HRS4R – REPORT ON THE INTERIM ASSESSMENT

Institut Català de Paleontologia Miquel Crusafont

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INTRODUCTION

The Institut Català de Paleontologia Miquel Crusafont (ICP) is a public research institute that has the Generalitat de Catalunya 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 >50 people (researchers, technicians and administrative staff), including a Director and a General Manager with executive powers delegated by the Board of Trustees.

With the aim to implement the Human Resources Strategy for Researchers (HRS4R) of the European Union, in 2016 the ICP intended to endorse the 'European Charter for Researchers' and the 'Code of Conduct for the Recruitment of Researchers'. With this aim in mind, on 23 November 2016, the General Manager convened a meeting to explain the scope of the HRS4R, to which about 25% of the personnel attended. The initial meeting led to a subsequent meeting in which the HRS4R Implementation Committee and Working Group of the ICP were established. This committee was further recognized in the new Organization Chart of the ICP devised by the new Director and approved by the Steering Committee in late 2017 (subsequently ratified by the Board of Patrons in June 2018). This committee has the aim to implement the HRS4R of the EU at the ICP, and it is mainly composed of non-research staff, since the Researchers Commission further provides advice in this regard. Since 2017, the Organization Chart further formally recognizes a Management & Human Resources Department, led by the General Manager, with the aim to improve and give internal visibility to the ICP human resources policies within the context of the HRS4R implementation.

On 20 December, the letter of endorsement to the Code and Charter was submitted to the European Commission, which acknowledged its receipt on March 2017.

Throughout 2017, the HRS4R Implementation Committee and Working Group, with the aid of the ICP Researchers Commission performed an internal 'Gap Analysis' to evaluate the current degree of implementation of the forty principles included in the Charter and Code and, on this basis, elaborate an Action Plan to implement the HRS4R at the ICP. As result of the first Gap Analysis, several areas of improvement were identified and subsequently described in the first Action Plan, including the measures to be taken in following years at the ICP. These documents were internally approved and submitted on November 2017 to the European Commission, who formally granted the 'HR Excellence in Research' to the ICP on March 2018. In the meantime, the implementation of the Action Plan had already started, being supervised by the above-mentioned organs of the ICP.

From 2017 to 2019 several actions (see below for details) were completed and some new actions were designed. Although the degree of implementation of the actions were

monitored in regular meetings of the HRS4R Implementation Committee and Working Group of the ICP, a deep internal review was performed on 1Q 2020 in order to face the Interim Assessment within 24 months after the award was acknowledged. One member and the rapporteur of the HRS4R Implementation Committee drafted an initial version that was later reviewed by the Chair of the committee (the ICP General Manager and Head of the Management & Human Resources Department) and the Vice-chair (the Director of the ICP). The final version was approved on March 2020 and uploaded to the "Internal Review" webpage in EURAXESS. The same process was applied to review the degree of compliance of the OTM-R checklist.

The present documents provide a detailed review of the whole process of the implementation of the several principles included in the Charter and Code and the degree of compliance of the different actions stated in the Action Plan as well as the OTM-R policy on September 2020.

IMPLEMENTATION OF THE ACTION PLAN (2017-2020)

The HRS4R Action Plan of the ICP originally included 25 specific actions intended to attain a complete implementation of the forty principles included in the Charter & Code. Although the implementation of the HRS4R Action Plan already began in late 2017 with the approval of the new Organization Chart, most of the Action Plan initiatives were planned for 2018–2019. The implementation process is overseen by the HRS4R Implementation Committee & Working Group, and further supervised by the Steering Committee, with the aid of other committees and commissions of the ICP (particularly, the Researchers Commission). A review of the strengths and weaknesses under the four thematic areas of the Charter and Code was performed on March 2020 to assess the progression from the initial assessment phase.

Ethical and professional aspects

As it was stated in the initial phase, current practices regarding ethical and professional aspects of researchers at the ICP were generally correct but had never been explicitly communicated or specific protocols were lacking. The two less implemented principles were those related to contractual/legal obligations and the evaluation/appraisal of researchers. Several actions have been performed since the ICP was awarded with the HR Excellence in Research Award to alleviate these deficiencies. On the one hand, the access to such information has been improved by means of external documents posted on the ICP website and emailed to the staff. In this regard, the **UAB statutes** and the **UAB Code of Good Practices** were uploaded to the ICP in April 2018 and immediately disseminated via an electronic internal bulletin. Also, the English and Catalan versions of the **CERCA Code of Conduct** (final version approved in

November 2018, to which the ICP adhered in January 2019) were uploaded to the ICP website and the link was shared with the ICP staff.

