

## **ACTION PLAN (2016-2020) FOR THE IMPLEMENTATION OF HUMAN RESOURCES POLICIES IN ACCORDANCE WITH THE EUROPEAN CHARTER FOR RESEARCHERS AND THE CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS FOR THE CATALAN INSTITUTE OF HUMAN PALEOECOLOGY AND SOCIAL EVOLUTION (IPHES)**

---

The Catalan Institute of Human Paleoeology and Social Evolution (IPHES) is a transdisciplinary institution that promotes advanced research, education and knowledge transfer, and social engagement with science. For this reason, we combine different fields of science, humanities and social sciences, including geosciences and biosciences, and apply them to the study of human and social evolution. Our aim is to promote knowledge about both ancient human species and human beings today.

The IPHES was created in December 2004 as a non-profit foundation through an initiative of the Catalan Government, Rovira i Virgili University (URV), and Tarragona City Council. The Institute is part of the Catalan Research Centres Network (CERCA).

The Human Resources Strategy for Researchers (HRS4R) is a support mechanism for introducing the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers at European research institutes. The objective of these actions is to make the institutes more attractive to researchers of excellence and make it possible for them to carry out their science in a favourable and stimulating environment.

The IPHES signed up to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers on July 13<sup>th</sup>, 2016.

The IPHES aims to introduce a series of actions to improve its human resources policies in keeping with European directives, and to achieve this objective it has carried out a self-analysis that has allowed it to draw up this Action Plan. Once the plan has been approved, the HR Excellence in Research (HRS4R) accreditation will be applied for. Two years after it has been obtained, a self-evaluation of the execution of the plan will be carried out and four years later there will be an external evaluation. In addition, during the final quarter of 2020 a satisfaction survey will be given to the institute's personnel in order to evaluate the impact of the actions taken.

To help achieve this objective, the IPHES formed a working group made up of representatives of senior and junior researchers, as well as postdoctoral scientists. The chair of the commission was the Research Director and the Research Coordinator promoted the working group.

The working group prepared the internal analysis and, based on its results, proposed the actions

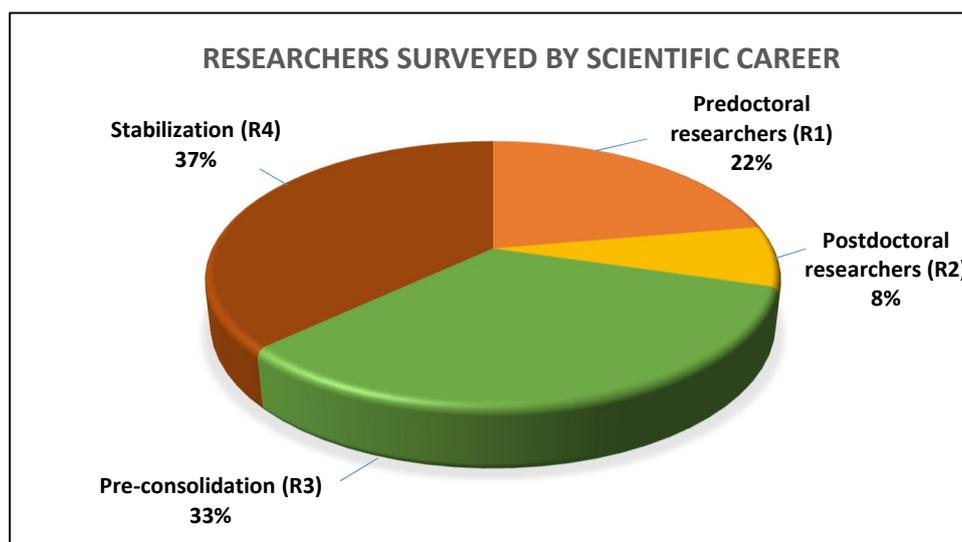
detailed below designed to improve working conditions for the IPHES personnel. This internal analysis is based on information obtained through meetings hold during the process and the survey results and suggestions. The internal analysis form was the reference point for analysing the situation and the action proposals are related to the majority of the items included on that form, as can be seen from the table shown in this Action Plan.

