



## **ACTION PLAN on “Human Resources Strategy for Researchers incorporating the Charter and Code”**

The "HR Strategy for Researchers" supports research institutions and funding organisations in the implementation of the Charter & Code in their policies and practices. The concrete implementation of the Charter & Code by research institutions will render them more attractive to researchers looking for a new employment or for a host for their research project. Funding organisations implementing the Charter & Code principles will contribute to the attractiveness of their national research systems and to the attractiveness of the European Research Area more generally. The logo "HR Excellence in Research" will identify the institutions and organisations as providers and supporters of a stimulating and favourable working environment.

The strategy and its related Action Plan are based on an internal self-assessment.

### **§1. OGS and its Mission**

OGS (the “Istituto Nazionale di Oceanografia e di Geofisica Sperimentale”) is a public internationally oriented research Institute, whose roots go back to the School of Astronomy and Navigation founded in Trieste by empress Maria Theresa of Austria in 1753.

The Institute operates and develops its mission within the European Research Area and at international level with particular focus on the basic and applied research fields such:

- Oceanography (physics, chemistry and biology);
- Geophysics and marine geology;
- Applied and exploration geophysics.

OGS contributes to the development and circulation of knowledge and to the practical resolution of environmental, economic and social issues, in the field of Earth, Sea and Polar Science, consistently with the National Research Program (PNR) and the strategic goals set forth by the European Union, with particular reference to Horizon 2020.

Making use of its research vessel *OGS Explora* and of other strategic and excellent infrastructures, OGS operates to protect and enhance the natural resources and the environment in order to assess and prevent geological, environmental and climatic risks and to spread scientific knowledge and culture in partnership with similar national European and international institutes, with high-tech industries and qualified companies. The purpose is to promote the transfer of research outcomes from the scientific to the productive world, contributing in this way to the technological and socio-economical development of the Country.

OGS carries out a research policy that focuses on a multidisciplinary approach with activities that entail the use of the Institute infrastructures and enhance the value of existing data, in partnership with other Institutes and Italian or foreign universities.

Human resources in OGS are distributed among researchers, administrative and technical positions as in the following diagram:

	TOTAL	Permanent position			Fixed-term position		
		Total	M	F	Total	M	F
RESEARCHERS	92	57	35	22	35	22	13
ENGINEERS	49	27	25	2	22	16	6
ADMINISTRATIVES	36	32	7	25	6	1	5
TECHNICIANS	65	54	49	5	11	10	1
<b>TOTAL</b>	<b>242</b>	<b>170</b>	<b>116</b>	<b>54</b>	<b>74</b>	<b>49</b>	<b>25</b>

## §2. Relevant Legislation

It is important to point out that the national legislation impacts in a strong way the organisation's ability to align its policies and practices with the Charter & Code. In particular, many are the limitations/barriers for what concerns recruitment policies for researchers.

The main relevant laws regulating the recruitment of personnel belonging to the public service and specifically to the National Research Institutions are contained in the followings:

- OGS Laws and Regulations
- OGS Statute
- *“Contratti Collettivi Nazionali di Lavoro – Comparto Enti Pubblici di Ricerca” – 1994/1997 – 1998/2001 – 2002/2005 – 2006/2009*
- D. Lgs. 165/2001 – *“Norme generali sull’ordinamento del lavoro alle dipendenze delle amministrazioni pubbliche”*.
- D.P.R 171/91 – *“Recepimento delle norme risultanti dalla disciplina prevista dall'accordo per il triennio 1988-1990 concernente il personale delle istituzioni e degli enti di ricerca e sperimentazione di cui all'art. 9 della legge 9 maggio 1989, n. 168”*.
- D. Lgs. 213/09 – *“Riordino degli enti di ricerca” in attuazione dell'articolo 1 della legge 27 settembre 2007, n. 165*.



### §3 Charter and Code

In 2005 OGS adopted the Charter & Code. Unfortunately its implementation has been slowed down by severe regulatory barriers.

The new management boosted the values of the Charter trying to bring into effect its implementation with the already existing strategies, if at all possible.

In 2012 and the beginning of 2013, the Scientific Directors, the Scientific Committee, the President, the Director General and the major project managers, carefully analysed the European most common directions such as the Charter and the Code as well as Horizon 2020 in order to properly prepare the OGS Triennial Strategic Plans to be submitted to the Italian Ministry of University and Research – MIUR.

In 2013 OGS analysed the standard template promoted by the Commission for evaluating the correct implementation of the Charter and Code principles and any possible obstacles. All major stakeholders have been involved in the process. Working groups have been established involving different categories of researchers/technologists as well as different subjects in order to elaborate a joint Action Plan proposal with the Management.