Nevertheless, the most important advances in this section are related to the writing and publicizing of new documents or updating preexisting ones. In this regard, the drafting of a new **Strategic Plan** was prioritized. The final version approved by the Steering Committed (and subsequently ratified by the Board of Trustees) was disseminated among ICP staff through an electronic newsletter in February 2018. This document is intended to be a management tool that seeks to identify the current situation of the institution as well as to define its main strategic aims. It is also remarkable the new **Manual of Best Practices in Intellectual Property and Scientific Authorship**, approved in December 2019 and immediately forwarded to the ICP staff. The manual is aimed to specify the ethical principles and legal regulations applicable to scientific research in general, and to paleontology in particular, to detail the ICP protocols and guidelines to comply with them, as well as to explain the rights and obligations of the ICP and its personnel regarding intellectual property, industrial property, and scientific authorship, among other issues.

It is also important to highlight the new **Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians**, aimed to achieve an open, transparent and merit-based recruitment processes at the ICP. While some other planned actions under these principles have been completed (e.g., updating the transparency webpage), some actions have been delayed due to the lack of specific human resources or due to difficulties to encompass it with the everyday duties of the personnel implied in the tasks. In this regard, the lack of a Project Manager along 2019 and the long duration of the Administrative Officer's medical leave during the same period have prevented the timely completion of the **Protocol for Funding Request** and the **Protocol for Fund Expenditure Accountability**, respectively. Updating the **Equality Plan** or the **Welcome Handbook** has also been delayed.

All in all, a lot of work has been done and the responsible units keep working actively on the delayed actions. In the near future, some measures to ensure that all the new documents are not only received by the staff but also read, understood and applied in their tasks, should be implemented (e.g., specific talks on particular issues).

Recruitment and selection

As stated in the initial phase, this set of principles was the one that required most attention at the ICP and hence the whole recruitment policy of the ICP has been thoroughly rethought, so as to be based on transparent mechanisms and explicit merit-based evaluation criteria. A draft of a new recruitment protocol, formally entitled **Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians**, was written by the Director, in collaboration with other members of the

Steering Committee and with additional input from the Researchers Commission and the Non-Discrimination Committee during 2018. The document was provisionally approved by the Steering Committee and emailed to the ICP staff on February 2019 and posted on the ICP Transparency webpage with effect on 1 March 2019. The definitive version of the document was approved with amendments by the ICP Board of Trustees on 17 May 2019, the revised version being posted on the ICP Transparency webpage with immediate effect. Future amendments will be possible upon approval by the Steering Committee and the subsequent ratification by the Board of Trustees. This protocol is mandatory for the recruitment of researchers when a vacant or newly established research position is offered at the ICP, except when any of the derogations specified in the document apply. With modifications, the protocol also regulates the recruitment of technicians. Similarly, the protocol and associated derogations further specify the rules that apply to the internal promotion of researchers and technicians at the ICP. The document also includes measures to boost gender parity and to prevent any kind of discrimination (by reason of gender, sexual preference, language, ethnicity, geographic origin, functional diversity, or any other reason unrelated to the scientificotechnical merits). Along 2019 this protocol was put into practice and up to five selection processes have been guided by this document from then on. Of these selection processes, two of them were for researcher positions and three for technical staff. These selection processes have proved the reliability and efficacy of the protocol. Furthermore, several efforts have been made to reach a broad number of suitable candidates: all the job announcements have been posted on the section "Work with us" of the ICP website, emailed to suitable distribution lists related with paleontology or associated disciplines, posted on EURAXESS or on job websites and spread through the ICP social networks.

Besides the recruitment protocol, another important document has been elaborated since the ICP adhered to the general principles and requirements of the European Charter and Code: the **ICP Strategy for the Professional Development of Researchers**, which was approved in December 2019 and distributed among the staff immediately (see below for further details about its content).

Taken together these documents have changed dramatically the procedures of recruiting and the information available to candidates willing to join the ICP.

