

ACTION PLAN**Case number: 2 0 2 3 P L 5 0 8 4 8****The Tadeusz Manteuffel Institute of History, Polish Academy of Sciences
(Instytut Historii im. Tadeusza Manteuffla PAN)****Rynek Starego Miasta 31, 00-272 Warszawa, Poland****Date endorsement charter and code: 2 8 D e c e m b e r 2 0 2 2****1. Organisational Information***Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.*

| STAFF & STUDENTS | FTE |
|--|------------|
| Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research * | 135 |
| Of whom are international (i.e. foreign nationality) * | 13 |
| Of whom are externally funded (i.e. for whom the organisation is host organisation) * | 30 |
| Of whom are women * | 42 |
| Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. * | 57 |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level * | 58 |
| Of whom are stage R1 = in most organisations corresponding with doctoral level * | 20 |
| Total number of students (if relevant) * | 0 |
| Total number of staff (including management, administrative, teaching and research staff) * | 188 |

| RESEARCH FUNDING (figures for most recent fiscal year) | € |
|--|----------|
| Total annual organisational budget | |
| Annual organisational direct government funding (designated for research) | |
| Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) | |
| Annual funding from private, non-government sources, designated for research | |

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

The Tadeus Manteuffel Institute of History, Polish Academy of Sciences - IH PAN (founded in 1953) is one of the leading research institutions in Poland in the field of history. It includes 12 departments focusing on various research topics, from medieval history to social history of the 20th century. IH PAN has a PhD programme (part of Anthropos Doctoral School), own publishing house and research library. Its staff is involved in a number of international and national research projects (funded, among others by NCN, NPRH, EFRR) and teams, and participates in various initiatives internationalization, including Erasmus +.

2. Strengths and weaknesses of the current practice

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Ethical and professional aspects *

Strengths:

- Research freedom: IH PAN guarantees freedom of expression of opinions and views, as well as free choice of research topics.
- Ethical principles: all units of the Polish Academy of Sciences, including IH PAN, are obliged to follow the rules of the Code of Ethics for Researchers (*Kodeks Etyki Pracownika Naukowego*).
- Contractual and legal obligations: researchers are supported by administrative and support units, which are involved in the research project at various stages and help to fulfil contractual and legal obligations.
- Professional responsibility/attitude: there is a disciplinary committee and an ombudsperson to deal with any irregularities.
- Good research practice: there are regular training sessions for all staff to increase their knowledge and awareness of the regulations and good practices that should be followed in research activities.
- Public engagement/dissemination and exploitation of results: the IH PAN community is actively involved in various public outreach projects and publishes extensively in both academic and more popular publications, etc.
- Non discrimination: A Gender Equality Plan has been implemented and the Disciplinary Committee would take action in case of any complaint regarding discrimination in any form. There is also anti-mobbing policy in place.

Weaknesses:

Evaluation: evaluation rules need to be made more transparent and inclusive.

Recruitment and selection ***Strengths:**

- Selection: there is a detailed policy on how the selection committee is formed and operates.
- Seniority: the level of qualification required is always stated in the job adverts.
- Postdoctoral appointments: all the rules for postdoctoral appointments, including temporary appointments, are clearly stated.

Weaknesses:

- Assessment of merit: the selection procedure consists of several stages, including an interview, and the assessment is not only quantitative (publications) but also qualitative, covering the whole range of activities, skills and qualifications; however, candidates may not know to what extent they have met/not met the criteria.
- Recruitment: as the internal rules are only partially in line with the OTM-R principles, they need to be updated; information on vacancies should always be disseminated through a wider range of methods (including e.g. social media).
- Transparency: candidates do not receive feedback on their application; there is no appeals procedure.

Working conditions ***Strengths:**

- Stability/working conditions: IH PAN offers flexible and stable working conditions, which makes it easier to find a balance between work and private life.
- Career development: the career development plan is clearly indicated and the conditions for moving from one group to another (R2 to R3, R3 to R4) are generally known and accepted.
- Intellectual property rights/co-authorship: there are internal rules on intellectual property rights and co-authorship, as well as regular training sessions for researchers to keep them abreast of legislation and possible changes.
- Gender balance: Gender equality plan and committee already in place.

Weaknesses:

- Research environment: for objective reasons (limited pace, insufficient funds to provide quality infrastructure, etc.) there is uncertainty among staff about the quality of the research environment; action is needed to change this and to ensure that existing resources are used more effectively.
- Recognition of the profession: researchers do not always feel being recognized as professionals.
- Access to career advice: there is no career advice for IH PAN staff.
- Salaries.