The Working Group Procedure has followed the following steps:

- to examine in detail the forty principles of the Charter and the Code;
- to define the main points for analysis;
- to carry out an appraisal, identifying available resources and assessing strengths and weaknesses;
- to identify the types of initiatives to be undertaken and their level of priority;
- to oversee interactions with other concerned or competent parties;
- to write a strategy document HRS4R.

The Strategic Plan has already been submitted to the Central Committee for the promotion of equal opportunities, worker's welfare and non-discrimination – CUG, to Trade Unions and to the researcher representatives. Successively, the Plan has been approved by the Board of Directors and uploaded to the OGS website.

Switching to the analysis of the background in which OGS is operating, it must be pointed out that the Italian economic system presents serious delays and a tricky situation affecting the research policies and consequent regulations which are strongly limiting the actions and the autonomy of the Institutions.

Major obstacles may be summarised as follows:

- Lack in strategies and funds on a multi-annual base from the Government hampering the Institutions to activate effective research and development plans in the medium and long term.
- Lack in confidence concerning regulations and time which should rule the research sector (i.e. change in the regulations at each financial year of the funds reward amount due).
- Weak evaluation and uncertain regulations; in 2012, the National Agency for the Evaluation of Universities and Research Institutes – ANVUR conducted an evaluation study of the Research Institutes supervised by the Italian Ministry of University and Research – MIUR based on outlined ex post rules and with substantial weaknesses in terms of “third mission” analysis and measurement (funds attractiveness, patents, spin-off creation, enterprise collaboration).
- National recruitment regulations limiting the Institutions autonomy and attractiveness, transparency and merit.
- Recruitment block, for permanent staff is restricted to 20% of the turnover.
- Regulations for non-permanent staff are extremely complex and unfavourable for the implementation of serious professional careers in the research field.
- Excessive bureaucracy that increasingly reduces the amount of time spent by researchers on research activities.

In conclusion, the situation of the Italian research system is alarming and young people’s trust in national Institutions is now extremely narrow.

Also if the national situation is quite unfavourable, OGS decided to promote trenchant policies, to the extent permitted by applicable law, in line with the European regulations as well as with the Principles of the Charter & Code.

The OGS President, Prof. Maria Cristina Pedicchio strongly incentivized a “cultural” turning point. Over the years Prof. Pedicchio promoted multiple actions in support of human resources and mobility. She personally took part in different European Committees: ERAB, SFIC, Action Plan on mobility, HR Steering Group.

OGS is now strongly willing to implement and enhance to the best a series of initiatives in human resources, notwithstanding the actual heavy regulation constraints and budget cuts.

Major implemented actions during the 2012-beginning of 2013:

- “Direct call” recruitment for the outstanding merits obtained by an Italian researcher who spent many years in Spain. This action represents the very first time the Legislative Decree n. 213/2009 is being enforced in Italy.
- Frequent seminars and conference activities for supporting young researchers.
- Cross-disciplinary skills training in the Research Management and Euro-planning fields.

- New regulations for research grants with the objective to foster professional growth and to balance salary pay scales.
- Collaboration with academia for the launch of joint doctorates.
- Support and increased capability of collaboration with the private sector; such activities shall be properly evaluated in the career advancements.
- International evaluation for the Directors of the Sections.
- For the first time at OGS, a woman has been appointed Director of Section.
- Presence of researchers in the decision-making bodies such as the Board of Directors and the Scientific Committee.
- Intense disclosure and dissemination activities addressed to citizens and young people.
- Extensive participation in European projects.

We are totally aware of being far from a full application of the principles of the Charter & Code. Nevertheless, OGS is strongly committed in improving the actual situation, particularly with targeted actions aimed at fostering and enhancing researchers mobility and their professional training.

More specifically, here below the actions to be implemented in the following years:

- Institutions and civil society awareness regarding the importance of research and the work of researchers.
- Increase in the dissemination actions concerning the research results and addressed to a broad public and in particular to young generations.
- Increase in the transfer of knowledge actions towards industry and territory;
- Support actions for incoming and outgoing mobility. These actions will be fulfilled by the newly-conceived office for the promotion of the research.
- Settlement of internal rules for evaluation, in agreement with union representatives, in order to acknowledge collaborations with industry, patents, as well as the creation of international research networks as positive contribution to the career development.
- Actions to be carried out with the Ministry and the policy-makers for modernizing and updating the recruitment rules for researchers to the international standards for securing merit and transparency.
- Internal policies for research grants and non-permanent staff for fostering the international dimension.
- Upload of all OGS job vacancies to Euraxess.
- Enhancement of the OGS website for transparency.
- Worker's welfare and effective implementation of the equal opportunities monitoring (exercised by the Central Committee for the promotion of equal opportunities, worker's welfare and non-discrimination – CUG).
- Seek for solutions for the improvement of support actions to women researchers (day nursery, part-time, teleworking).
- Exchanges with other organisations also involved in the HR Strategy processes.