Working conditions

Among the principles included in this category, only research environment appeared fully implemented in the initial phase. Issues such as access to career advice, working conditions, and stability of employment were good in overall terms but were not stated formally in official documents. In this regard, the most important document that has been developed is the above-mentioned **ICP Strategy for the Professional Development of Researchers**. This document is aimed to clarify the ICP strategy for research career development, including its continuous training policies. Emphasis is put on the

professional categories recognized among ICP researchers based on career stage, the roles and skills expected for each category, the professional paths available to ICP researchers, and the recognition of the value of mobility, teaching, supervision/mentoring, and leadership. Also related to working conditions, another important document that is currently being developed is the **ICP Welcome Handbook** for new employees. Although there was an informal document available for new staff at the ICP museum headquarter, the information contained was clearly insufficient, and accordingly the HRS4R Implementation Committee & Working Group included the writing of this manual in the action plan. The aim of this document is to provide guidelines for practical issues, such as: ethics in research, strategic goals, accountability, internal evaluation and career, non-discrimination policies, complaints/appeals, organization chart, ICP committees and commissions and continuous training. In fact, this new Welcome Handbook will include references (web links) to several documents that have already been completed according to the action plan in order to provide a global overview of the center, such as the **ICP Strategy for the Professional Development of Researchers**, the **ICP Manual of Best Practices in Research** or the **Organization Chart,** along with practical information on the two ICP headquarters, contact details of responsibles of particular tasks, basic instructions on the various issues that have to be taken into account before traveling abroad, etc. Although the Welcome Handbook is not finished yet, the most important information has already been communicated to the ICP staff by means of the above-mentioned manuals.

In regard to working conditions it is important to emphasize the **Plan of Equal Opportunities and Diversity Management**, which is being completely rewritten and improved by the Non-Discrimination Committee, aims to promote equality independently of ethnic or birth origin, gender, sexual orientation, religion or beliefs, political opinion, disability, age, or any other condition personal or social circumstances. It also aims to promote equality and strengthen gender balance at selection and evaluation committees, as well as in the supervisory, managerial and decision-making bodies of ICP. This includes initiatives to facilitate the combination of family and professional life, such as leaves of absence or teleworking. Also in this regard, one of the actions to be developed in next months is 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. Two ombudspersons were appointed by the Director in 2017 order to manage such issues, one of them was replaced on Frebruary 2020.

In order to improve the participation of staff in decision-making bodies, quarterly regular **Coordination Meetings** were established in the initial phase in other to facilitate the periodical exchange of ideas between, Research Group Leaders, Heads or people in charge of technical and managerial Areas, and the members of the Steering Committee of the ICP. These meetings have been held along 2018 and 2019 as planned, although some actions to improve the participation of assistants need to be thought.

Regarding working conditions the Steering Committee of the ICP is elaborating a document to define regulations on working time (workdays, ordinary hours and overtime) of researchers and technical staff. A new action (26) has been included in the current action plan. The COVID-19 pandemic that has led the ICP staff to lockdown will help to asses technical measures for teleworking conditions.

Training and development

None of the principles included in this section were fully implemented in the initial phase. The supervision of young researchers in training phase has been improved further by means of implementing the **ICP Strategy for the Professional Development of Researchers**, as well as by establishing periodical mechanisms to improve communication between young and other more senior researchers. In this regard, from 2018 it is mandatory for PhD candidates to report the progress of their research to the ICP staff by means of talks in the framework of the ICP Paleovermut's initiative. 16 Paleovermuts (9 in 2018, 7 in 2017) have been organized, of which 9 performed by PhD candidates or other researchers in early stages of their career (postdocs). Besides the scientific training provided to early stage researchers by their corresponding supervisors in the framework of the normal development of their research activities, the ICP provides all of its employees with the opportunity to perform free courses each year, in order to foster their continuous training and learning. Some of these courses are intended to all the ICP personnel, whereas other are specifically targeted to researchers. As in previous years, two main opportunities of continuous training were offered for free to ICP personnel in 2018 and 2019: courses for employees defrayed with funds available from the Spanish Social Security; and scientificotechnical courses for researchers and research associates. In 2018 the funds from the Social Security were devoted to courses on languages or computer programs (14 attendees). In 2019, these funds were used to organize a course on conflict resolution that was mostly attended by personnel (13 in total) with managerial responsibilities or members of commissions, but also by some other researchers and technicians. Given the interest of the course, it will probably be repeated in 2020 for the rest of the personnel. In regard to the more specialized training, 8 (2018) and 2 (2019) researchers attended scientific courses thanks to an agreement with the company Transmitting Science (TS). Also noteworthy are the various courses on occupational risk prevention in the framework of construction works, which were performed by technicians of the Fieldwork and Collections Management Area and defrayed entirely by the ICP.

