

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: **INSTITUTE OF METALLURGY AND MATERIALS SCIENCE OF POLISH ACADEMY OF SCIENCES (IMMS PAS)**

Organisation's contact details: 30-059 Kraków, Reymonta Street 25, Poland

SUBMISSION DATE: **19-01-2018.**

DATE ENDORSEMENT CHARTER AND CODE: SENT **23-01-2017.**

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.

To develop an action plan of IMMS PAS aimed at introducing rules of the C&C, the following actions were undertaken:

- a) Establishment of an (Evaluation) Working Group (WG),
- b) Analysis and study of key documents,
- c) Studies of convergences to and deviations from the C&C principles and inhouse procedure,
- d) Internal analysis and the preparation of the action plan.

A Working Group was created in November of 2016th to evaluation purposes, to which were appointed representatives of the academic and auxiliary staff, administrative and doctoral students of the IMMS PAS including:

- Coordination: Paweł ZIĘBA - Director,
- Władysław GAŚIÓR – Research Director
- Wojciech MAZIARZ – Deputy Director
- Monika SKOWRON - HR manager (lawyer)
- Mikołaj Mitka - Chairman of the Board of doctoral students (November 2016-Jun 2017)
- Katarzyna Janik - Chairman of the Board of doctoral students (actually).

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

At the meetings of the Working Group, in November (2016) and January, April, June, and September (2017), a full analysis of compliance / non-compliance of the rules contained in C&C and applied at the Institute was performed (see CompDiver file). Finally, an analysis of all 40 points from C&C was prepared, after which Template 1 was completed.

In January (2017), the HR Logo website was created on the IMMS PAS website (www.imim.pl), which contains: a card and regulations in English and Polish as well as in Polish: statute of the institute, employment regulations, the Act on the Polish Academy of Sciences and scientific degrees, labor code, rules of the C&C, regulations and criteria for employee evaluation, doctoral studies regulations, and Director's regulations. In addition, changes to the labor and employment regulations were proposed, which were approved by the Institute's Scientific Board. Based on these documents, the internal analysis of compatibility and divergences was conducted, and the action plan was proposed.

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.

Analyzing the C&C with reference to legal acts in force in Poland (Code of Ethics for Scientists, Act of Degrees and Academic Title, Act of the Polish Academy of Sciences, Act of Higher Education, Provisions of Occupational Health and Safety, Labor Code, Statute of the Institute, Principles of Financing Science Act, Polish and International Law, Regulation of the Minister of Internal Affairs and Administration, Public Finance Act, Internal rules of IMMS PAS), according to which the Institute must operate, the Working Group prepared a document on discrepancies and compliance (CompDiver), for all 40 points (problems) contained in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. On January 23, 2017, Declaration of Endorsement to the C&C was sent to the European Commission. During 2017, some observed discrepancies were removed through the Director's directives and modifications by the Scientific Board of some internal regulations (Template 2, Narrative). Taking into account all modifications (the last in December 2017), Template 1 with annex has been completed.

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	+		None
2. Ethical principles	+		None
3. Professional responsibility	+		None
4. Professional attitude	+		None
5. Contractual and legal obligations	+		None
6. Accountability	+		None
7. Good practice in research	+		None
8. Dissemination, exploitation of results	+		None
9. Public engagement	+		None
10. Non discrimination	+		None

11. Evaluation/ appraisal systems	+		None
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	+		None
13. Recruitment (Code)	+		None
14. Selection (Code)	+		None
15. Transparency (Code)	+		None
16. Judging merit (Code)	+		None
17. Variations in the chronological order of CVs (Code)	+		None
18. Recognition of mobility experience (Code)	+		None
19. Recognition of qualifications (Code)	+		None
20. Seniority (Code)	+		None
21. Postdoctoral appointments (Code)	+		None
Working Conditions and Social Security			
22. Recognition of the profession	+		None
23. Research environment	+		None