The following **ACTION PLAN** is developed as a summary of the analysis, self-evaluation and careful consideration for the future conducted by OGS on the basis of the above-stated.

The plan concisely and pragmatically presents the main activities to be implemented to improve alignment with the Charter & Code principles and indicating the personnel in charge, timing and possible indicators.

The effective implementation of the plan will be monitored by the OGS's Board of Directors jointly with the working group that analysed the template on Charter & Code and contributed to the editing of the plan.

OGS strategies will be matched with other Institutions and/or Universities strategies.



Principle	Action	Responsible	Deadline	Possible Key Performance Indicators
<b>I. Ethical and professional aspects</b>				
Internal and external awareness on the Charter & Code principles	Increase researcher's awareness and OGS identity; better information on rights and obligations, and on the existence of possible limitation to the research freedom	Board of Directors, Scientific Directors, General Director, CUG Central Committee for the promotion of equal opportunities, worker's welfare and non-discrimination	2013	Number of internal meetings dedicated to the analysis of Charter and Code principles; approval of the Ethical Code
Exploitation of results	Establishment of clear rules to define OGS Intellectual Property protection policy; improve researchers responsibility	Scientific Directors, Intellectual Property Committee	2014	Approval of the OGS Intellectual Property Code
Dissemination of results	Improve dissemination activities; establish clear rules to define the limits between the individual opinion of the researcher and the institutional one	Communication Committee, General Director	2013	At least 2 public events every year (Researchers night and Open day); seminars for schools
Evaluation	Introducing evaluation systems for all researchers; take in consideration the whole range of researchers experiences and activities	Board of Directors, Scientific Committee	2014	Effective implementation of internal evaluation processes



<b>II Recruitment</b>				
Transparent and merit based recruitment process	Improve cultural approach to merit based evaluation criteria; uniform and clear instructions for reviewers and committee members	Board of Directors - Scientific Committee	2013	Clear, direct and comprehensible recruitment parameters
Value of mobility	More attention to mobility actions; uniform and clear instructions for reviewers and committee members	Board of Directors - Scientific Committee	2014	Call announcement for the clear positive evaluation of different mobility expertise
Value of Professional experiences (for ex. in the private sector) and qualifications	Improve awareness of the importance of multidisciplinary and multisectoral experience	Board of Directors - Scientific Committee	2014	The importance of bibliometric indices is properly balanced with a wider range of evaluation criteria
Information on recruitment opportunities	All open positions must be posted on the Euraxess portal; all positions must be advertised also in English	Human Resources Director	2013	All positions published on Euraxess portal
<b>III Working conditions and social security</b>				
Positive research environment	Provide an attractive and supportive environment to researchers (day nursery, cafeteria, social spaces, welfare fund, transportation, safety environment...)	General Director	2013 - 2014	Access to childcare; more space for social activities; clear regulations for safety environment
Equal opportunities and gender issues	Guarantee the respect of equal opportunities and support females researchers in their professional career	CUG: Central Committee for the promotion of equal opportunities, worker's welfare and non-discrimination - Board of Directors	2014	Rules for teleworking opportunities; n. of female researchers in leading positions





Mobility value	Improve mobility opportunities (short term/ long term mobility and sabbatical)	Human Resources Director	2014	Good balance in researchers circulation between incoming and outgoing mobility
Participation in decision body	Improve research representatives in decision committees	General Director - Board of Directors	2013	Approval of internal regulation
<b>IV. Training</b>				
Professional Development	More responsibility for senior researchers in supporting young ones	President - General Director - Scientific Directors	2014	n. of joint papers; n. of young researchers involved as scientific project managers.
Support for early stage researchers and doctoral students	Collaboration with University Doctorate courses	Scientific Directors	2014	Attraction index : n. of PhD students at OGS
Continuing training	Researchers participation in courses on IPR, Research management, European Projects management	General Director	2014	n. of researchers participating
Internal dissemination	Improve internal seminars and conferences also on a multidisciplinary base	Scientific Directors Research Principal Investigators	2013	n. of seminars and conferences