

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: INSTITUTE FOR ANTHROPOLOGICAL RESEARCH

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SUBMISSION DATE: 14TH OF NOVEMBER 2017

DATE ENDORSEMENT CHARTER AND CODE: 14TH OF DECEMBER 2011

Please provide the date when your organisation officially endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues.¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

The HRS4R process at the Institute for Anthropological Research (INANTRO) is primarily conducted through the cooperation of the assistant director, head of the Department for General and Administrative Affairs and Human Resources and the professional associate in science for international projects who regularly discuss issues on human resources and international mobility and who also form the *HRS4R process INANTRO working group*. In order to prepare the necessary documentation for the strengthened HRS4R implementation procedure, *the HRS4R process INANTRO working group* has communicated regularly (face to face, e-mail, phone) and has held two meetings: on the 25th of October 2017 and on the 9th of November 2017. The Agency for Mobility and EU Programmes was consulted twice through phone during November 2017 about the documentation preparation. The working group is responsible for overseeing and the implementation of the HRS4R process.

Since all human resources issues connected to researchers at INANTRO are discussed at the monthly Scientific Council meetings, the whole research community at the Institute is included in the processes and has the right to vote and speak up (the assistants and post-doctoral researchers have their representative in the Council). Moreover, all employees of the Institute are informed on all work related issues through e-mails that are sent when necessary from the Director's Office. The professional associate for international projects regularly informs employees on possibilities for trainings or workshops related to HRS4R issues.

¹ The term 'Human Resources' is used in the largest possible sense, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career level, type of contract etc. etc.

² For a description of R1-R4, please see http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation’s GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter’s implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation’s recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

Status: to what extent does this organisation meet the following principles?	+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented	In case of -, -/+, or +/-, please indicate the actual “gap” between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+		Research freedom is promoted in the Statute of the Institute, the Science and Higher Education act, the Rules of Good Academic Practice for Scientific Research and the Code of Ethics.
2. Ethical principles	+		The implementation of the Ethical principles is controlled by the Institute’s Ethics Committee and by documents: Code of Ethics and The Rules of Conduct of the Ethics Committee.
3. Professional responsibility	+		Professional Responsibility is prescribed in the Statute of the Institute for Anthropological Research, the Code of Ethics and Rules of Conduct of the Ethics Committee.
4. Professional attitude	+		Defined in the Statute, the Rules of Conduct of the Scientific Council, Strategy of the Development of the Institute for Anthropological Research for the period 2015-2019 and the Mentoring Regulations and

			Regulation on evaluation of the work of assistants, post-doc researchers and mentors.
5. Contractual and legal obligations	+		Defined by the Statute, Labour Act and the Science and Higher Education Act. Moreover, each employee of the Institute is obliged to write a yearly report addressed to the Director on the fulfilment of their required scientific and professional results.
6. Accountability	+		Defined in the Statute, Code of Ethics, Rules of Conducting Scientific Projects, Regulation on internal Organization and Work Methods of the Institute.
7. Good practice in research	+		Defined in the Statute and the Rules of Good Academic Practice for Scientific Research.
8. Dissemination, exploitation of results	+		Defined by the Statute of the Institute, Rules of Conducting Scientific Projects. Moreover, each researcher of the Institute is obliged to include a topic on dissemination in their yearly reports towards the Director of the Institute.
9. Public engagement	+		One of the goals defined in the Strategy of the Development of the Institute for Anthropological Research for the period 2015-2019. Documented and supervised by the Professional Associate for International Projects.
10. Non discrimination	+		Defined by the Statute and Code of Ethics, as well as the Anti-discrimination Act, the Labour Act and the Constitution of the Republic of Croatia. Supervised by the Department for human resources, legal and general affairs.

11. Evaluation/ appraisal systems	+		Defined by the Mentoring Regulations and Regulation on evaluation of the work of assistants, post-doc researchers and mentors. Supervised by the Scientific Council, to whom yearly reports on the work of mentors, assistants and post-doc researchers are addressed.
Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition , your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.			
12. Recruitment	+		Defined in the recently updated Code of Conduct for the Recruitment of Researchers. Researchers returning to a research career are in no way discriminated, they only need to fulfil the scientific criteria of the Code of Conduct.
13. Recruitment (Code)	+/-	Calls for job positions are regularly published with a description of requirements and working conditions. However, a description of career development prospects is usually not included, since it is not included in the official template of the <i>People's Newspaper</i> job vacancies announcements.	The Scientific Council is in charge of the selection procedure for scientific and associate positions. Calls for job positions are regularly published on euraxess.ec.europa.eu, the Croatian Employment Service, the <i>People's Newspaper</i> as well as on the official Institute's website on both English and Croatian.
14. Selection (Code)	+/-	Selection Committee does not include members from other countries since it is not predicted in the Croatian Labor Act.	Competent members of a Selection Committee are voted for each call at the Scientific Council meetings. Both male and female members as well as members with different scientific backgrounds are chosen into the Committees.
15. Transparency (Code)	+/-	A description of career development prospects is usually not included, since it is not included in the official template of the <i>People's Newspaper</i> job vacancies announcements. However, INANTRO should start the practice of sending	A written explanation arguing the choice of a particular candidate is sent to all applicants. INANTRO should work on sending personalized notes to each candidate.