Although the ICP has an internal policy of continuous training for its personnel, the offer (number of courses and attendees) is restricted based on available funds. However, new opportunities of free training are always being explored.

The implementation of the 25 actions of the HRS4R Action Plan on September 2020 are summarized in the table below. Out of 23 actions planned for 2018 or 2019, 12 are fully implemented and 3 almost fully implemented, while 8 are delayed but already under implementation. The remaining 2 actions, planned for 2020, were already under implementation at the end of 2019. A new action (26) has been included in the initial Action Plan to be fully implemented by 4Q 2020. The status of the different actions included in the Action Plan, the different principles implied, the responsible units as well as the indicators stablished to assess the degree of compliance are summarized in the table below.

Action 1	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s)/Target(s)
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.	1. Research freedom 2. Ethical principles 3. Professional responsibility 5. Contractual and legal obligations 9. Public engagement 27. Gender balance 31. Intellectual Property Rights 32. Co-authorship 34. Complains/ appeals	1Q 2018	Communication & Scientific Dissemination Area	Documents available from the ICP website and emailed to personnel
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	Fully implemented in 2019. UAB Statues: http://www.icp.cat/attachments/transparencia/Estatuts_uab.pdf Code of Conduct: http://www.icp.cat/attachments/transparencia/Code_of_Conduct_CERCA_nov2018.pdf		
Action 2	**GAP Principle(s)**	**Timing (at least by year's quarter/semester)**	**Responsible Unit**	**Indicator(s)/Target(s)**
To update the ICP Strategic Plan (2010-2013) available from the ICP website, stating the aims and scope of the various ICP research groups and more	1. Research freedom 4. Professional attitude 33. Teaching	4Q 2018	Director	Updated document available from the ICP website and emailed to

explicitly recognizing the significance of teaching and supervision				personnel, and approved by the Board of Trustees

	Current Status	**Remarks**		
	FULLY IMPLEMENTED	Fully implemented in 2019. ICP Strategic Plan: http://www.icp.cat/attachments/transparencia/Strategic_plan_2018_2021.pdf		

Action 3	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
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; (b) the rights and obligations of the ICP and its personnel regarding intellectual property, industrial property and scientific authorship; (c) the obligation by researchers to ensure the safeguard of their data by means of standard protocols; 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; (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; and in which (f) the principle of professional recognition is explicitly explained and promoted; (g) the rights and obligations of both researchers and the ICP in these matters are exposed, and explicit guidelines for researchers are provided ; and (h) the rights and obligations of both researchers and the ICP with regard to scientific	2. Ethical principles 3. Professional responsibility 5. Contractual and legal obligations 7. Good practice in research 8. Dissemination, exploitation of results 9. Public engagement 22. Recognition of the profession 31. Intellectual Property Rights 32. Co-authorship	4Q 2019	Steering Committee & Researchers Commission	Document available from the ICP website, emailed to researchers and technicians, and approved by the Board of Trustees; receipts of the manual signed by staff researchers and technicians. Moreover, the "ICP policy for the use of 3D models", which develops further the general principles already stated in the manual of best practices was approved by the Steering Committee on September 2020 and emailed to researchers and technicians involved.

authorship are clearly stated. This manual should be compulsory for all ICP staff performing research.	Current Status	Remarks		
	FULLY IMPLEMENTED	The action is complete and approved by the Board of Trustees in 21 May 2020. The document is available at the ICP website: https://www.icp.cat/attachments/transparencia/ICP_Manual_of_Best_Practices.pdf		
Action 4	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
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.	2. Ethical principles	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
	Current Status	**Remarks**		
	DELAYED, ALMOST FULLY IMPLEMENTED	Delayed. The action is almost complete, only pending the approval of the Steering Committee.		
Action 5	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Welcome Handbook: 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 responsibles of particular tasks, ICP committees and commissions, and continuous training.	2. Ethical principles 4. Professional attitude 6. Accountability 7. Good practice in research 10. Non discrimination 11. Evaluation/ appraisal systems 22. Recognition of the profession 23. Research environment 24. Working conditions 25. Stability and permanence of employment 26. Funding and salaries 28. Career development 34. Complains/ appeals	2Q 2019	Outreach & Communication Department	Internal document available and emailed to researchers and technicians; receipts of the protocol signed by staff researchers and technicians

