candidates.

With regard to the recruitment of external candidates, there will be a couple of exceptions to the applicability of the Protocol. First, positions financed with external (competitive) funds, even if there is some cofunding by the ICP, will be excluded, because external funding agencies already have their own evaluation systems (unless the ICP has to provide them with a list of prioritized candidates, in which case the regulations of the ICP protocol will apply). The second exception are short fixed-term jobs, usually vehiculated by means of contracts ‘for a particular job or service’ allowed by the Spanish Law of Science, Technology and Innovation. Otherwise, irrespective of whether researchers are to be recruited on a permanent or long (>1 year) fixed-term basis, the above-mentioned protocol will be mandatory. The applicability of the various contract types allowed by the Spanish Statute of Workers (‘Fixed-term contract’, ‘Permanent contract’) and the Spanish Law of Science, Technology and

Innovation ('Predoctoral contract', 'Contract for research personnel in training', 'Contract of access to the Spanish System of Science, Technology and Innovation', 'Distinguished researcher contract') will be regulated, depending on the ICP professional categories and their correspondence with the researcher categories (R1 to R4) recognized by the European Framework of Research Careers.

The ICP recruitment protocol will be elaborated by the Steering Committee (including, among others, the Director and the General Manager, the latter soon-to-be the Head of the Management and Human Resources Department as well) in collaboration with the Researchers Commission. In turn, the ICP strategy for the development of researchers will be written directly by the Director and the Project Manager (the Head of the Projects Area, from the Research Support & External Services Department), also in close collaboration with the Researchers Commission. Once approved, the document stating the ICP strategy for the development of researchers (including the previously-developed recruitment protocol) will have to be approved by the Steering Committee and, subsequently, by the ICP Board of Patrons. The Head of the Communication & Scientific Dissemination Area (from the Outreach & Communication Department) is also a member of the Steering Committee, which will facilitate the key role of this person with regard to ensuring that the appropriate advertising mechanisms (e.g., the Euraxess portal) are properly incorporated to the above-mentioned protocol.

The Steering Committee has already written a preliminary draft of the future ICP recruitment protocol. It includes the following points: (1) Approval of the position; (2) Nomination of an ad hoc Selection Committee; (3) Drafting of the job announcement; (4) Review and approval of the job announcement; (5) Advertising of the job announcement; (6) Elaboration of a candidates shortlist; (7) Evaluation of the applications by the Selection Committee and external reviewers; and (8) Selection and appointment of the best candidate. As currently drafted, the protocol will include the following selection criteria: (a) Research outputs; (b) International visibility & mobility; (c) Fundraising abilities; (d) Supervision, mentoring & teaching; (e) Other academic activities; (f) Paleontological fieldwork experience; (g) Management & leadership capabilities; (h) Outreach & knowledge transfer; (i) Other merits; (j) Suitability of the candidate's profile and potential. The list of possible merits to be considered among each of these criteria will depend on the type of position and professional category. Besides general guidelines applicable to all job announcements regarding the selection criteria and their relative significance for each type of position, the ad hoc Selection Committees will be able to modulate the merits to be included and their relative significance.

#### **4. IMPLEMENTATION (MAX. 1 PAGE)**

The implementation of HRS4R policies at the ICP will begin no later than the first trimester of 2018. With a couple of exceptions, most of the initiatives included in the Action Plan are expected to be implemented during the first two years (2018-2019) following the submission of the Gap Analysis and the Action Plan, so as to have been implemented as much as possible when the internal evaluation must take place. At that point, a new time schedule should be set, not only to implement the two initiatives excluded from this initial phase, but also to accomplish the full implementation of those initiatives that have been delayed to some extent in relation to the initial expectations.

The process will be overseen by the same HRS4R Implementation Committee that was set a year ago to perform the Gap Analysis and Action Plan. Most of the initiatives will be the direct responsibility of particular members of this Committee, although a few other employees will be also involved and, hence, formally incorporated into the HRS4R Working Group. The Committee will periodically meet at 4-8 week intervals to coordinate the implementation process. The latter will also be supervised by the recently established Steering Committee (to be maintained as one of the Action Plan's initiatives). Particular initiatives will be carried out by the preexisting Information Systems Security Committee and Researchers Commission, as well as by the Non-Discrimination Committee to be established in the framework of the Action Plan.

The community of ICP researchers will be involved in the implementation process by means of their representatives (R1 to R4) in the Researchers Commission. Besides reviewing the implementation of all the required actions, this commission will be directly involved in some of them (especially with regards to intellectual property rights). Researchers will also be involved in the process by means of the periodical Coordination Meetings (to be re-established as one of the Action Plan's initiatives), where they will be represented by the heads of the various research groups. The Action Plan and its subsequent implementation will be publicized among the ICP staff by means of ad hoc communiqués from the Director as well as through corresponding updates in the institutional webpage. With regard to the ICP patrons, they will be informed about the progress in the annual Board Meeting by the Director and General Manager, where all the relevant documentation (manuals and protocols) generated in the framework of HRS4R implementation initiatives will be presented for their approval.

The Director of the ICP will take part in some of the above-mentioned organs, such as the Steering Committee, to ensure that all the actions are adequately implemented. The whole process is expected to be further supervised by the Board of Patrons on a yearly basis. The alignment of organizational policies with HRS4R will be made patent and public with one of the initiatives of the Action Plan, namely, the update of the ICP Strategic Plan, which is expected to be implemented by the fourth trimester of 2018 (to be approved by the Board of Patrons during the second trimester of 2019). The main organs responsible to monitor the process will be the HRS4R Implementation Committee and Working Group (mainly composed of technicians and administrative staff), the Researchers Commission (exclusively including researchers, from all stages), and the Steering Committee (already established, and including the Director, the General Manager, and the Heads of Department). The internal and external reviews will be prepared by the HRS4R Implementation Committee and Working Group, with inputs and review from the Researchers Commission and the Steering Committee.