

## TEMPLATE 3: INTERNAL REVIEW

<p><b>Name Organisation under review:</b></p> <p>CATALAN INSTITUTE OF NANOSCIENCE AND NANOTECHNOLOGY, (ICN2). Fundació Institut Català de Nanociència i Nanotecnologia</p> <p><b>Organisation's contact details:</b></p> <p>Mrs. Rocío Pérez, Head of Human Resources <a href="mailto:rocio.perez@icn2.cat">rocio.perez@icn2.cat</a></p> <p><b>Web-link to published version of organisation's HR Strategy and Action Plan:</b></p> <p><a href="http://www.icn2.cat">www.icn2.cat</a></p> <p><b>Web-link to organisational recruitment policy (OTM-R principles):<sup>45</sup></b></p> <p><a href="http://icn2.cat/en/careers/what-do-we-look-for">http://icn2.cat/en/careers/what-do-we-look-for</a></p>
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**SUBMISSION DATE TO THE EUROPEAN COMMISSION:** 2017, MAY17<sup>TH</sup>

### 1. ORGANISATIONAL INFORMATION

Please provide an update of the 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	204,80
Of whom are international (i.e. foreign nationality)	89,46
Of whom are externally funded (i.e. for whom the organisation is host organisation)	84,61
Of whom are women	59,22
Of whom are stage R3 or R4 <sup>1</sup> = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	35,17
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	51,22
Of whom are stage R1 = in most organisations corresponding with doctoral level	74,46
Total number of students (if relevant)	74,46
Total number of staff (including management, administrative, teaching and research staff)	261,20
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	10.788.247,66 €
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	4.479.818,68 €
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	5.877.988,35 €
Annual funding from private, non-government sources, designated for research	430.440,63 €

<sup>1</sup> [http://ec.europa.eu/euraxess/pdf/research\\_policies/Towards\\_a\\_European\\_Framework\\_for\\_Research\\_Careers\\_final.pdf](http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf)

<b>ORGANISATIONAL PROFILE</b> (a very brief description of your organisation, max. 100 words)	
<p>ICN2 is a non-profit research centre of nanoscience and nanotechnology, located in Barcelona, Spain, promoted by Generalitat de Catalunya (Catalan Government), Consejo Superior de Investigaciones Científicas (Spanish Council for Scientific Research, CSIC) and Universidad Autònoma de Barcelona (Autonomous University of Barcelona, UAB), considered as a Catalan research centre, identified as 'CERCA centre'. It was accredited in 2014 as a Severo Ochoa Centre of Excellence.</p> <p>ICN2's mission is to achieve the highest level of scientific and technological excellence in Nanoscience and Nanotechnology and to facilitate the adoption and integration of nanotechnologies into society and industry.</p>	

## **2. NARRATIVE.**

ICN2 is a research institute resulting from the merger of two centres; CIN2 and ICN. The merger of the two centres made it necessary to plan and draft one single strategy for ICN2, in which the human resources strategy plays an important role.

As a starting point for the HR strategy, the centre welcomed the European Commission recommendation of 11 March 2005 and committed itself to apply the stated principles in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

We were awarded the HR Excellence in Research logo in June 2015, which has provided a great incentive for consolidating a cultural change within the institute, inspired by European principles concerning the development of researchers' careers.

We have worked on four major areas over these past two years:

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

### **Methodology:**

The institute started from scratch in terms of human resources policies, although in practice the principles of the European Charter for Researchers were already being applied in many aspects. Therefore, the work of the human resources department over the last two years has sometimes consisted of the agreed creation of policies and procedures and, at other times, in making those that were already in force both visible and consistent.

The main methodology implemented has been the creation of working groups in the institute, organised by topics and made up of both researchers and administrative and scientific technical support personnel. This has enabled us to largely guarantee employee acceptance of the policies and procedures launched in 2015 and 2016.

On the other hand, the human resources department has played a role in the analysis of documents published by the European Commission and consultation with organisations such as VITAE, as the basis for the creation and submission of initiatives for human resources plans to management. It has also coordinated and guided the Institute in raising awareness about the principles of the European Charter for Researchers in discussions held by the working groups.

### **Examples of actions in each subject area:**

#### Ethical and professional aspects.

ICN2 is aware of the importance of establishing the ethical principles of the institute, both on a scientific level and concerning researchers' behaviour, and on a more administrative and procedural level.