	35. Participation in decision-making bodies 38. Continuing Professional Development 39. Access to research training and continuous development			
	Current Status	**Remarks**		
	DELAYED, UNDER IMPLEMENTATION	Delayed. The action was reassigned from the Projects Area to the Outreach & Communication Department. A first draft with the index was sent to the Director on February 2019 and several sections of the document have already been completed.		
Action 6	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Protocol for Funding Request: To write an "ICP Protocol for Funding Request", detailing the funding mechanisms available to ICP researchers and the approvals required by them before application	4. Professional attitude	4Q 2018	Projects Area	Internal document available and emailed to researchers
	Current Status	**Remarks**		
	DELAYED, UNDER IMPLEMENTATION	Delayed due to the lack of a Project Manager during last period of 2018 and whole 2019. New project manager hired on 1Q 2020 is already working on it.		
Action 7	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Transparency webpage and internal communication: 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. These documents should be made available also in the Spanish and English versions of the ICP website.	6. Accountability	1Q 2018	Communication & Scientific Dissemination Area	Relevant documents periodically updated on the webpage; quarterly electronic newsletter sent to personnel; email internal communiqués to personnel
	Current Status	**Remarks**		
	ALMOST FULLY IMPLEMENTED	This is a continuous action. The Head of the Outreach and Communication Department was designated to upload the documents to the ICP		

		transparency webpage and documents are regularly updated although some of them need to be translated to English.		
Action 8	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Protocol for Fund Expenditure Accountability: 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	6. Accountability	2Q 2018	Administration Area	Internal document available and emailed to researchers and technicians
	Current Status	**Remarks**		
	DELAYED, UNDER IMPLEMENTATION	Delayed due to a long-term medical leave of the person initially in charge of the action. An interim administration officer was hired on 4Q 2019 but this action has not been assigned to her yet.		
Action 9	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Safety & prevention training: To encourage the ICP personnel to attend training sessions in safety at work and prevention of occupational hazards	6. Accountability	4Q 2019	Management & Human Resources Department	Progressively increase the number of personnel attaining the training sessions
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	This is a continuous action. General training sessions in safety at work and prevention of occupational hazards have been organized for all the staff on 1Q 2020 and specific courses for field officers along 2019.		
Action 10	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Update the internal Information Systems Security Document: 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.	7. Good practice in research	3Q 2019	Information Systems Security Committee	Updated internal document available and approved by the Steering Committee
	Current Status	**Remarks**		
	DELAYED, UNDER IMPLEMENTATION	Delayed. An external Data Protection Officer (DPO) was hired on 2Q 2019 and provided a first draft of the document on 4Q 2019 that is being revised by the Information Systems Security Committee.		

Action 11		GAP Principle(s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator(s)/ Target(s)
Improve and translate the Plan of Equal Opportunities and Diversity Management: 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; and (b) promote equality and strengthen gender balance at selection and evaluation committees as well as supervisory, managerial and decision-making bodies of ICP. This includes initiatives to facilitate the combination of family and professional life.		10. Non discrimination 14. Selection (Code) 24. Working conditions 27. Gender balance	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)
		Current Status	**Remarks**		
		DELAYED, ALMOST FULLY IMPLEMENTED	Delayed. The action is almost complete, only pending the approval of the Steering Committee on 3Q 2020.		
Action 12		**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Establish a Non-discrimination Committee: To transform the Equality Plan Committee that redacted the original plan into a Nondiscrimination Committee that intends to further improve it and looks after its correct application.		10. Non discrimination 27. Gender balance	1Q 2018	Steering Committee	Minute of the Steering Committee meeting approving the creation of the Non-Discrimination Committee
		Current Status	**Remarks**		
		FULLY IMPLEMENTED	Fully implemented in 2018.		
Action 13		**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Improve and translate the Guide of Prevention and Action in Case of Gender Violence: To improve, expand and translate into English the current ICP Guide for the Prevention and Action in Case of		10. Non discrimination	4Q 2020	Non-Discrimination Committee	Expanded and translated version of the document available from the ICP website

				and emailed to personnel
Gender Violence, aiming to avoid these conflicts and facilitate their management if they exist.				
	Current Status	**Remarks**		
	UNDER IMPLEMENTATION	The Non-Discrimination Committee has prioritized the writing of the Plan of Equal Opportunities and Diversity Management. Once approved will face the update of the Guide of Prevention and Action in Case of Gender Violence.		