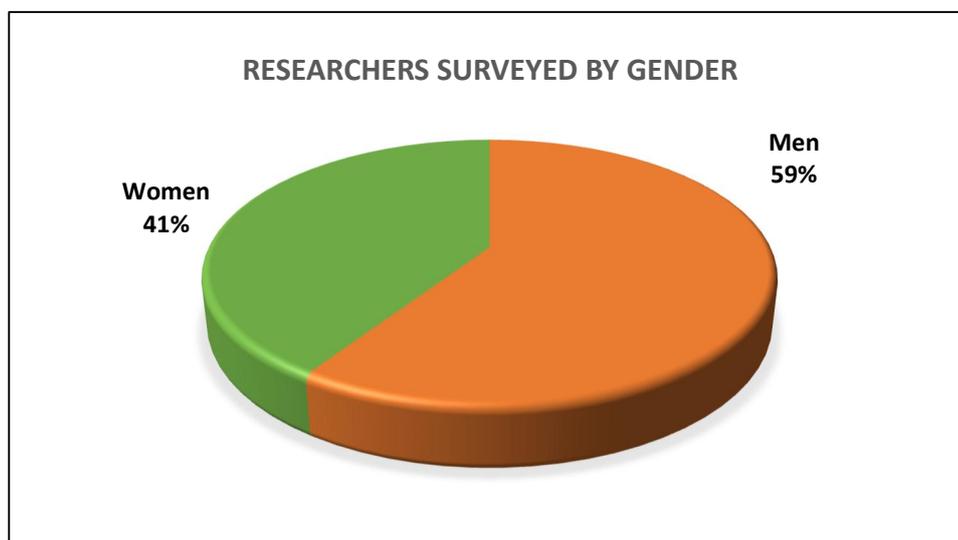
Finally, the draft of the Action Plan was sent by email to all the Institute’s staff, and when it was approved was posted on the IPHES’s website.

There are 42 researchers at the IPHES, 27 of which filled out the survey (64% of the IPHES researchers)

The number of IPHES researchers who participated in the study was as follows:

| Type of Researchers           | Men       | Women     | TOTAL     |
|-------------------------------|-----------|-----------|-----------|
| Trainee researchers (R1)      | 4         | 2         | 6         |
| Postdoctoral researchers (R2) | 1         | 1         | 2         |
| Pre-consolidation (R3)        | 6         | 3         | 9         |
| Stabilization (R4)            | 6         | 4         | 10        |
| <b>TOTAL</b>                  | <b>17</b> | <b>10</b> | <b>27</b> |





### GAP ANALYSIS METHOD

**1 – Following EU recommendations for the implementation of HRS4R, the action plan will be based on an internal self-assessment. With this aim, a monitoring committee and a working group for the implementation of the HRS4R at IPHES has been created including researchers from different areas of the Institute and the IPHES’s Management Department.**

#### Monitoring Committee:

Maria Targa (Managing Director)  
Robert Sala (Director)  
Xose Pedro Rodríguez (Research Director)  
Laura Pérez (HR Manager)

#### Working Group:

Ignasi Pastó (Research Coordinator)  
Jordi Agustí (Human palaeoecology in Plio-Pleistocene Research Group Leader)  
Andreu Ollé (Human palaeoecology in Plio-Pleistocene Research Group Representative)  
Palmira Saladié (Zooarchaeology and Taphonomy Area Representative)  
Francesc Burjachs (Archaeobotany Area Representative)

Hugo Blain (Palaeontology Area Representative)

Sergi Lozano (COMPATHEVOL Area Representative)

Marina Lozano (Palaeoanthropology Area Representative)

Antoni Canals (Geoarchaeology Area Representative)

Manuel Vaquero (Prehistoric socioecology and cultural changes Research Group Leader)

**2 – A survey was developed and sent to all the researchers at the Institute. This survey included the 40 Charter & Code principles in four areas:**

- Ethical and professional aspects
- Recruitment
- Working conditions & social security
- Training

27 of the 42 researchers in IPHES (64%) filled out the survey anonymously and made suggestions for improving each of the principles.

**3- INTERNAL ANALYSIS. Election of improvement actions for the implementation of the strategy HRS4R**

- In order to do the internal gap analysis, we used the results of the survey.
- To extract quantitative information on the degree of implementation of each question used in the following procedure:
- A) Has been assigned a specific percentage for each response option on the degree of implementation

1- Not Implemented (0% implementation)

2- Insufficiently Implemented (25% implementation)

3- Partially Implemented (50% implementation)

4- Almost implemented but not fully (75% implementation)

5- Fully Implemented (100% implementation)

B) To determine the final level of implementation (%) of each item, the results have been given weighted percentages for each question assigned previously.