24. Working conditions	+		
25. Stability and permanence of employment	+		None
26. Funding and salaries	+		None
27. Gender balance	+/-	<p>Due to the small number of women in the Institute's Scientific Board, gender balance in committees cannot be guaranteed. In order to highlight this principle and, if possible, to involve women in committees, the following was introduced in the Statute of the Institute, in Chapter III, paragraph 12, point 3:</p> <p>“3. Committees appointed by the Director of the Institute should represent a variety of experience and qualifications and, if possible, demonstrate an appropriate gender balance”.</p>	None
28. Career development	+		None
29. Value of mobility	+		None
30. Access to career advice	+		None
31. Intellectual Property Rights	+/-	<p>The Act of 4 February 1994 on Copyright and Related Rights and the Law of 30 June 2000 for Industrial Property Law. Resolution of the Board of Scientific IMMS PAS dated 12 March 2015.</p> <p>To broaden knowledge and recall important legal provisions.</p>	The organization of 2 seminars in 2018 on the sharing of research results, implementation of agreements and intellectual property rights, industrial property rights and the basis of copyright law.
32. Co-authorship	+		None
33. Teaching	+		None

34. Complains/ appeals	+/-	Act of the Polish Academy of Sciences, Statute of Institute. The complaints and appeals procedure is missing.	On the website of information on the procedure to be followed and the appeal of the Disciplinary and Appeals.
35. Participation in decision-making bodies	+		None
Training and Development			
36. Relation with supervisors	+		None
37. Supervision and managerial duties	+		None
38. Continuing Professional Development	+		None
39. Access to research training and continuous development	+		None
40. Supervision	+		None
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	++	[web link] www.imim.pl (DOCUMENTS - LOGO HR).
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; ensure that it is sent to all staff] This is the Act on the Polish Academy of Sciences, employment regulations updated on December 18, 2017 and the Institute's statute. Each candidate has a clearly defined scope of duties, determined in agreement with the laboratory manager in whose laboratory he will be employed. All quoted documents are available at www.imim.pl . (DOCUMENTS - LOGO HR).
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	- Existence of training programmes for OTM-R - Number of staff following training in OTM-R People involved in the employment process were not specially trained in the field of OTM-R. However, their experience, employment regulations, and other legal acts guarantee their actions in line with the OTM-R policy. In 2018, the members of the Recruitment Commission will be informed by e-mail about the rules regarding the recruitment policy (OTM-R) recommended in the C&C.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		+/-	Web-based tool for (all) the stages in the recruitment process In the recruitment process, the Institute uses e-tools

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

					to inform about the competition (websites), the results of the competition, and answering of questions from applicants. Other activities will be analyzed and additional links explaining some points of the Employment Regulations will be added.
5. Do we have a quality control system for OTM-R in place?	x	x	x	--	The quality control system for OTM-R will be developed in 2018
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	<i>Trend in the share of applicants from outside the organisation.</i> Yes. The candidate should only meet the conditions presented in the employment offer. As a result of recruitment in 2015, 2016, and 2017, 9, 0, and 4 persons respectively were employed from external sources
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+/-	<i>Trend in the share of applicants from abroad.</i> The only condition for employment at the Institute is the highest evaluation of the recruitment (competition) commission, which operates on the basis of employment regulations. (www.imim.pl). Due to other factors, e.g. wages, housing, and family the number of foreign employees in recent years is 0. Although in the past, one person working in Germany was employed.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	<i>Trend in the share of applicants among underrepresented groups (frequently women).</i> Employment at the Institute is determined by evaluation of the recruitment (competition) commission, which operates based on the employment regulations approved by the Scientific Board (www.imim.pl). The analysis of employment in recent years shows that employment of women in the Institute has been maintained at a similar level for many years, amounting to 38 women out of 86 employees (44%) and, in the group of scientific and auxiliary employees (involved in research), 23/60 (38%). This is high.