An ethics committee has been set up, which has appointed various working groups, and legal advisory services have been contracted so that the centre will soon have a code of ethics.

#### Working conditions and social security.

The institute reviewed the legal framework defining contractual relationships, and created a group of legal representatives for employees who, together with Institute representatives, debated and drafted the institutional bargaining collective agreements.

These agreements were notified to all employees, were translated into English and are available to all employees on the Institute's intranet.

In the realm of internal policies, aspects such as the working calendar, flexitime policy and enjoyment of holidays were clarified.

At the same time, the institutional social benefits that the institute had established until then were reviewed, with a specific institutional social benefit being approved for women researchers, in order to promote equal opportunities between men and women researchers.

#### Training and development.

ICN2 believes that training is a key tool for the development of our researchers' careers.

In 2015, the institute drew up its training policy and published its first company training plan.

We are currently working hard on a specific training plan for PhD students. This training plan encourages and recognises personal skills as a key distinguishing element in the development of researchers.

#### Open, transparent and merit-based recruitment (OTM-R).

Talent recruitment is perhaps the area in which the institute has demonstrated its greatest willingness to change, by applying the principles of openness, transparency and selection based on scientific merits.

We have worked exhaustively in this area and have made great progress. A detailed explanation can be found in section 3 of the form.

In conclusion, we can say that receiving the HR Excellence in Research Award has meant a cultural transformation in the institute as regards career development. The greatest achievement with the award is that it has caused us to consider and define a clear strategy, and to design an action plan that will be implemented over the next few years.

### 3. ACTIONS.

<i>Title action</i>	<i>Timing</i>	<i>Responsible Unit</i>	<i>Indicator(s)/target</i>	<i>Current status</i>
1. Review of the Welcome Package: Improve the procedure of information about relocation and social security coverage. Detail flexible working hour policy.	Dec 2015	HR Department	1. Writing of one document with the legal requirements. 2. Dissemination of the new documents to all staff	<b>Completed.</b> We have launched a guide of New comers with the aim of giving response to practical issues. We detail in an annual basis in our calendar work our flexible working hour policy.
2. Periodical information to GL and Administration Managers about changes regarding labour legislation	Continuous	HR Department	Sending emails explaining the changes	<b>Implemented, continuously on going.</b> We inform by email and specific sessions our employees about labour legislation changes and inputs they should have into account.
3. Translation of the employment contracts to English	June 2015	HR Department	1. Used in new hires	<b>Completed</b> The official form as well the particular clauses are translated to English. We spent time in each new incorporation explaining the details of the contracts.
4. Write a procedure and a policy about financial aid for students and interns	Dec 2016	HR Department	1. Write the procedure 2. Dissemination to GL and Administration Managers	<b>Completed</b> We have launched de "Summer Fellowship Programme".
5. Write a policy about funding mechanisms and include it in the Welcome	June 2016	Projects Department	1. Write a policy 2. Communication to all	<b>In preparation</b> We have changed the approach of this item.

Package			employee and new incorporations	We will work on it as part of our Talent Attraction policy, giving information about funding mechanisms in our web.
6. Inclusion of the ICN2 Technology Transfer policy in the Welcome Package	Dec 2015	TT and HR Department	<ol style="list-style-type: none"> <li>1. Delivery of the new policy</li> <li>2. continuous training about this issue</li> </ol>	<b>Completed</b> We have an “Industrial and Intellectual Property Policy” that has been communicated to all employee and is given and explained to each incorporation.
7. Review the IT procedures and include an IT policy in the Welcome Package	June 2016	IT Department	<ol style="list-style-type: none"> <li>1. Set a policy</li> <li>2. Communication to all employee and new incorporations</li> </ol>	<b>In preparation</b> Due the new IT Manager joined ICN2 in 2016, we expect to have it during 2017
8. Review the role of the Health & Safety Committee and analyse the need for reinforcing the current resources	June 2016	Directors Office	1. Follow up of Health & Safety Committee Meetings	<b>Completed</b> One person was hired as Health & Safety officer with the aim to foster the area. Several Safety committee are appointed as well.
9. Write an internal recruitment procedure and Interviewer guide following the principles of transparency and equal opportunities.	Dec 2015	HR Department, Recruitment Committee	<ol style="list-style-type: none"> <li>1. Write the procedure</li> <li>2. Communication to all employee</li> </ol>	<b>Completed</b> The procedure was launched in 2015. For its implementation we have launched several actions and done improvements in our internal tools.
10. Establish an internal recruitment committee	Dec 2015	HR Department	1. Dissemination of the members of the Committee	<b>Completed</b> One internal recruitment committee is appointed in each selection process of postdoctoral positions.
11. Establish a procedure to support and follow the careers of ex members of ICN2	June 2018	Directors Office and HR Department	1. Design a procedure of interviews with ex members ICN2	<b>In preparation</b> The programme will be launched during 2018
12. Contact target Universities and establish Frame Agreements	Continuous	HR Department	1. Signature of new Frame Agreement	<b>Implemented, continuously on going.</b> ICN2 has signed at least