- An item is considered implemented when its final implementation level is  $\geq 75\%$ . Therefore, some are not included in the Action Plan 2016-2019, but will be reviewed in the future.

1. Research freedom
2. Ethical principles
3. Professional responsibility
5. Contractual and legal obligations
6. Accountability
7. Good practice in research
8. Dissemination, exploitation of results
9. Public engagement
10. Non discrimination
22. Recognition of the profession
23. Research environment
24. Working conditions
31. Intellectual Property Rights
32. Co-authorship
36. Relation with supervisors
37. Supervision and managerial duties
38. Continuing Professional Development
40. Supervision

- Items with the degree of implementation  $<75\%$  were included in the Action Plan to improve its implementation.

4. Professional attitude
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)
- 25. Stability and permanence of employment
- 27. Gender balance
- 28. Career development
- 29. Value of mobility
- 30. Access to career advice
- 34. Complains/ appeals
- 39. Access to research training and continuous development

- There are five items that have not been included in the action plan from 2016 to 2019:

26. Funding and salaries:

Due to the economic crisis in 2013 we lowered wages. Our budget depends mainly on public funds and today we do not have sufficient funds to pay incentives to workers. We hope to increase overheads through competitive grants in the future to be able to increase the salary of the workers.

33. Teaching:

Teaching in IPHES is articulated through a collaboration established with the Rovira Virgili University which provides financial resources for teachers.

IPHES currently offers its employees free classes to improve english.

Teaching is taken into account in the assessment of individuals annually.

35. Participation in decision-making bodies:

In February a scientific committee was created in order to address issues of research. Monthly meetings are scheduled where research information is shared and questions are solved.

|  | % Average implementation | Included in Action Plan | ≥ 75% |
|--|--------------------------|-------------------------|-------|
| <b>Ethical and Professional Aspects</b>                    |                          |                         |       |
| 1. Research freedom  | 85,10%                   |                         | v     |
| 2. Ethical principles                                      | 82,43%                   | v                       | v     |
| 3. Professional responsibility                             | 80,48%                   | v                       | v     |
| 4. Professional attitude                                   | 74,00%                   | v                       |       |
| 5. Contractual and legal obligations                       | 75,95%                   |                         | v     |
| 6. Accountability  | 82,33%                   |                         | v     |
| 7. Good practice in research                               | 80,48%                   | v                       | v     |
| 8. Dissemination, exploitation of results                  | 77,70%                   |                         | v     |
| 9. Public engagement                                       | 85,20%                   | v                       | v     |
| 10. Non discrimination                                     | 89,83%                   | v                       | v     |
| 11. Evaluation/ appraisal systems                          | 69,38%                   | v                       |       |
| <b>Recruitment and Selection</b>                           |                          |                         |       |
| 12. Recruitment  | 72,15%                   | v                       |       |
| 13. Recruitment (Code)                                     | 63,83%                   | v                       |       |
| 14. Selection (Code)                                       | 59,20%                   | v                       |       |
| 15. Transparency (Code)                                    | 66,60%                   | v                       |       |
| 16. Judging merit (Code)                                   | 70,30%                   | v                       |       |
| 17. Variations in the chronological order of CVs (Code)    | 72,15%                   | v                       |       |
| 18. Recognition of mobility experience (Code)              | 72,15%                   | v                       |       |
| 19. Recognition of qualifications (Code)                   | 70,30%                   | v                       |       |
| 20. Seniority (Code)                                       | 66,60%                   |                         |       |
| 21. Postdoctoral appointments (Code)                       | 64,75%                   | v                       |       |
| <b>Working Conditions and Social Security</b>              |                          |                         |       |
| 22. Recognition of the profession                          | 78,63%                   |                         | v     |
| 23. Research environment                                   | 76,78%                   | v                       | v     |
| 24. Working conditions                                     | 77,70%                   | v                       | v     |
| 25. Stability and permanence of employment                 | 70,30%                   | v                       |       |
| 26. Funding and salaries                                   | 62,90%                   |                         |       |
| 27. Gender balance   | 72,15%                   | v                       |       |
| 28. Career development                                     | 67,53%                   | v                       |       |
| 29. Value of mobility                                      | 67,53%                   | v                       |       |
| 30. Access to career advice                                | 59,20%                   | v                       |       |
| 31. Intellectual Property Rights                           | 75,25%                   |                         | v     |
| 32. Co-authorship  | 80,48%                   |                         | v     |
| 33. Teaching   | 64,75%                   |                         |       |
| 34. Complains/ appeals                                     | 54,58%                   | v                       |       |
| 35. Participation in decision-making bodies                | 50,88%                   |                         |       |
| <b>Training and Development</b>                            |                          |                         |       |
| 36. Relation with supervisors                              | 76,88%                   |                         | v     |
| 37. Supervision and managerial duties                      | 77,70%                   |                         | v     |
| 38. Continuing Professional Development                    | 78,63%                   |                         | v     |
| 39. Access to research training and continuous development | 70,30%                   | v                       |       |
| 40. Supervision  | 77,70%                   |                         | v     |