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16. Judging merit (Code)	+		The Code of Conduct for the Recruitment of Researchers contains wide and clearly defined criteria for the recruitment of researchers. Publications, but also mobility, teaching, awards, organizing and participating in conferences, functions in different associations and activities in the domain of science popularization are valued. Moreover, according to the Code, the interview is an inevitable part of the recruitment process.
17. Variations in the chronological order of CVs (Code)	+		According to the Code of Conduct for the Recruitment of Researchers, there are no penalties for career breaks and variations in the chronological order of CVs.
18. Recognition of mobility experience (Code)	+		Any kind of mobility experience is valued, according to the Code of Conduct for the Recruitment of Researchers.
19. Recognition of qualifications (Code)	+/-	The recognition of foreign education certificates is not in the domain of INANTRO, but the Agency for Science and Higher Education of the Republic of Croatia.	The head of Sub-department for human resources, legal and general affairs regularly communicates with Agency for Science and Higher Education and is well informed on the subject matter.
20. Seniority (Code)	+		According to the Code of Conduct for the Recruitment of Researchers the applicants are valued by their achievements and lifelong development is valued.
21. Postdoctoral appointments (Code)	+		The postdoctoral status is regulated by the Statute of the Institute for Anthropological Research and the Ordinance on organization

			and statuts of work positions, as well as in the Regulation on evaluation of the work of assistants, post-doc researchers and mentors.
Working Conditions and Social Security			
22. Recognition of the profession	+		Regulated by the Statute, the Code of Ethics, as well as by the Croatian legislation (Labour Act).
23. Research environment	+		The Institute is placed in an appropriate space, with the necessary research and laboratory equipment. However, by applying to a call for infrastructural projects this year, INANTRO plans to upgarde its laboratory in order to start conducting analysis for econimcal purposes.
24. Working conditions	+		Regulated by the Statute of the Institute for Anthropological Research and the Rules of Working Conditions of INANTRO.
25. Stability and permanence of employment	+/-	Young Researchers' contracts are temporary at the Institute, which is based on the Croatian legislation. Permanent contracts depend on the consent of the Ministry of Science and Education of the Republic of Croatia.	The Institute has two kinds of employment contracts: permanent (administration staff, associate positions) and temporary (for young researchers) with the possibility of extension.
26. Funding and salaries	+/-	Salaries depend on the Croatian legislation but there is room for improvement and INANTRO seeks additional funding through different international projects.	INANTRO will continue to actively apply for international funding in order to improve research salaries.
27. Gender balance	+		Gender balance is guaranteed by the Croatian Labour Act and Act on Gender Equality. All job announcements include a statement that the call is opened for both male and female candidates. Out of 26 researchers currently employed at the Institute, 17 are women.

28. Career development	+		Relevant documents on this subject are: Code of Conduct for the Recruitment of Researchers, the Statute, Mentoring Regulations and Regulation on evaluation of the work of assistants, post-doc researchers and mentors.
29. Value of mobility	+		INANTRO highly values mobility, has accepted various interns from different countries in the last few years. Moreover, mobility is highly valued during job recruitment, as well as in the yearly reports on work that all employees of the Institute need to submit. Encouraging mobility is one of the issues defined by the Strategy of the Development of the Institute for Anthropological Research for the period 2015-2019. All mobility issues are regularly discussed on the Scientific Council meetings.
30. Access to career advice	+		The head of the Department for human resources, legal and general affairs offers career advice and assistance and the Professional associate for international projects offers support in finding work placements, trainings, etc. abroad.
31. Intellectual Property Rights	-/+	Aside from the Croatian Legal Acts, and the Statute, INANTRO has no particular internal document that regulates Intellectual Property Rights, which should be drafted in the near future, especially since the Institute plans to connect more with commercial and industrial organizations.	Although the head of the Department for human resources, legal and general affairs offers legal advice on this issue, an internal document should be drafted in the near future.
32. Co-authorship	+		Co-authorship is appreciated at the Institute and it is regulated in the Statute and the rules of Working Conditions at the Institute.

