

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: Institute for Migration and Ethnic Studies (IMIN)

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DATE ENDORSEMENT CHARTER AND CODE: 18 MAY 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 Institute initiated the HRS4R process in the second half of 2016 and the process lasted until the end of the year. The Working group consisted of nine (9) members of the personnel, eight (8) from the Scientific Council and the Institute's Project Manager. Sanja Klempić Bogadi is the group coordinator. However, considering the process was directed from the Scientific Council, during regular meetings the Governing Board and the administrative and legal services were involved in the process by discussing and approving decisions and implementing principles into the Institutes procedures. Within the period of six (6) months, four (4) meeting of the HRS4R Working Group were held, whose tasks were in accordance with the Action Plan, accompanied by online follow-up sessions. The personnel directly involved in the process was included on the basis of expertise and involvement in procedures regarding the recruitment of researchers and general recruitment and HR quality.

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	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 2, Article 20, Article 112 Code of Ethics of the Committee for Ethics in Science and Higher Education (13 November 2006)	
2. Ethical principles	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 2, Article 37, Article 112 Code of Ethics of the Committee for Ethics in Science and Higher Education (13 November 2006) Personal Data Protection Act (Official Gazette 103/03, 118/06, 41/08, 130/11, 106/12) Article 11, Article 13 Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015))	
3. Professional responsibility	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 37, Article 82 Code of Ethics of the Committee for Ethics in Science and Higher	

		<p>Education (13 November 2006) Article 2, Article 8 Personal Data Protection Act (Official Gazette 103/03, 118/06, 41/08, 130/11, 106/12) Article 11, Article 13 Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015) Regulations on Mentor's Work and Assessment of Asistants' and Postdoctorals' Work (Governing Board, 27 January 2014)</p>	
4. Professional attitude	+/-	<p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 3, Article 111a-f</p>	The 2017-2019 Action plan will include the preparation of Statement on ethical and professional responsibility.
5. Contractual and legal obligations	+	<p>Regulations of Conditions for Issuance of Licenses for Performing Scientific Activities, Conditions for Reintegration of Scientific Organizations and Permit Content (Official Gazette 83/2010)</p>	The 2017-2019 Action plan will ensure the implementation of these obligations (point 3.5. of the Action plan)
6. Accountability	+	<p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 109, Article 110, Article 111a-f Code of Ethics of the Committee for Ethics in Science and Higher Education (13 November 2006) Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015)</p>	
7. Good practice in research	+	<p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 20 Code of Ethics of the Committee for Ethics in Science and Higher Education (13 November 2006) Article 2 Personal Data Protection Act (Official Gazette 103/03, 118/06, 41/08, 130/11, 106/12) Article 6, Article 7, Article 11 Workplace Safety Act (Official Gazette 71/14, 118/14, 154/14) Workplace Safety Regulations (The Governing Board, 25th January 2010) Regulations on Protection and Processing of Archives (The Governing</p>	

		Board, 5th May 2006) Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015)	
8. Dissemination, exploitation of results	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 2 Act on the Right to Access to Information (Official Gazette 172/03) The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 7 Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015)	
9. Public engagement	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 2 The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 78, Article 79, Article 80 Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015)	
10. Non discrimination	+	The Constitution of the Republic of Croatia (Official Gazette 56/90, 135/97, 8/98, 113/00, 124/00, 28/01, 41/01, 55/01, 76/10, 85/10, 05/14) Article 14, Article 15 The Anti-discrimination Act (Official Gazette 85/08, 112/12) Article 1, Article 1a, Article 8 Work Regulations (The Governing Board, 12 April 2017) Article 111 Code of Ethics of the Institute for Migration and Ethnic Studies (The Governing Board, 2 November 2015) Article 8 Existing Work Regulations arrange worker dignity issues.	
11. Evaluation/ appraisal systems	-/+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 32, Article 37 Act on Quality Assurance in Science and Higher Education (Official	Researchers submit biannual reports on their work to the Head of the Departments of Institute. The Leaders of projects report to the MSE,

		Gazette 45/09) Article 18 The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 40	regarding all research projects, and these reports are provided annually.
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	+	The Constitution of the Republic of Croatia (Official Gazette 56/90, 135/97, 8/98, 113/00, 124/00, 28/01, 41/01, 55/01, 76/10, 85/10, 05/14) Article 44 Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04, 174/04, 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 35, Article 40, Article 41, Article 42, Article 43, Article 44 Conditions for the Appointment into Scientific Positions (Official Gazette 84/05, 100/06, 120/07, 71/10, 116/10, 38/11) Conditions for the Appointment into Scientific Positions (Official Gazette 28/17) Regulations on the IMIN’s Structure of Working Places and Positions (The Governing Board, 2 November 2015) The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 40, Articles 57-77	
13. Recruitment (Code)	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04, 174/04, 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 35, Article 36, Article 40, Article 41 Regulations on how to determine the conditions for granting temporary residence to foreigners for the purpose of scientific research (Official Gazette 92/12, 22/13) Act on Foreigners (Official Gazette 130/11, 74/13, 69/17) Registry of Researchers Regulations (Official Gazette 72/04, 82/10) The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 40, Articles 57-77	
14. Selection (Code)	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04, 174/04, 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article	

