

GAP Analysis (Charter and Code Checklist)

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GAP Analysis overview

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 the organisation meet the following principles?
- **Implementation** (++, +/-, -/+, --):
 - ++ fully implemented
 - +/- almost but not fully implemented
 - -/+ partially implemented
 - insufficiently implemented
- **GAP:** In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation.
- **Implementation impediments:** If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation

- **Initiatives undertaken/new proposals:** If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

Status				
	Ethical and Professional Aspects	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
1	Research freedom	++		. IH PAN follows state regulations (Prawo o szkolnictwie wyższym i nauce, Dz.U. 2018 poz. 1668; Ustawa o Instytutach badawczych, Dz. U. 2010 Nr 96 poz. 618; Ustawa o Polskiej Akademii Nauk, Dz.U. 2010 nr 96 poz. 619) and Polish Academy of Sciences' internal regulations regarding freedom of research and ethical aspects, including Kodeks Etyki Pracownika Naukowego (Code of Ethics for Researcher) confirmed by PAN: https://pan.pl/etyka-w-nauce/#kodeks . The results of the survey results show that 91,5% of the employees of IH PAN agree (23,9%) or strongly agree (67,6%) that they can fully exercise their freedom of expression, and 88,7% confirms that they have full freedom to choose their research topics
2	Ethical principles	+/-	IH PAN follows state regulations (Prawo o szkolnictwie wyższym i nauce, Dz.U. 2018 poz. 1668; Ustawa o Instytutach badawczych, Dz. U. 2010 Nr 96 poz. 618; Ustawa o Polskiej Akademii Nauk, Dz.U. 2010 nr 96 poz. 619) and Polish Academy of Sciences' internal	New proposal: periodical information about the code provided for all employees and training sessions for those willing to acquire more in-depth knowledge on the subject.

			<p>regulations regarding freedom of research and ethical aspects, including Kodeks Etyki Pracownika Naukowego (Code of Ethics for Researcher) confirmed by PAN: https://pan.pl/etyka-w-nauce/#kodeks. However the survey indicated that additional actions to raise awareness of the rules and documents concerning the issue of ethical principles might be recommended as for 25,4% of the participants it was 'hard to say' if there are relevant procedures in place to counteract violations of ethical principles.</p> <p>GAP: lower than expected awareness of existing regulations</p>	
3	Professional responsibility	++		<p>Issues connected with professional responsibility are regulated by Prawo o szkolnictwie wyższym i nauce, Dz.U. 2018 poz. 1668; Ustawa o Instytutach badawczych, Dz. U. 2010 Nr 96 poz. 618; Ustawa o Polskiej Akademii Nauk, Dz.U. 2010 nr 96 poz. 619) and Polish Academy of Sciences' internal regulations, as well as by Kodeks Pracy. In IH PAN there are Disciplinary committee and disciplinary ombudsperson, who deal with problematic situation.</p>
4	Professional attitude	++		<p>Survey indicates that 83,1% of responders agree that research conducted in IH PAN</p>

				is relevant to society and do not duplicate previous research (1,4% responders disagree). That means that employees are familiar with and follow the strategic goals of research. They also are aware of obligation and do fulfil it when it comes to notifying employers or grantors in case of delay, change, etc. in completing their research project (71,9% positive answers).
5	Contractual and legal obligations	+/-	<p>IH PAN researchers are supported in the process of application and conducting their research projects by other members of IH PAN community (administrative staff). Through this cooperation they can make themselves familiar with legal and contractual obligations, and can freely consult these issues. It is confirmed by the survey results that indicate that 74,6% responders believe that IH PAN staff adheres to the principles of effective financial management and cooperates with the bodies responsible for controlling scientific research. However, often changes in regulations means that providing additional support should be very beneficial, especially for R1 and R2 researchers with limited experience.</p> <p>GAP: Frequently changing external regulations make it difficult to fulfil employee obligations</p>	New proposal: providing additional training options when it comes to fulfilling contractual and legal obligations, e.g. submitting final reports, etc.
6	Accountability	+/-	As 9,9% of survey responders disagree	New actions: series of general