33. Teaching	+		Teaching is appreciated at INANTRO, and is one of the Institute's main activities, as defined in the Statute. Improving the participation of INANTRO staff in Croatian higher education is one of the goals of the Institute, defined in the document <i>Strategy of the Development of the Institute for Anthropological Research for the period 2015-2019</i> .
34. Complains/ appeals	+		All complaints and appeals are taken care of by the head of the Department for human resources, legal and general affairs and the relation of the supervisors and early stage researchers is regulated by the <i>Mentoring Regulations and Regulation on evaluation of the work of assistants, post-doc researchers and mentors</i> .
35. Participation in decision-making bodies	+		There is a representative of the employees of the Institute in the Governing Board, as well as a representative of the Scientific Council. On Scientific Council meetings all researchers have a vote on relevant scientific issues of the Institute and young researchers have their representative in the Council.
Training and Development			
36. Relation with supervisors	+		Regulated by the <i>Mentoring Regulations and Regulation on evaluation of the work of assistants, post-doc researchers and mentors</i> , as well as the yearly reports on the work of assistants, post-doc researchers and mentors addressed to the Scientific Council.
37. Supervision and managerial	+		Regulated by the <i>Mentoring Regulations and</i>

duties			<i>Regulation on evaluation of the work of assistants, post-doc researchers and mentors, as well as the yearly reports on the work of assistants, post-doc researchers and mentors addressed to the Scientific Council.</i>
38. Continuing Professional Development	+		Continuing Professional Development is highly encouraged and also valued in the yearly report on work of each employee. The Institute regularly organizes scientific conferences: in 2016 it organized two smaller and two big international conferences. The Professional Associate for International Projects regularly informs employees about the possibilities for trainings and workshops.
39. Access to research training and continuous development	+		The Professional Associate for International Projects regularly informs the staff about the possibilities for trainings and workshops and INANTRO will continue to seek funds from international programs in order to, among other, enable various training opportunities for its staff.
40. Supervision	+		Regulated by the <i>Mentoring Regulations and Regulation on evaluation of the work of assistants, post-doc researchers and mentors</i> , as well as the yearly reports on the work of assistants, post-doc researchers and mentors addressed to the Scientific Council.
Any additional issues			

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list³

OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++	http://www.inantro.hr/en/2017/01/09/hr-excellence-in-research-2/
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	Date of latest update: 9 th November 2017. The policy in both languages is attached to this file.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+	Training is organized through meetings of the HRS4R working group. However, a special training with an external expert will be organized (in cooperation with the Agency for mobility and EU programmes).
4. Do we make (sufficient) use of e-recruitment tools?	x	x		+/-	Apart from EURAXESS and on-line national tools, INANTRO plans to start using more recruitment tools.
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	OTM-R is controlled by the HRS4R working group.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	External candidates are in no way discouraged by the INANTRO OTM-R policy. Out of 8 job openings in 2017, 4 external candidates have been employed.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+/-	OTM-R INANTRO policy does not discourage researchers from abroad. However, in 2017 there have only been a few applications from abroad. We believe this is also due to the fact that Croatian salaries and standard of living is not highly attractive to European researchers.
8. Is our current OTM-R policy in line with policies to	x	x	x	++	OTM-R INANTRO policy does not discourage

³ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

attract underrepresented groups?					underrepresented groups. Out of 8 job openings in 2017, 6 women have been employed.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	For the 8 job positions published in 2017, more than 90% of applications have been external.
10. Do we have means to monitor whether the most suitable researchers apply?				-/+	INANTRO does not have a system for monitoring this issue, except through their CV-s. However, a high number of suitable researchers apply regularly to job positions at INANTRO.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	Apart from EURAXESS, there are set templates for advertising job positions at the Croatian Employment Service and The People's Newspaper.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report ⁴]	x	x		+/-	Job advertisements are created according to the Croatian Employment Service and The People's Newspaper templates.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++	Advertisements for all job openings are regularly posted at EURAXESS.
14. Do we make use of other job advertising tools?	x	x		+/-	INANTRO uses national job advertising tools and EURAXESS. However, more use of international job advertising tools should be worked upon. In addition, all job openings are listed on the Institute's website (in Croatian and English), in the official publication People's Newspapers, and on the web page of Croatian Employment Agency.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x			++	All candidates are required to send only one copy of their documentation which is kept to a minimum (CV, degree certificate and, only if necessary for the position, copies of published work, etc.)
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) ⁴⁵]		x	x	++	Selection committees are chosen by voting on the scientific council meetings.
17. Do we have clear rules concerning the composition of selection committees?		x	x	++	Selection committees are chosen by voting on the scientific council meetings.