		<p>35</p> <p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 40</p> <p>Regulations of IMIN'S Internal Organisation (The Governing Board (The Governing Board, 2 November 2015)</p> <p>Regulations on the IMIN's Structure of Working Places and Positions (The Governing Board, 2 November 2015)</p>	
15. Transparency (Code)	+	<p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 40</p> <p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 40, Article 57-77</p> <p>Regulations on the IMIN's Structure of Working Places and Positions (The Governing Board, 2 November 2015)</p>	
16. Judging merit (Code)	+	<p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 40</p> <p>Regulations on the IMIN's Structure of Working Places and Positions (The Governing Board, 2 November 2015)</p>	
17. Variations in the chronological order of CVs (Code)	+	<p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013)</p> <p>Short-term pauses in career development and changes of scientific interests were not negatively evaluated during the selection procedures.</p>	
18. Recognition of mobility experience (Code)	+	<p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013)</p> <p>Different types of mobility experiences are considered a valuable contribution to research competency, in terms of evaluation of a researcher-candidate (both internally - i.e. in the IMIN- and externally, i.e., as noted in the reports to the MSES).</p>	

19. Recognition of qualifications (Code)	of +	<p>Convention on the Recognition of Qualifications concerning Higher Education in the European Region (Council of Europe Treaty no. 165). ("Official Gazette", International Contracts, no. 9/02)</p> <p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15) Article 85</p> <p>Act on Recognition of Foreign Education Qualifications (Official Gazette, 158/03, 198/03, 138/06, 45/11)</p> <p>Criteria for Evaluation of Foreign Higher Education Qualifications (Agency for Science and Higher Education, 9th April 2008, 16th Decembre 2008)</p> <p>The IMIN adheres to all national regulations related to the recognition of foreign education qualifications during the recruitment of new researchers.</p>	
20. Seniority (Code)	+	<p>Labour Act (Official Gazette 93/14)</p> <p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04 , 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15)</p> <p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013) Article 56</p>	
21. Postdoctoral appointments (Code)	+	<p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 105/04, 174/04 , 46/07, 63/11, 94/13, 139/13, 101/14, 60/15)</p> <p>The Statute of the Institute for Migration and Ethnic Studies (The Governing Board, 16 December 2013)</p> <p>Regulations on Mentor's Work and Assessment of Asistants' and Postdoctorals' Work (Governing Board, 27 January 2014)</p>	
Working Conditions and Social Security			
22. Recognition of the profession	+/-	<p>Science and Higher Education Act (Official Gazette 123/03, 198/03, 104/04, 02/07, 46/07, 45/09, 63/11, 94/13, 139/13, 101/14, 60/15)</p> <p>Article 41, Section 7 do not proscribe obligatory/obligate professional advancement.</p>	<p>The Regulations on Quality Assurance of Labor of the IMIN (2015) pay(s) attention to the employment of researchers in accordance to their professional qualification. More concrete measures will</p>

			be elaborated by further elaboration of the Regulations as foreseen by the IMIN Action Plan 2017 – 2019.
23. Research environment	-/+	The Institute does not operate within an appropriate office space. An appropriate space is necessary in order to ensure a stimulating research environment with appropriate equipment and facilities.	The Institute will make further efforts to solve the issue of inadequate office space.
24. Working conditions	+/-	The most working conditions provide the flexibility deemed for successful research performance, but the national regulations concerning labour rights and working conditions should be improved.	
25. Stability and permanence of employment	+	Science and Higher Education Act (Official Gazette 123/03, 198/03, 104/04, 02/07, 46/07, 45/09, 63/11, 94/13, 139/13, 101/14, 60/15) Article 42 and Contracts of employment	
26. Funding and salaries	+	Regulation on job titles and coefficients of the complexity of jobs in public services (Official Gazette 11/2015) Article 6.	
27. Gender balance	+/-	The IMIN has no specific (gender-based) equal opportunities policy.	An IMIN Gender Based Working Group has been set up/established to develop initiatives that support women's advancement in science.
28. Career development	+/-	Regulations on Mentor's Work and Assessment of Asistants' and Postdoctorals' Work (Governing Board, 27 January 2014) Human Resources Strategy for Researches included in The Development Strategy of the IMIN 2015-2020 (2015). Further work on improving human resource management	