- Complaints and appeals: although procedures are in place, there is very limited awareness among staff of the options available when it comes to complaints and appeals.
- Participation in decision-making bodies: in particular, members of groups R1 and R2 should be consulted more often on issues directly related to their work at IH PAN or on the direction in which the Institute should develop.

Training and development *

Strengths:

None

Weaknesses:

- Relationship with supervision: duties and obligations of supervisors towards PhD students are not clearly stated and included in existing regulations.
- Supervision and management duties: unclear rules on the distribution of non-research duties among researchers, especially women.
- Professional development/access to professional development: lack of formal support system for professional development, e.g. mentoring programme, existing opportunities for training, mobility, etc. should be better advertised.
- Supervision: no institute-supported means to advise on individual strategy for R1 and R2 researchers. R3 and R4 should be more supportive, as the formation of beneficial relationships between senior and junior researchers is key to the development of the latter.

3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s):

<https://ihpan.edu.pl/o-instytucie/hrs4r/>

Please fill in the list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise, but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

Note: Choose one or more of the principles retrieved from the GAP Analysis.

Proposed ACTIONS

Principles:

1. Research freedom 2. Ethical principles 3. Professional responsibility 4. Professional attitude 5. Contractual and legal obligations
 6. Accountability 7. Good practice in research 8. Dissemination, exploitation of results 9. Public engagement 10. Non discrimination
 11. Evaluation/ appraisal systems 12. Recruitment 13. Recruitment (Code) 14. Selection (Code) 15. Transparency (Code)
 16. Judging merit (Code) 17. Variations in the chronological order of CVs (Code) 18. Recognition of mobility experience (Code)
 19. Recognition of qualifications (Code) 20. Seniority (Code) 21. Postdoctoral appointments (Code) 22. Recognition of the profession
 23. Research environment 24. Working conditions 25. Stability and permanence of employment 26. Funding and salaries
 27. Gender balance 28. Career development 29. Value of mobility 30. Access to career advice 31. Intellectual Property Rights
 32. Co-authorship 33. Teaching 34. Complains/ appeals 35. Participation in decision-making bodies 36. Relation with supervisors
 37. Supervision and managerial duties 38. Continuing Professional Development 39. Access to research training and continuous development
 40. Supervision

| | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicators/Target(s) |
|---|-----------------------------|--|--|---|
| ACTION 1 Raising the awareness of existing regulations and policies on ethical aspects of research - all new staff should be made aware of PAN's internal regulations when they are appointed (appointment phase), while all other staff should be able to attend specific training sessions and consult the website. | (+/-) 2. Ethical principles | 1:Q1 2024; 2:Q2 2024; 3: Q1 2025 | HR Department, IWG, SC, Director and Deputy directors, IT Department | 1. Inclusion of the PAN Code of Ethics for Researchers in the list of documents to be familiarised with by newly appointed staff; 2. Include information on ethical principles, existing documents, etc. on the IH PAN website. 3. Provide training to staff at least once a year, including a Q&A session. |

| | | | | |
|--|---|----------------------------------|--|---|
| | | | | Target: to increase awareness of research ethics and knowledge of existing regulations. |
| ACTION 2 Improving support system for researchers regarding dealing with frequently changing external regulations in the context of their obligations and general regulations concerning research. | | 1-2: Q2 2024 | Department for the Organization of Scientific Research and Studies; | 1. Introductory sessions for all employees involved in a new research projects with Department for the Organization of Scientific Research and Studies staff ; 2. Introducing internal procedures of informing researchers in case of changes of external regulations. |
| ACTION 3 Updating the evaluation system ensuring that different types of activities are appropriately included and that the system and criteria are transparent. | | Q2 2025 | Director and Deputy Directors, Scientific Board, Department for the Organization of Scientific Research and Studies, IWG, SC | Target: introduction of new internal regulations (regulamin) for the evaluation system in IH PAN |
| ACTION 4 Full implementation of OMT-R rules in internal procedures | (+/-) 12. Recruitment (+/-) 13. Recruitment (Code) (-/+) 15. Transparency (Code) | 1-3:Q2 2024 4: Q4 2024 and on | HR Department, IWG, SC, Scientific Board, Director | 1. OMT-R policy fully developed 2. OMT-R published on IH PAN website 3. all internal rules updated to comply with OMT-R rules, including the introduction of feedback as part of the process and the introduction of a complaints procedure 4. ensuring that all job advertisements and interviews fully comply with the rules of the OMT-R policy by monitoring the process (desk research of documentation and checking of e-tools). |
| ACTION 5 Introducing coherent information for committee members and candidates | (+/-) 12. Recruitment (-/+) 16. | 1-2: Q3 2024 | HR, Director, IWG, SC | 1. a requirement for committee members to be familiar with the OMT-R policy (as part of the |