## **IMPLEMENTATION METHOD OF HUMAN RESEARCH STRATEGY FOR RESEARCHERS**

The Action Plan will be implemented by means of a bottom-up process. The Scientific Internal Committee will review and approve proposals that will subsequently be submitted to the Steering Committee.

The **Steering Committee** is made up of members of the IPHES management area. It will meet twice a year in order to monitor the degree of implementation of every HRS4R action. The Committee will be in charge of organising all the meetings and providing the necessary tools in order to execute the action plan as defined.

The Steering Committee consists of the following members:

- Maria Targa (Managing Director)
- Robert Sala (Director)
- Xosé Pedro Rodríguez (Research Director)
- Laura Pérez (HR Manager)

The **Scientific Internal Committee** (SIC) will discuss and develop actions involving the research area in meetings taking place every three months. The minutes of the meeting will include the main concerns discussed as well as a report on the implementation of the action plan.

The SIC comprises 15 members including representatives from the three main research categories:

1. Research group leaders
2. Postdoctoral researchers
3. PhD student representatives

The Scientific Internal Committee consists of the following members:

- Ignasi Pastó, research coordinator
- Andreu Ollé, coordinator of the research group “Social, cultural and biological evolution during the Pleistocene”
- Hugues Blain, coordinator of the research group “Plio-Pleistocene Human Paleoecology”, and coordinator of the Palaeontology research unit
- Jordi Agustí, principal investigator of a National project (MINECO)
- Ethel Allué, coordinador of the research group “Analyses on Socio-ecological Processes, Cultural Changes and Population dynamics during Prehistory”, and coordinator of the Paleobotany research unit.

- Francesc Burjachs, principal investigator of a National project (MINECO)
- Antoni Canals, coordinator of the Geoarchaeology research unit
- Javier Fernández López de Pablo, principal investigator of an ERC Consolidator Grant
- Rosa Huguet, coordinator of the Zooarchaeology and Taphonomy research Unit
- Marina Lozano, coordinator of the Paleoanthropology research unit
- Sergi Lozano, coordinator of the Complex Patterns in Human Evolution research unit.
- Bienvenido Martínez-Navarro, principal investigator of a National project (MINECO)
- Marina Mosquera, coordinator of the Lithic technology and cognition research Unit.
- Antoni Pineda, representative of the PhD granted students
- Florent Rivals, principal investigator of a National project (MINECO)

The research structure of IPHES consists of three main research groups. Each research group is made up of researchers from different disciplines working together to achieve common scientific objectives. Therefore, the groups are interdisciplinary. In addition, their duration is temporary, as these groups have to be renewed from time to time (usually 3-5 years) and their objectives and composition updated. Each research group has researchers from several research units.

Research units take a disciplinary approach and are made up of postdoctoral researchers. Generally, the members of each unit share a background in a certain type of archaeo-paleontological material or a specific methodological approach. The research units are maintained over time, although their research lines and methodologies are periodically updated. There are seven research units: **Lithic Technology and Cognition, Zooarchaeology and Taphonomy, Palaeontology, Geoarchaeology, Complex Patterns in Human Evolution, Palaeobotany, and Palaeoanthropology**. Each research unit has a coordinator chosen by its members.

Moreover, the researchers are ascribed to several competitive research projects funded by Spanish and European institutions. There are currently five research projects funded by the Spanish government (MINECO projects) and one Consolidator Grant funded by the ERC.