29. Value of mobility	+/-	Due to the labor market conditions, this principle is not applicable in full.	Evaluation of Mobility Included in The Development Strategy of the IMIN 2015-2020 in 2015 (the task outlined in the 2nd Action Plan 2013 was carried out).
30. Access to career advice	-	Inevitable in the context of our institute (IMIN)	Nonexistent practice.
31. Intellectual Property Rights	+	Leaflet on intellectual property http://www.imin.hr/en/c/document_library/get_file?uuid=8072ead5-0131-4620-bdc7-a983e8d14c80&groupId=10156	
32. Co-authorship	+	Common practice of encouraging co-authorships of senior and younger researchers within projects, especially scholars and their mentors assigned within IMIN. The issue of co-operation regulated by the Code of Ethics of the IMIN (2015).	
33. Teaching	+	Participation in teaching refers to the engagement of majority of scientists from the Institute as well as in the educational aspect of scientific activity.	
34. Complains/ appeals	+	The Institute has an authorized member of the personnel that receives and solves complaints regarding the protections of the employees' dignity.	
35. Participation in decision-making bodies	+	Implemented (the Scientific Council and the workers have their representatives in the Governing Board).	
Training and Development			
36. Relation with supervisors	+	Regulations on Mentor's Work and Assessment of Assistant's' and Postdoctorals' Work (Governing Board, 27 January 2014)	

37. Supervision and managerial duties	+	Regulations on Mentor's Work and Assessment of Asistants' and Postdoctorals' Work (Governing Board, 27 January 2014) The Institute currently does not have young researchers.	
38. Continuing Professional Development	+	Participation in conferences, workshops, European research initiatives, etc.	
39. Access to research training and continuous development	+/-	Material conditions determine the possibilities for participation in research training and other forms of professional development.	There are continuous efforts to ensure additional financial means by continuously applying for funds to support projects, scientific conferences, etc.
40. Supervision	+	Regulations on Mentor's Work and Assessment of Asistants' and Postdoctorals' Work (Governing Board, 27 January 2014) The Institute currently does not have young researchers.	
Any additional issues			

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

OTM-R checklist for organisations

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

	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	--	To be included in the Action Plan 2017-2019.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	--	To be included in the Action Plan 2017-2019.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	--	Existence of training programs for OTM-R. Number of staff partaking in training in OTM-R.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		--	Web-based tool for (all) the stages in the recruitment process.
5. Do we have a quality control system for OTM-R in place?	x	x	x	--	
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/-	Trend in the share of applicants from outside the organization. Advertisements are shared and disseminated in public means of communication.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	-/+	Trend in the share of applicants from abroad. However, the number of openings is still low.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	-/+	Trend in the share of applicants among underrepresented groups (frequently women).
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-	The Institute has a small number of open positions and for the openings that the Institute has, most of the applicants are outside the organization.
10. Do we have means to monitor whether the most suitable researchers apply?				--	
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	There are written guidelines for the advertising of open positions.
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	x	x		+/-	More information should be included in the job advertisements.

<i>the OTM-R expert report⁴</i>					
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++	The share of job adverts posted on EURAXESS; Trend in the share of applicants recruited from outside the organization/abroad. All vacancies are published on EURAXESS. The advert is published in English.
14. Do we make use of other job advertising tools?	x	x		++	Official website of the Institute, Official Gazette, Croatian Employment Service, daily newspapers.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x			+/-	The requested documents are those strictly necessary to assess the candidates.
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	+/-	Statistics on the composition of panels. There are clear internal rules on the appointment of selection committees for the recruitment of researches. The process of nomination and appointment of the selection committee is transparent.
17. Do we have clear rules concerning the composition of selection committees?		x	x	+/-	Selection committees have at least 3 members and usually are gender balanced. The Statute allows that one member of the selection committee is from other institutions, but in practice, it is usually not the case.
18. Are the committees sufficiently gender-balanced?		x	x	+/-	Gender balance is not strictly defined, but committees mostly include members of both sexes.
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	+/-	The Statute includes sections that define the process of selecting committee members to ensure the best candidates being selected.
Appointment phase					

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

20. Do we inform all applicants at the end of the selection process?		x		++	Officially informed by mail.
21. Do we provide adequate feedback to interviewees?		x		+/-	Officially informed by mail about the outcomes of the selection process, additionally informed by request.
22. Do we have an appropriate complaints mechanism in place?		x		++	Statistics on complaints. Regulations clearly establish the complaint mechanisms.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				—	