⁴ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

18. Are the committees sufficiently gender-balanced?		x	x	++	There were 8 three-membered (president + two members) committees selected in 2017. 13 times members were male and 11 times members were female. A member of the committee was external twice.
19. 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	++	Clear guidelines are set in the Code of Conduct for the Recruitment of Researchers.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Yes, an official document containing the decision and a well-argued explanation is sent to all applicants.
21. Do we provide adequate feedback to interviewees?		x		+/+	All applicants are sent official, detailed decision and explanation on the process.
22. Do we have an appropriate complaints mechanism in place?		x		++	There has been only one complaint in 2017. However, after a more thorough explanation was sent by the Committee, the complaint was withdrawn.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	Overall assessment is provided by the INANTRO HRS4R working group.

OTM-R policy of the Institute for Anthropological Research (national language)

Politika zapošljavanja Instituta za antropologiju temelji se na Statutu Instituta za antropologiju te čl. 40. Zakona o znanstvenoj djelatnosti i visokom obrazovanju.

Uz odluku o raspisivanju natječaja za znanstveno radno mjesto te za radno mjesto asistenta i poslijedoktoranda, Znanstveno vijeće imenuje povjerenstvo od tri člana. Obveza je Povjerenstva da u roku od trideset dana od dana imenovanja dostavi Znanstvenom vijeću izvješće o tome ispunjava li pristupnik uvjete za izbor. Temeljem tog izvješća Znanstveno vijeće donosi odluku o izboru na radno mjesto.

Izbor i zapošljavanje na radna mjesta u institutskim službama obavlja se temeljem provedenog javnoga natječaja koji raspisuje Institut.

Javni natječaj objavljuje se u “Narodnim novinama”, na stranicama Hrvatskog zavoda za zapošljavanje, na web-stranicama Instituta za antropologiju te na portalu Euraxess.

Članovi Komisije imenuju se iz reda službenika koji imaju potrebno obrazovanje i stručno znanje vezano za utvrđivanje znanja, sposobnosti i vještina kandidata u postupku javnog natječaja.

Komisija obavlja sljedeće poslove:

- utvrđuje koje su prijave na natječaj pravodobne i potpune
- obavještava jedinicu za ljudske potencijale o prijavama koje su nepravodobne i nepotpune
- utvrđuje listu kandidata prijavljenih na javni natječaj koji ispunjavaju formalne uvjete iz javnog natječaja, a čije su prijave pravodobne i potpune i kandidate upućuje na testiranje i intervju
- provodi testiranje i razgovor (intervju) s kandidatima radi utvrđivanja njihovog znanja, sposobnosti i vještina te rezultata u dosadašnjem radu
- čelniku tijela podnosi izvješće o provedenom postupku, uz koje prilaže prijedlog kandidata

Nakon odabira kandidata, svim osobama koje su poslale prijavu na natječaj šalje se odluka o odabiru kandidata uz obrazloženje te im se daje rok od 15 dana za žalbu.

OTM-R policy of the Institute for Anthropological Research (English language)

The policy of job recruitment at the Institute for Anthropological Research is based on the Statute of the Institute and article 40 of the Act on Scientific Activity and Higher Education.

The decision about opening a call for a job position (R1, R2, R3 and R4 stage researchers) is accompanied by a decision about the selection committee for the job opening, whose members are decided by voting at the Scientific Council meetings. The duty of the Scientific Council is to deliver a report about the candidates who applied for the position and their well-argued suggestion about the candidate that best meets the position and requirements. Based on this report, the Scientific Council makes the final decision about the candidate.

The recruitment for non-scientific (professional) positions is conducted through a public call announced by the Institute.

All calls for job positions are published in the “People’s newspaper” (the official gazette of the Republic of Croatia), the Croatian Employment Service, the web page of the Institute for Anthropological Research and on EURAXESS.

The committee members are qualified employees (of the Institute or external) who have the education level and professional experience necessary for the assessment of the skills and knowledge of the candidates.

The committee: establishes which applications are complete and have arrived on time; informs the Department for human resources, legal and general affairs about incomplete and applications that arrived after the deadline; makes a list of candidates who fulfil the formal conditions of the call and whose applications have arrived on time and are complete; organizes interviews with the candidates and conducts them in order to check their knowledge and skills; writes a report on the whole procedure and makes a suggestion about the most competent candidate to the Scientific Council.

If the Scientific Council agrees with the Committee’s suggestion, a formal decision is written and sent to all candidates who have applied for the position. The decision also contains an explanation and all candidates are given a 15-day deadline for filing a complaint.