PhD students are taken on as temporary members within IPHES's scientific career framework, beginning at the R1 stage. For this reason, they have representation on the SIC and take part in gap analysis surveys. A representative of the PhD students meets periodically with the research director, the research coordinator and the director of IPHES to discuss issues that affect the organisation and design of IPHES research.

## ACTION PLAN (2016-2020)

### I. Ethical and professional aspects

|                            |   |
|----------------------------|---|
| <b>ACTION 1</b>            | <b>Integrating HR strategy into the IPHES Strategic Plan</b>  |
| <b>Refers to principle</b> | 2, 3, 4, 7, 9   |
| <b>Goal</b>                | To integrate into IPHES's next Strategic Plan these aspects of the internal analyses in relation to the HRS4R framework in order to guarantee, among other aspects, ethical principles and good practices in research, professional responsibility and professional attitudes, and the public engagement of IPHES researchers with and for society. |
| <b>Lead by</b>             | Managing Director<br>Research Director<br>Director  |
| <b>Execution time</b>      | First and second quarter 2017   |
| <b>Deliverable</b>         | IPHES's next Strategic Plan   |

|                            |  |
|----------------------------|--|
| <b>ACTION 2</b>            | <b>Drawing up a gender equality plan</b>   |
| <b>Refers to principle</b> | 9, 10, 27  |
| <b>Goals</b>               | To promote diversity and equal opportunities between men and women as a strategic axis in achieving greater efficiency, innovation, creativity and competitiveness.<br><br>To ensure equality of opportunities in the recruitment of researchers and promote the access of women to research group leadership positions. |
| <b>Lead by</b>             | HR Manager<br>Managing Director<br>Research Coordinator  |
| <b>Execution time</b>      | Fourth quarter 2016  |
| <b>Deliverable</b>         | IPHES gender equality plan   |

## II. Recruitment

|                            |   |
|----------------------------|---|
| <b>ACTION 3</b>            | <b>Fostering the career development of researchers at the institute</b>   |
| <b>Refers to principle</b> | 12, 13, 14, 15, 16, 17, 18, 19, 21, 25  |
| <b>Goals</b>               | <p>To implement an IPHES Professional Research Code that will include ensuring transparency in the hiring process (selection and recruitment of researchers, merit evaluation criteria) and will consider variations in the chronological order of CVs and the recognition of qualifications.</p> <p>To draft a Career Development Guide in order to foster the career development of researchers within each of the different career stages (Junior, Mid and Senior), postdoctoral appointments and ways to stabilise and permanently retain employment.</p> |
| <b>Lead by</b>             | <p>Director</p> <p>Research Director assisted by Scientific Internal Committee</p>  |
| <b>Execution time</b>      | From the third quarter of 2017 to the first quarter of 2018   |
| <b>Deliverable</b>         | <p>IPHES Professional Research Code and Career Development Guide</p> <p>Putting all information related to hiring processes as career development within specific tabs on the corporate website</p>   |

|                            |  |
|----------------------------|--|
| <b>ACTION 4</b>            | <b>Assessing the accomplishment of the IPHES Research Career Plan Guide in accordance with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers</b>   |
| <b>Refers to principle</b> | 11, 12, 13, 14, 15, 16, 17, 18, 19, 21   |
| <b>Goal</b>                | To assess the degree of accomplishment of each researcher's research goals and achievements in each of the different career stage categories (Junior, Mid and Senior) in accordance with the IPHES Research Career Plan Guide, the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers through an annual evaluation procedure. |
| <b>Lead by</b>             | <p>Research Coordinator</p> <p>Research Director</p>   |
| <b>Execution time</b>      | From the third quarter of 2019 to the first quarter of 2020  |
| <b>Deliverable</b>         | Individual assessment report for each researcher regarding the accomplishment of descriptors established in the IPHES Research Career Plan Guide   |

|                            |   |
|----------------------------|---|
| <b>ACTION 5</b>            | <b>Reviewing and implementing the procedures and actions in OTM_R</b>   |
| <b>Refers to principle</b> | 12, 13, 14, 15, 16, 17, 18, 19, 21  |
| <b>Goal</b>                | To conduct open, transparent and merit-based recruitment in order to ensure equal opportunities in the recruitment of researchers and increase the research excellence of the centre. |
| <b>Lead by</b>             | HR Manager<br>Managing Director   |
| <b>Execution time</b>      | From the second to the fourth quarter of 2018   |
| <b>Deliverable</b>         | Open, transparent and merit-based recruitment check-list for organisations  |