Action 14	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians: 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); (b) the selection criteria depending on type of positions as well as the rules governing the configuration of Selection Committees, (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); (d) the criteria to be considered in the evaluation of researchers and the selection of candidates during recruitment,	11. Evaluation/ appraisal systems 12. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code) 16. Judging merit (Code) 17. Variations in the chronological order of CVs (Code) 18. Recognition of mobility experience (Code) 19. Recognition of qualifications (Code) 20. Seniority (Code) 21. Postdoctoral appointments (Code) 27. Gender balance 28. Career development 29. Value of mobility 33. Teaching 37. Supervision and managerial duties	2Q 2018	Steering Committee, Managements & Human Resources Department, and Researchers Commission	Document approved by the Steering Committee and Researchers Commission, available from the ICP website, and emailed to researchers

as well as the rules according to which the different types of merits will be assessed; (e) the merits to be taken into account; (f) the consequences of a positive or negative evaluation (also in relation to internal promotion;); 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); which asserts that (h) variations in the chronological order of CVs will not be penalized; (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; (j) seniority will be taken into account not only in recruitment selection processes, but also during the internal evaluation of ICP researchers; (k) the maximum duration of postdoctoral contracts at the ICP and formal guidelines for the recruitment of postdocs; (l) which takes into account gender parity with regard to both the selection process and the composition of the selection committees; (m) which is in accordance with the principles implemented in the "ICP Strategy for the Professional Development of Researchers"; and (n) which explicitly recognizes the values of teaching and supervision activities and of supervision, mentoring and leadership activities.

Current Status	Remarks
FULLY IMPLEMENTED	Fully implemented in 2019. ICP Recruitment Protocol: http://www.icp.cat/attachments/transparencia/ICP_Recruitment_Protocol.pdf

Action 15	GAP Principle(s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator(s)/ Target(s)
Definition of professional categories: To define the ICP professional categories and evaluate current ICP	11. Evaluation/ appraisal systems 13. Recruitment (Code)	3Q 2018	Steering Committee and Management &	Internal document draft elaborated by the

salaries in relation to those in other CERCA research institutions	22. Recognition of the profession 25. Stability and permanence of employment 26. Funding and salaries 28. Career development		Human Resources Department	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
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	Fully implemented in 2018. A Salary Scale including the definition of professional categories was approved by the Steering Committee on 2018, approved by the Board of Trustees on 2019 and updated on December 2019.		

Action 16	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Strategy for the Professional Development of Researchers: 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, to further promote the continuous development of ICP researchers, and establishing inter alia (a) the conditions to be met for transitioning from dependent postdoc to independent researchers and (b) the several categories of researchers and technicians officially recognized at the ICP; (c) taking into account the value of mobility; (d) outlining the different professional paths available to ICP researchers and candidates for recruitment; (e) explicitly mentioning teaching and supervision activities; (f) in which in	13. Recruitment (Code) 15. Transparency (Code) 21. Postdoctoral appointments (Code) 22. Recognition of the profession 25. Stability and permanence of employment 28. Career development 29. Value of mobility 30. Access to career advice 33. Teaching 36. Relation with supervisors 37. Supervision and managerial duties 38. Continuing Professional Development	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 Trustees

which the supervision roles expected for each professional category are specified; (g) which explicitly mentions supervision, mentoring and leadership activities; and (h) in which the supervision roles expected for each professional category are specified.	39. Access to research training and continuous development 40. Supervision			
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	The action is complete and approved by the Board of Trustees in 21 May 2020. The document is available at the ICP website: https://www.icp.cat/attachments/transparencia/ICP_Strategy_for_the_Professional_Development_of_Researchers.pdf		
Action 17	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Publicize positions at an international level: 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.	13. Recruitment (Code)	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
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	Fully implemented 2019.		
Action 18	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Implementation of new organigram with Management & Human Resources Department: To modify the ICP Organigram, in order to create a Department of Management and Human Resources	28. Career development 30. Access to career advice	2Q 2018	Director	Document with new organigram approved by the Steering Committee, available