				ten agreements with several Institutions and Universities. This is a key objective of our strategy.
13.Design a Training Plan for ICN2 staff that includes:  - English courses - Communication skills - Technology Transfer  Health & Safety	June 2015	HR Department	1.Dissemination and execution of the Plan	<b>Completed</b> One Training Plan is designed and launched in annual basis, as part of our professional development plan for researchers. The HR department drafts, as well, one annual report with the aim to monitor the accomplishment of strategic indicators of ICN2.
14.Write one specific Initial Training Plan for new staff	June 2015	HR Department	1. Analysis of training needs  2.Dissemination of the procedure	<b>Completed</b> We have designed one specific training plan for our PhD students. Each incorporation has an individualized agenda, with the trainings and meetings needed for a suitable performance.
15.Establish a procedure for certification of attendance of courses and technical proficiency of all ICN2's members	June 2016	HR Department	1.Commissioning of the procedure	<b>Completed</b> ICN2 has invested in one training software that allows the certification of trainings.
16.Design an appraisal system for Administration and Divisions	June 2015	HR Department	1.Dissemination of the system 2.Conduction of individual performance evaluations	<b>Completed</b> ICN2 has implemented in 2015 one appraisal system for administration and division staff, with the aim of aligning employee's performance with the strategic goals of the Institution.
17. Design and implement procedures for the evaluation of research performance	Dec 2017	Directors Office, GLs and Scientific Advisory Board	1.Implementation of the procedure	<b>Implemented, continuously on going</b> ICN2 has an internal protocol with indicators regarding the research

				performance. We are currently working in a PhD programme that will monitor and assess the performance of our PhD students.
18. Establish the Equal Opportunities and Diversity Management Committee	Dec 2015	Directors Office and HR Department	1. Following up of its work	<b>Completed</b> Created in 2014
19. Improve policies on work and family balance	Dec 2016	HR Department	1. Establishment of new social benefits 2. Dissemination in Welcome Brochure	<b>Implemented, continuously on going</b> ICN2 has launched a perk for women researchers in 2016.
20. Establish personal development procedures in order to foster career development: - Follow up interviews Exit interview	Dec 2018	HR Department	1. Start of new procedures	<b>Completed</b> As part of our induction plan, the HR department is performing following and exit interviews with those employees who join ICN2.
21. Writing an Ethical Code of ICN2	Dec 2016	Directors Office, Manager and HR Department	1. Appointment of an Ethical Committee	<b>In preparation</b> One committee has been appointed and the Ethic Code has been drafted. We need the final approval of our Trustee board in order to be communicate to employees.
22. Disseminate the ICN2 Communication Plan, and include a communication policy in the Welcome Package	Dec 2015	Communication and Marketing Department	1. Design one Communication Plan 2. Dissemination to all employee	<b>Completed</b> The Communication department launched its communication plan in 2016.

In addition to the Plan we have committed in 2014, ICN2 has launched other procedures and activities such as:

- Launching of a climate survey for all employees with the objective of analyzing and taking into account the results as the basis of our strategy and design of the area of professional development.
- Launching of one Mentoring Programme.
- Launching of one Mobility Programme for PhD students.

- Launching of an internal training program that allows the exchange of scientific knowledge and techniques among research groups called: "Open Knowledge Program".
- Procedure for the protection, detection and treatment of harassment situations.

Besides, the Head of HR and the People Development Officer have played the role of external assessors regards the application of some European research centres to the HRS4R Award.

### **Open, Transparent and Merit-Based Recruitment Policy**

ICN2 identified the recruitment and retention of talent as a key point of its human resources strategy.

The institute established critical aspects that needed to be attained, such as the drafting of a selection procedure that would establish the principles for our recruiting policy. In December 2015, ICN2 published its selection procedure for postdoctoral positions.