|                            |  |
|----------------------------|--|
| <b>ACTION 6</b>            | <b>Posting all researcher vacancies on the EURAXESS Network</b>  |
| <b>Refers to principle</b> | 12, 13, 14, 15, 16, 17, 18, 19, 21   |
| <b>Goal</b>                | To improve the policy for open, transparent and merit-based recruitment practices in research to ensure that the best person is recruited for each vacancy and guarantee equal opportunities and access for all. |
| <b>Lead by</b>             | HR Manager<br>Managing Director  |
| <b>Execution time</b>      | Fourth quarter 2016  |
| <b>Deliverable</b>         | Position vacancy documents   |

### III. working Conditions and social security

|                            |  |
|----------------------------|--|
| <b>ACTION 7</b>            | <b>Preparing a welcome dossier and information on how the institute works</b>  |
| <b>Refers to principle</b> | 23, 24   |
| <b>Goal</b>                | To establish a systematic protocol for welcoming new employees and informing them about the internal organisation and its strategic goals; the communication of key information to new employees is necessary for their induction in the organisation. |
| <b>Lead by</b>             | Managing Director<br>Research Director<br>HR Manager   |
| <b>Execution time</b>      | First quarter of 2019  |
| <b>Deliverable</b>         | IPHES Welcome Guide  |

|                            |   |
|----------------------------|---|
| <b>ACTION 8</b>            | <b>Defining a conflict resolution and complaints procedure</b>  |
| <b>Refers to principle</b> | 27, 34  |
| <b>Goal</b>                | To mediate the differences between personnel by means of a conflict resolution procedure and a resolution committee with the aim of fostering an optimal working environment.<br><br>To eradicate any indication of sexual harassment or any other form of moral harassment in the working environment. |
| <b>Lead by</b>             | Managing Director<br>HR Manager   |
| <b>Execution time</b>      | Second quarter of 2019  |
| <b>Deliverable</b>         | Conflict resolution procedure   |

#### IV. Training

|                            |  |
|----------------------------|--|
| <b>ACTION 9</b>            | <b>Promoting training and mobility policies to strengthen the professional influence of the institute's staff</b>  |
| <b>Refers to principle</b> | 28, 29, 30, 39   |
| <b>Goal</b>                | To promote and facilitate access to research training and continuous development for all researchers, including mobility experiences, in accordance with their career stage to reinforce career development at a practical level accompanied by periodic access to career advice and mentoring provided by senior scientists and the Research Coordinator. |
| <b>Lead by</b>             | Research Coordinator<br>Research Director<br>Managing Director   |
| <b>Execution time</b>      | From the first to the third quarter of 2020  |
| <b>Deliverable</b>         | Degree of accomplishment of descriptors and goals established in the IPHES Professional Training Plan tailored to each researcher  |

**ACTION PLAN TIMELINE**

|  | 2016 |    |    | 2017 |   |   |   |   |   |   |   |   |    |    |    | 2018 |   |   |   |   |   |   |   |   |    |    |    | 2019 |   |   |   |   |   |   |   |   |  |  |  | 2020 |  |  |  |  |  |  |  |  |
|--|------|----|----|------|---|---|---|---|---|---|---|---|----|----|----|------|---|---|---|---|---|---|---|---|----|----|----|------|---|---|---|---|---|---|---|---|--|--|--|------|--|--|--|--|--|--|--|--|
|  | 10   | 11 | 12 | 1    | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 1    | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 1    | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |  |  |  |      |  |  |  |  |  |  |  |  |
| Gender Equality Plan                                   | █    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Posting all research vacancies on the EURAXESS Network | █    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Integrate HRS4R in IPHES Strategy Plan                 |      |    |    | █    | █ | █ | █ | █ | █ |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| IPHES Research Career Plan                             |      |    |    |      |   |   |   |   |   | █ | █ | █ | █  | █  |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Review OTM-R procedures                                |      |    |    |      |   |   |   |   |   |   |   |   |    |    | █  | █    | █ | █ | █ | █ |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Welcome Guide  |      |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    | █    | █ | █ |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Conflict resolution procedure                          |      |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Assessment report of accomplishment Research Career    |      |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |
| Professional Training Plan                             |      |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |    |    |    |      |   |   |   |   |   |   |   |   |  |  |  |      |  |  |  |  |  |  |  |  |