			<p>with the statement that the employees are familiar with national laws, including those on data protection and confidentiality and apply them in practice, it is important to raise the awareness of these regulations.</p> <p>GAP: gaps in knowledge of general regulations concerning research</p>	workshops for all employees and special training sessions for PIs and other researchers involved aimed at the accountability in case of their specific projects.
7	Good practice in research	++		All employees are instructed in safe working practices, in line with national legislation, including taking the necessary precautions for health and safety, and this training is periodically repeated. IH PAN requires also its employees to participate in additional training concerning data protection and intellectual property. 74,6% of responders agrees that IH PAN employees follow good research practices both in individual and collaborative research.
8	Dissemination, exploitation of results	++		Survey indicates that 74,7% of responders agree that IH PAN employees make efforts to disseminate the results of their efforts. Additionally, publications – which in case of historians are the main way of dissemination – constitute the main value in the periodical evaluation process.
9	Public engagement	++	.	Public engagement is one the

				<p>elements of PAN's mission, therefore IH PAN's employees are involved in a number of activities, from individual (such as writing popular texts, taking part in TV shows, etc.) to institutional efforts, such as series of open lectures, participation in 'Festiwal Nauki', etc.</p> <p>Survey indicates that 74,7% of responders believes this to be the case</p>
10	Non discrimination	++		<p>IH PAN developed Gender Equality Plan. There is also anti-mobbing policy as well as Disciplinary commission that can take action in case of complaint regarding discrimination on the basis of gender, age, ethnicity, national or social origin, sexual orientation, etc. Moreover, 80,3% of responders agree (including 53,5% strongly agree) that employer (IH PAN) does not discriminate the employees on the basis of abovementioned factors.</p>
11	Evaluation/ appraisal systems	-/+	<p>The evaluation system is governed by the general PAN rules and the IH PAN internal rules.</p> <p>Evaluation is carried out regularly by a committee selected by the IH PAN Scientific Board. All academic staff are informed in advance of the procedure and have the right to appeal against the committee's decision. In addition, IH PAN has developed a reporting tool EAS</p>	<p>The already existing rules require updating.</p> <p>New activities: introducing more transparent evaluation process and raising awareness regarding the already existing procedures by better communication.</p>

			<p>(EAS online app), which collects information on publications, teaching, research activities, etc.</p> <p>The survey suggests that the distinction between the evaluation procedure and the annual report has not been sufficiently communicated to staff, as 81.7% of the respondents acknowledged the existence of a system of regular assessment of professional performance in a transparent manner (with 7% negative responses), but with a significant proportion of the respondents stating that it does not adequately take into account elements such as administrative burden, international cooperation and mobility (19.8% negative responses; 63.3% positive responses) and 42.3% of the respondents stating that it is "difficult to say" whether there is a procedure to appeal against the evaluation results.</p> <p>GAP: the criteria are not transparent enough; there is limited awareness of the procedure among staff.</p>	
<p>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 in a separate section, which focuses on the operationalization of these principles.</p>				
12	Recruitment	+/-	<p>The recruitment process is considered to be an important element in the functioning of IH PAN. Although the relevant policies and regulations have been in place for some time, they need to be updated.</p>	<p>The internal regulations, i.e. <i>Regulamin konkursów przy zatrudnianiu pracowników naukowych</i>, regulate the recruitment procedure. That needs, however, to be updated to include some additional elements, e.g. appeal</p>

			GAP: lack of certain elements of the procedure required by the OMT-R policy and limited awareness of the procedures and practices.	procedure. New actions: updating existing regulations and practices in regards to form of adverts (template) and its comparability.
13	Recruitment (Code)	+/-	<p>In general the procedures in IH PAN are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.</p> <p>There is sufficient time for applying (30 days), all documents can be presented in an electronic form to keep the administrative burden for the candidate to minimum, however, there is no appeal procedure.</p> <p>Survey indicates that 63.3% of responders agree; there is 22.5% of 'hard to say' answers which means that raising of awareness of the procedure and practices is necessary.</p> <p>GAP: lack of certain elements of the procedure obligatory according to OMT-R policy and limited awareness of the procedures and practices.</p>	See: 15. Additionally, information about openings should be always disseminated via wider array of methods (including e.g. social media)
14	Selection (Code)	++		There are internal regulations, i.e. <i>Regulamin konkursów przy zatrudnianiu pracowników naukowych</i> , that specify the recruitment procedure, the way of forming the committee, obligatory involvement of external experts, etc. The procedure includes two phases : formal evaluation of documents and interview. 80.3% of responders agree that the committee are formed