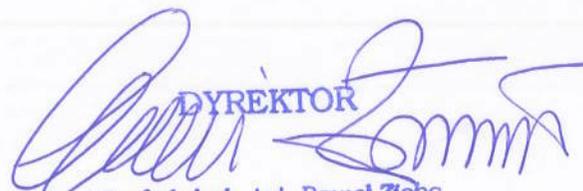
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-	<i>Trend in the share of applicants from outside the organisation.</i> The Institute provides employees with the best possible working conditions: internet, telephones, library, Elsevier publishing platform, Springer, De Gruyter, and those that result from the Labor Code, the Higher Education Act and the Polish Academy of Sciences and others. The salaries of researchers at the Institute are determined by the expenditures of the Ministry of Finance, which are then distributed in accordance with the rules established by the Ministry of Science and Higher Education. The employment of employees from outside the Institute was: in 2015 - 9, in 2016 - 0, and 2017 - 4.
10. Do we have means to monitor whether the most suitable researchers apply?				++	Applicants must meet the conditions specified in the employment offer and, in addition, they are still assessed in accordance with the employment regulations, available on the website www.imim.pl in the catalog DOCUMENTS - LOGO HR.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	The Institute has its own templates for informing about employment opportunities, which have been in use for years and have been developed based on the guidelines of the Ministry of Science and Higher Education. From 2018, EURAXESS templates will also be used as information about employment will also be located on EURAXESS.
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		++	This problem will be analyzed in 2018. Links explaining the employment regulations will be developed to facilitate the submission and completion of documents in accordance with the remarks contained in Chapter 4.4.1a) of the OTM-R expert report.
13. Do we make full use of EURAXESS to ensure our	x	x		--	- <i>The share of job adverts posted on EURAXESS;</i>

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

research vacancies reach a wider audience?					<p>- <i>Trend in the share of applicants recruited from outside the organisation/abroad.</i></p> <p>No information on employment on EURAXESS has been published so far, however, from 2018 it will be. The number of new employees employed at the Institute each year is limited and depends on the number of employees retiring. The employment of employees from outside the Institute was: in 2015 - 9, in 2016 – 0, and 2017 - 4.</p>
14. Do we make use of other job advertising tools?	x	x		+/-	Job advertisements are also placed on the notice board in the Institute. From 2018, announcements will also be sent to selected Institutes and faculties of universities.
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) ⁴⁵]	x			++	Each applicant, regardless of age, gender, skin color or religion, is obliged to submit the same documents specified in the employment regulations (www.imim.pl). In 2018, an additional analysis of documents required in the recruitment process for their limitation will be made.
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	++	<p><i>Statistics on the composition of panels.</i></p> <p>Yes. According to the Institute's statute, the Recruitment Committee is elected for the term of office of the Scientific Board (4 years, 5 people). In addition, the most competent people interested in hiring an employee are invited to participate in the candidate's assessment</p>
17. Do we have clear rules concerning the composition of selection committees?		x	x	++	<p><i>Written guidelines</i></p> <p>Yes. Selection committees are selected by the Institute's Scientific Board from among its members, i.e. the most competent persons to assess the merits and scientific achievements of the candidates.</p>
18. Are the committees sufficiently gender-balanced?		x	x	++	The Statute of the Institute contains a paragraph that states: "Committees appointed by the Director of the Institute should represent a variety of experiences and qualifications and, as far as

					possible, demonstrate a gender balance". Due to the small number of women on the Scientific Board (6/40), it is not always possible for women to attend all committees of the Scientific Board.
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	+/-	<i>Written guidelines</i> Yes. The Commission for Employment of the Scientific Board operates based on the Institute's statute and regulations of employment, wherein the parameters to be assessed are specified. In 2018, an attempt will be made to develop a point scale for assessing the achievements of candidates.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Yes. This is provided for by the employment regulations. www.imim.pl .
21. Do we provide adequate feedback to interviewees?		x		++	Yes. Always, for all matters regarding the job position offered and policy of the Institute.
22. Do we have an appropriate complaints mechanism in place?		x		++	<i>Statistics on complaints</i> Complaints are submitted to the disciplinary spokesperson or directly to the disciplinary commission verbally or in writing. Until now, no complaints have been filed with the disciplinary committee.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				--	No. The OTM-R evaluation system will be developed by the end of 2018.

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