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".				from the ICP website, emailed to personnel, and approved by the Board of Patrons
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	Fully implemented 2018. ICP Organization Chart: http://www.icp.cat/attachments/transparencia/ICP_Organization_Chart.pdf ICP Strategy for the Professional Development of Researchers: https://www.icp.cat/attachments/transparencia/ICP_Strategy_for_the_Professsional_Development_of_Researchers.pdf		
Action 19	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Basic instructions for traveling abroad: 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.	29. Value of mobility	3Q 2018	Management & Human Resources Department	Internal document approved by the Steering Committee and emailed to personnel
	Current Status	**Remarks**		
	DELAYED, UNDER IMPLEMENTATION	Delayed. Although there is a basic protocol being used by the ICP staff when traveling abroad, the new Project Manager is working to improve it. A new version is expected by the end of 2020.		
Action 20	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Complaints protocol: 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.	34. Complains/ appeals	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

	Current Status	Remarks		
	DELAYED, ALMOST FULLY IMPLEMENTED	Delayed. There are already two designated ombudspersons at the ICP. The action is almost complete, only pending the approval of the Steering Committee on 3Q 2020.		
Action 21	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Steering Committee: 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.	35. Participation in decision-making bodies	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)
	Current Status	Remarks		
	FULLY IMPLEMENTED	Fully implemented in 2018. ICP Organization Chart: http://www.icp.cat/attachments/transparencia/ICP_Organization_Chart.pdf		
Action 22	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Coordination Meetings: To establish the periodicity of Coordination Meetings, in other to facilitate the periodical exchange of ideas between Heads of technical and managerial Areas and the members of the Steering Committee of the ICP.	35. Participation in decision-making bodies	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)
	Current Status	Remarks		
	FULLY IMPLEMENTED	Fully implemented in 2018.		

Action 23	GAP Principle(s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator(s)/ Target(s)
Researchers Commission: 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.	35. Participation in decision-making bodies	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)
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	Fully implemented in 2018.		
Action 24	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Organization of talks ('Paleovermut's initiative'): 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).	36. Relation with supervisors	1Q 2018	Communication & Scientific Dissemination Area	Posters announcing the paleovermuts (monthly)
	Current Status	**Remarks**		
	FULLY IMPLEMENTED	This is a continuous action and talks have been organized regularly since 2018.		
Action 25	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
Free language courses and other types of training: 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 elearning)	38. Continuing Professional Development 39. Access to research training and continuous development	1Q 2018	Projects Area	Internal records of the courses offered to and performed by the ICP personnel; progressive increase on the mid term

	Current Status	Remarks		
	FULLY IMPLEMENTED	This is a continuous action and courses have been organized regularly since 2018.		
Action 26	**GAP Principle(s)**	**Timing (at least by year's quarter/ semester)**	**Responsible Unit**	**Indicator(s)/ Target(s)**
To write an internal document for staff hired by the ICP with the regulations on working time (working days, rest breaks, flexible schedule, ordinary hours and overtime) as well as the time registration system to be established in the center.	24. Working conditions	4Q 2020	Management & Human Resources Department	Internal document with the regulation sent to the ICP staff
	Current Status	**Remarks**		
	NEW, FULLY IMPLEMENTED	On 3Q 2020 the Steering Committee approved the final version of the document, being immediately sent to the ICP staff.		

OTM-R SYSTEM

The ICP is fully committed to implement an open, transparent and merit-based recruitment (OTM-R) policy. As a first step toward the implementation of transparent recruitment, a **Salary Scale** was developed by the Director and the General Manager of the ICP, being approved by the Steering Committee in May 2018 and subsequently by the Board of Trustees in June 2018. The main guidelines of the ICP recruitment protocol (formally **Protocol for the Evaluation, Internal Promotion and Recruitment of Researchers and Technicians**) were already elaborated in 2017, and a first draft of the text was written by the ICP Director, with inputs from the Steering Committee, the Non-Discrimination Committee, and the Researchers Commission during 2018. As it has been mentioned above, the recruitment protocol was approved with amendments by the Board of Trustees in 2019.

On its basis, along 2019 two open calls for researcher positions were publicized at an international level; a tenure-track researcher position in dinosaur paleobiology and a permanent R3 researcher position on rodent paleobiology, corresponding to the tenure-track position previously occupied by a 'Ramón y Cajal' researcher. Another job announcement was posted to recruit a project manager (position vacant since early 2019). The three calls were resolved in 2019 following the provisos and procedures stipulated in the recruitment protocol based on OTM-R principles. The current version of the recruitment protocol regulates internal promotion for both ICP researchers and technicians, but restricts redeployment options to the latter, so that all vacant researcher positions defrayed by ICP basal (non-competitive) funds must be filled by means of an open international call. Two more positions were opened at the beginning of 2020 to hire two preparator technicians and a collection manager.