				in a way that allows for adequate evaluation of candidates.
15	Transparency (Code)	-/+	<p>The recruitment process is open and transparent, all information regarding the job and the results are made public. However it is not fully in compliance with the OMT-R toolkit, since the candidates do not receive feedback. Survey indicates, that 63,3% of responders agree or strongly agree that that the procedures are open and transparent, while 2,8% disagree.</p> <p>GAP: no feedback for candidates</p>	<p>New activities: updating internal regulations in the way that all candidates should receive feedback regarding their application and interview, especially their strengths and weaknesses, as well as introducing appeal procedure.</p>
16	Judging merit (Code)	-/+	<p>As the recruitment process is not limited to the CV, but may also include an interview, this allows for a better qualitative and quantitative assessment of the overall performance, i.e. not only on the basis of the publication, but also on the whole range of other activities that may have been mentioned in the application. The survey shows that 83% of respondents agree or strongly agree with this, but it also confirms that the candidates do not know to what extent they meet/do not meet the criteria.</p> <p>GAP: lack of coherent information for committee members and the candidates regarding selection criteria.</p>	<p>New actions: committee members are currently given an opportunity to get familiar with the OMT-R policy (as it is the case) but more proactive approach, i.e. requesting them to do it should be applied. As the criteria are often described in a vague way more precise way of describing them to the candidates needs to be introduced .</p>
17	Variations in the chronological order of CVs (Code)	++		<p>In the recruitment process, as it is achievement-based, gaps in CV are not considered to be as a barrier to entry. Survey indicates that 67,6% agree or</p>

				strongly agree.
18	Recognition of mobility experience (Code)	++		Mobility is one of the criteria in the recruitment process . 71,9 % of the survey responders believes this to be the case.
19	Recognition of qualifications (Code)	++		IH PAN considers mobility and non-academic qualifications as important criteria in the recruitment process and provides support in administrative procedures necessary to officially recognize qualifications (e.g. in <i>nostryfikacja</i>). 71,9 % of the survey responders believes this to be the case.
20	Seniority (Code)	++		IH PAN aims at establishing strong relation between required qualification and requirements of the position. This the required level of qualification is always clearly indicated in the job adverts and is one of the selection criteria. According to the survey. 76,1% of responders argues this is the case.
21	Postdoctoral appointments (Code)	++		The survey indicates that IH PAN establishes clear rules for recruitments and temporary employments (78,9% of positive responses), and only 16,9% answered 'hard to say'. Period of employment and requirements for R2 positions leading to R3 positions are always clearly indicated in the job adverts.

	Working Conditions and Social Security	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
22	Recognition of the profession	+/-	<p>All IH PAN policies regarding various aspects of functioning of the Institute, as well as integral regulations aim at recognizing all researchers as professionals and them being treated accordingly. Survey indicates that majority of responders (83,3 % agree or agree strongly) believes this is to be the case, but 15,5% disagree.</p> <p>GAP: significant group of employees feel they are not treated as professionals</p>	Improvement of the way employees' professional profiles are presented, e.g. on the IH PAN's website
23	Research environment	+/-	<p>IH PAN is determined to create proper research environment but these efforts are impeded by objective factors, i.e. limited space and restrictions caused by the logistic conditions (building). That results e.g. in limited options for interaction with colleagues. Other problem, resulting from limited financial resources is restricted research infrastructure, namely library, access to latest literature and on-line resources). However, members of all departments work closely and meet at least one a week as a group – theses meeting are open to all other employees.</p> <p>GAP: 29.9 % is not able to say if IH PAN provides proper environment or thinks it does not do it, so it is important to improve access to existing research infrastructure and opportunities and to create space for more regular exchange of research, etc.</p>	<p>New actions: better dissemination information about available options for stimulating academic interactions between departments and individual employees; when possible providing better access to research infrastructure. Funding new cross-cutting research groups connecting scholars beyond the existing divisions (i.e. History of Masovia RG etc.)</p>

24	Working conditions	++		<p>IH PAN acts in compliance with state regulations, but makes additional efforts to provide working conditions which allow both women and men researchers to combine family and work, children and career. This approach is confirmed to be successful as 95,7 % of the survey participants agrees on strongly agrees that IH PAN provides flexible working conditions (e.g. flexible working hours, part-time working, tele-working and sabbatical leaves).</p>
25	Stability and permanence of employment	++		<p>As IH PAN works in compliance with state regulations it provides stable employment conditions, as supported by the survey result: 84,5% responders agreed (with 54,9% strongly) that IH PAN provides stable employment conditions.</p>
26	Funding and salaries	++		<p>The options available to the IH PAN are limited when it comes to salaries, as these area regulated externally and are inadequate (as supported by the survey results, with less than 50 % of positive responses) .IH PAN works in accordance with state regulations when it comes to security provisions, so all</p>