The methodology we followed to achieve this was:

The human resources department informed the Director of the centre of the need to draw up an agreed selection procedure for the institute that would follow the OTM-R guidelines of the European Commission.

The Director of the institute convened the "*Cohesion working group*"<sup>2</sup> to discuss and lay the basis for what would be the selection procedure.

The HR department prepared a draft that would serve as a basis for the meetings of the "*Cohesion working group*". The fundamental role of the HR department was to re-inform researchers of the principles of the European Charter of Researchers and guide them in the principles of the OTM-R methodology.

The procedure was drafted after several meetings and consultation with researchers outside of the committee. In December 2015, the procedure was distributed throughout the Institute and put into practice.

The implementation and consolidation phase consisted mainly of personalised guidance provided by the Institute's people development officer for each GL that needed to cover a vacancy.

Institutional initiatives have also been carried out, such as the organisation in March 2017 of a HR workshop, where the HR department and researchers reviewed issues related to the implementation of the selection procedure in the Institute and decided on the next steps to take. Four hours of the workshop were devoted to this.

Janet Metcalfe, the CEO of VITAE, opened the workshop with a speech about the importance of the human resources strategy defined by the European Commission. Later there was a screening of a video, the result of an initiative by CERCA, about OTM-R policies.

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<sup>2</sup> The Cohesion Working Group is an internal committee of senior scientists and managers constituted to identify challenges and propose solutions, as part of a continuous improvement to make ICN2 a better workplace.

All of the above served as a basis for the department's subsequent working session with the Group Leaders and senior researchers. Over the following two hours, together they reviewed the OTM-R checklist point by point before completing it.

We have therefore successfully raised awareness among researchers regarding the importance of transparency and selection based on scientific merit.

On the other hand, we are currently working in our institutional PhD Program. This program will have one specific recruitment process for PhD positions taking into account as well the OTM-R principles.

#### **4. IMPLEMENTATION.**

The implementation phase of the HRS4R action plan should be analyzed from two different scopes. On the one hand, the institutional framework to which ICN2 belongs, and on the other, the internal one.

It is worth highlighting the institutional framework to which ICN2 belongs as it has served as an impeller for the implementation for human resources policies established by the European Commission.

ICN2 is member of CERCA; The CERCA Institute is the Government of Catalonia's technical service and its means for supervising, supporting and facilitating the activities of the research centers in the CERCA system. Set up as a foundation, it was created in 2010 to respond to the commitments of the Catalan Agreement on Research and Innovation.

In addition, ICN2 is member of BIST; The Barcelona Institute of Science and Technology is a scientific initiative of six of Catalonia's research centers of excellence whose objective is to increase their levels of collaboration in order to build together a joint scientific project. Its strength is based on the research capacities of the six centers and its potential to promote multidisciplinary, cutting-edge projects.

I would say that CERCA has played a very important role in terms of "cultural change transmission", the work it has carried out has been more conceptual through recommendations to the centers about the appropriateness of following the European guidelines. For example: Submission to the HRS4R logo, Equality Plans...

While BIST has launched concrete actions that allow the career development in the research institutions, such as the organization of courses for researchers in all stages, eg: "From science to business", "How to be an effective researcher", "Leadership in action".

At internal level, the HR Department is in charge of implementing the actions committed in HRS4R. To this end, different actions have been carried out:

The position of "People development officer" was created in the Institution as a support to the department's management in the design of the plans and launch of actions. Therefore, the department has been in charge of the coordination and supervision of the Plan.

Besides, the department was involved in each of the actions the rest of the staff of the Institute by creating working groups composed of representatives of all collectives (research, administration and technical scientific support) and all positions.

In addition, at the initiative of the Director of ICN2, it was organized the “1<sup>st</sup> HR Workshop” in order to involve the principal researchers and postdoc seniors of the Institution. The topics of this workshop has been the OTM-R policy and the institutional PhD Program, which is currently being discussed within the organization.

In this way, we can say that it has ensured the awareness and cultural transformation that involves the implementation of the actions, and the consensus and acceptance of them prior to launch. The second phase of the implementation will be done with the launching of some of the plans that have not yet been put in action, but above all, by paying attention to the monitoring of the programs already in place to consolidate them in the Institution.

Finally, it is planned to appoint in mid-2018 an internal committee with auditor functions, in order to certify the level of implementation of the actions committed in HRS4R.