Summary

The implementation of an OTM-R system at the ICP at the end of 2019 is summarized in the table below.

OTM-R system	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	-/+ Yes partially	Web link: http://www.icp.cat/attachments/transparencia/ICP_Recruitment_Protocol.pdf. The recruitment protocol needs to be translated to Catalan and posted to the ICP website.
Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++ Yes completely	The recruitment protocol approved by the Board of Trustees in 2018 and updated on May 2019 guides all types of positions offered. Recruitment protocol sent to the ICP staff through electronic bulletin.
Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	++ Yes completely	Creation of the Human Resources Department (2017). Internal documents for each selection process with clear instructions (time schedule and selection criteria) sent to the members of the selection committees.
Do we make (sufficient) use of e-recruitment tools?	x	x		++ Yes completely	Webpage announcing positions and the stage of the selection process: https://www.icp.cat/index.php/en/icp-2/work-with-us/open-positions. Email communication with candidates at all stages of the recruitment process.
Do we have a quality control system for OTM-R in place?	x	x	x	++ Yes completely	Well definite procedures in all phases of the recruitment process. Minutes of the Steering Committee overseeing the recruitment processes.

Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++ Yes completely	Webpage announcing open positions in three languages (Catalan, Spanish and English) Increase of clicks of users from abroad to the "Work with us" webpage (Google Analytics). Announcements of open positions sent to specific mailing lists, EURAXESS portal or other job portals.
Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++ Yes completely	Webpage announcing open positions in three languages (Catalan, Spanish and English). Increase of clicks of users from abroad in the "Work with us" webpage (Google Analytics) Job offers posted to EURAXESS.
Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++ Yes completely	Specific guidelines to boost gender parity and promote equality in the recruitment protocol. Minutes of the Non-Discrimination Committee overseeing selection processes.
Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++ Yes completely	Working conditions (i.e. teleworking opportunities) clearly stated in the job announcements.
Do we have means to monitor whether the most suitable researchers apply?				++ Yes completely	Merit-based criteria in all the positions offered clearly stated in the job announcements.
Advertising and application phase					
Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++ Yes completely	Template for job announcements. Job offers posted to EURAXESS.
Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		++ Yes completely	Links to recruitment protocol an other relevant documents (i.e. organization chart) in the published job announcements.

Question				Rating	Comments
Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++ Yes completely	Job announcements posted in EURAXESS according to the position offered.
Do we make use of other job advertising tools?	x	x		++ Yes completely	Webpage announcing open positions in three languages (Catalan, Spanish and English). Open positions posted to other platforms such as Infojobs and specific mailing lists.
Do we keep the administrative burden to a minimum for the candidate?	x			++ Yes completely	The requested documents are clearly stated in the job announcements and limited to those strictly necessary to assess candidates.
Selection and evaluation phase					
Do we have clear rules governing the appointment of selection committees?		x	x	++ Yes completely	Specific rules for the composition of selection committees according to the offered positions are clearly stated in the recruitment protocol.
Do we have clear rules concerning the composition of selection committees?		x	x	++ Yes completely	Specific rules for the composition of selection committees according to the offered positions are clearly stated in the recruitment protocol.
Are the committees sufficiently gender-balanced?		x	x	++ Yes completely	Specific rules for the composition of gender-balanced selection committees are clearly stated in the recruitment protocol. The Non-Discrimination Committee oversees the composition of each selection committee.
Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	++ Yes completely	Internal documents with information on selection criteria are made available to the selection committee to judge each candidate.
Appointment phase					

Do we inform all applicants at the end of the selection process?		x		++ Yes completely	Specific guidelines in the recruitment protocol on how to proceed to inform (selected and non-selected) candidates.
Do we provide adequate feedback to interviewees?		x		++ Yes completely	Email to selected and non- selected candidates with their final scores along with the comments of the selection committee.
Do we have an appropriate complaints mechanism in place?		x		++ Yes completely	Specific guidelines in the recruitment protocol on how to complain after the selection process.
Overall assessment					
Do we have a system in place to assess whether OTM-R delivers on its objectives?				++ Yes completely	The Steering Committee oversees the performance of the recruitment protocol in regular meetings. Amendments proposed by the Board of Trustees.