				<p>employees are entitled to standard social package (sick leave, maternity leave, pension, corrective lenses round, etc.). However, the internal regulations (Regulamin wynagradzania and Ragulamin Funduszu Badań Własnych) have been introduced and regulate various aspects of funding and enumeration, and various additional initiatives have been undertaken to make the condition more attractive, e.g. co-payments in , in private health insurance, special holiday payments for employees and their children, language courses, use of PAN's vacation infrastructure, etc., and researchers employed in externally granted projects can receive additional remuneration.</p>
27	Gender balance	++		<p>There is a number of efforts undertaken to achieve gender equality (e.g.Equality plan and committee have been created), but survey indicates that even though 74,6% agrees and strongly agrees that there is equal treatment of different genders, some believe that already existing policies are not adequate (e.g. releasing form administrative duties only female researchers who have just come back from maternity</p>

				leave). Moreover, majority of negative answers regarding fair allocation of administrative duties was given by women (see: 37). Therefore IH PAN may consider opening it to the discussion and updating the gender equality policy.
28	Career development	++		Formal regulations regarding researchers' career l development are a part of <i>Prawo o szkolnictwie wyższym i nauce, Dz.U. 2018 poz. 1668</i> . Survey indicates that IH PAN provides very flexible working conditions (95,7% positive responses, and 1.4% 'hard to say') and good stability (84.5%), thus it crates proper conditions for career development, but there is still room for improvement by additional actions, e.g. introducing mentoring system in order to help better plan employees' careers.
29	Value of mobility	++		Mobility is one of the criteria used in the evaluation process. Researchers are encourage to participate in all kinds of mobility activities (from short-term to longer stays), Institute is very flexible when it comes to applying for a leave that allows an employee to spend even longer period in another academic institution.
30	Access to career advice	--	Survey results indicate that although - 7% of responders do not think it is	New action: introduction of career advice programme, by

			necessary, and 21,2% answered 'hard to say', the majority agrees that access of career advice could be beneficial for the employees. GAP: lack of career advice options	providing access to career advisor (regular sessions for employees interested in using this opportunity).
31	Intellectual Property Rights	++		IH PAN acts fully in compliance with Ustawa o prawach autorskich i prawach pokrewnych (Copyright code) Dz.U. z 1994 r. nr 24, poz. 83, but also has own regulation: In 2015 integral regulation was introduced in a form of <i>Regulamin zarządzania i korzystania z wyników pracy intelektualnej powstałych w IH PAN oraz komercjalizacji wyników badań naukowych i prac rozwojowych 1 April 2015</i> , and Kodeks Etyki Pracownika Naukowego (Code of Ethics for Researcher). There are also regular obligatory training sessions for employees in intellectual property law. However, survey indicates that 4,2% responders strongly disagree that IH PAN clearly defines rules related to copyright of its employees, therefore actions aiming at raising awareness of already existing regulations and practices should be considered.
32	Co-authorship	++		IH PAN follows strictly state legal regulations, namely

				<p>compliance Ustawa o prawach autorskich I prawach pokrewnych (Copyright code) Dz.U. z 1994 r. nr 24, poz. 83, and Kodeks Etyki Pracownika Naukowego (Code of Ethics for Researcher).</p> <p>However, 5,6% responders disagreed that IH PAN takes positive attitude towards co-authorship. Therefore putting more attention to co-authorship during the obligatory copy-rights training sessions for employees may be considered.</p>
33	Teaching	++		<p>There is only limited number of the PhD students, so only part of the researchers is actually involved in teaching. In case of those who are, their involvement is acknowledged as part of their professional development/activities during the evaluation process.</p>
34	Complains/ appeals	+/-	<p>Even though there is a number of regulations and bodies introduced and active when it comes to failing complains/appeals, the survey indicates that 33,8% of responders said it was 'hard to say' if there are any procedures and bodies in place in IH PAN to efficiently and impartially resolve disputes or conflicts and 14.1% disagreed.</p> <p>GAP: low awareness of already existing procedures and polities</p>	<p>There is a number of regulations and bodies: Gender equality plan and committee, Disciplinary committee and disciplinary ombudsperson, procedure to fail complaints in various situations, including contesting the results of evaluation.</p> <p>New action: raising of awareness of already existing regulations and procedures via</p>

				various methods, e.g. detailed description placed on the website and/or regular e-mailing.
35	Participation in decision-making bodies	+/-	IH PAN is headed by a director chosen by special committee in an open competition and a Scientific Board (composed of chosen representatives of academic community and IH PAN' employees), as regulated by the Ustawa o Polskiej Akademii Nauk, Dz.U. 2010 nr 96 poz. 619. However, 21,1% of responder disagree that all groups of employees are adequately represented in the decision making bodies. GAP: feeling of being underrepresented in the decision-making bodies among the employees.	New proposals: implementation of consultation system in the process of making decisions regarding specific groups of employees.
	Training and Development	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
36	Relation with supervisors	+/-	Academic supervisors are named for each of the PhD students upon their entering the Doctoral School, but the internal regulation (Regulamin Szkoły Doktorskiej Anthropos) does not describe supervisor's duties the way students' obligations are described. However survey indicates, that only 7% of participants argues that standards for the relationship with supervisor are not clearly defined (with 60,5% agreeing or strongly agreeing). GAP: imprecise formal regulations regarding supervisors duties.	New proposals include updating of internal regulations, introducing meeting of early career researchers and senior researchers providing opportunity to discuss various aspects of scientific career and introducing HR workshops focusing on interpersonal relationship.
37	Supervision and managerial duties	+/-	There is no official regulation referring to allocating other than research duties and the survey confirms that it is	New actions: clear rules, e.g. ban of allotting one person more than one

			<p>believed to be either done in an unclear way (29,6%) or be unfairly distributed by 14,1% (including 8,5% of 'strongly disagree' answers). What is extremely important, significant part of the negative answers came from the female researchers (16.7% female v. 8.1% male out of responding that allocation of duties is unfair).</p> <p>GAP: unclear rules when it comes to distributing administrative duties.</p>	<p>administrative/supportive role at the same time, limiting the period of such duties (rotation), following Gender Equality plan when making the decisions, etc. by updating internal regulations.</p>
38	Continuing Professional Development	+/-	<p>Formal regulations regarding researchers' professional development are a part of Prawo o szkolnictwie wyższym i nauce, Dz.U. 2018 poz. 1668. As shown below (see: 39) the survey indicates that opinions about access to continuous development are mixed. However, 73,2% responders agree that employee's individual activities that can positively affect their professional development are supported (v.9.9% who disagree).</p> <p>GAP: lack of formal support system when it comes to continuing professional development.</p>	<p>Proposal of new actions: creating of mentoring programme for R1 and R2 researchers.</p>
39	Access to research training and continuous development	+/-	<p>Survey indicates that 15,5% of responder have negative opinion of the way IH PAN provides access to continuous development, while 56,4 agrees that it is done in a sufficient way. As institute is rather active regarding various forms of additional training improving staff's competencies, skills and employability (including among</p>	<p>Proposals of new actions: regular activities aimed at raising an awareness of available options, such as quarterly newsletter listing training options, etc.</p>

			<p>others Erasmus +), it seems that what needs to be done is raising of awareness of available options.</p> <p>GAP: limited awareness of available options for training and continuous development.</p>	
40	Supervision	+/-	<p>There are internal regulations that are to regulate the interaction between supervisors and early career researchers (e.g. Regulamin Szkoły doktorskiej Anthropos), but the survey clearly indicates that there is a gap when it comes to the factual situation: the dominating answer in case of statements relating to consulting individual strategy was 'hard to say' (21,1%) and a number of negative responses added to 28,2%; while in case of Institute's support for the involvement into training of early career researchers the answers were respectively: 35,2% and 14.1%</p> <p>GAP: inadequate support for establishing bilaterally beneficial relationship between senior and younger researchers aimed at supporting of development of individual career strategies.</p>	<p>Even though there are specific regulations in order, the survey confirmed that more proactive actions are necessary. New proposals include series of workshops for heads of departments and other R3 and R4 group members aimed at encouraging them to get more involved and more supportive when it comes to needs of R1 and R2 researchers, especially in the context of their career strategies, resulting in creating mentoring programme.</p>