| | | | | |
|--|--|--------------------------|---|---|
| regarding selection criteria | Judging merit (Code) | | | process they will be provided with written information which they should familiarise themselves with and confirm with their signature) 2. a more precise explanation of the criteria in the job advertisements. |
| ACTION 6 Creating a more active researching environment | (+/-) 23. Research environment (+/-) 39. Access to research training and continuous development | 1-2: Q2 2024 | Director, Library and other supporting department | 1. more coherent and better working tools for disseminating information about opportunities to stimulate academic interaction and to use training options for researchers (through newsletters, mailing lists, websites, social media, etc.) 2. The creation of new cross-cutting research groups linking researchers across existing divisions. |
| ACTION 7 Introduction of career advice options | (--) 30. Access to career advice | Q2 2025 | Director, HR | meetings with "Doradca Zawodowy" (Career Advisor) made available to IH PAN employees. |
| ACTION 8 Raising awareness of existing complaint/appeals procedures | (+/-) 34. Complains/ appeals | Q2 2025 | HR, Director, Scientific Board, IT | Creation of a website that can be consulted anonymously and that provides information on the various complaint mechanisms that already exist in IH PAN. |
| ACTION 9 Introducing of consultation system | (+/-) 35. Participation in decision-making bodies | Q4 2024 | Scientific Boars, Director | Establishing consultation procedures, for example, inviting employees to express their opinions, describe their needs, via forms, etc., when important decisions are to be made or new regulations affecting different groups of employees are to be introduced, |
| ACTION 10 Introduction of a more coherent approach to the relationship with supervisors | (+/-) 36. Relation with supervisors (+/-) 38. Continuing | 1: Q2 2024 2: Q1 2025 | IWG, SC, Doctoral School, Director, HR | 1. updating the internal regulations to better define the obligations of supervisors towards doctoral students 2. Workshops on interpersonal |

| | | | | |
|---|--|----------------------------------|---|---|
| | Professional Development (+/-) 40. Supervision | | | relations |
| ACTION 11 Researchers' administrative tasks mapping system | (+/-) 37. Supervision and managerial duties | Q3 2024 | Director, HR | Target: creation of a database to monitor the distribution of administrative duties, to ensure that no one is overburdened with administrative work, etc., and that burdens are fairly distributed over time. |
| ACTION 12 Introduction of a mentoring programme in IH PAN | (+/-) 38. Continuing Professional Development (+/-) 40. Supervision | Q3 2024 | Director, Scientific Board, HR, Heads of Departments, IWG | introducing regular meetings of employees as part of a support system for young researchers and encouraging more established researchers to share their experiences. |
| ACTION 13 Mapping of the employees and better presenting their professional profiles via Institute's website and other media | (+/-) 22. Recognition of the professions | Q2 2024 | Director, IWG, HR and IT Department | Target: presentation of all researchers' updated and detailed professional profiles both in Polish and in English on the Institute's website, as well as encouraging them to present their professional profiles via different platforms, e.g. Academia, LinkedIn, etc. |
| ACTION 14 Updating the gender equality policy and Gender Equality Plan. | (+/-) 22. Recognition of the profession (+/-) 23. Research environment (++) 27. Gender balance (+/-) 37. Supervision and managerial duties | 1: Q3 2024 2: Q4 2024-Q1 2025 | Gender Equality Commission, Director, HR | 1. conducting a survey on the existing Gender Equality Plan and the effectiveness of its implementation 2. updating the plan in a way that incorporates the suggestions made in the survey |
| ACTION 15 Raising awareness of existing options for funding and additional financial options | (+/-) 26. Funding and salaries | Q2 2024 and on | Department for the Organization of Scientific Research and Studies, | support for researchers applying for external funding in terms of recognition of options/rules for securing additional remuneration, additional research costs, etc. |

| | | | | |
|--|--|--|----------|--|
| | | | Director | |
|--|--|--|----------|--|

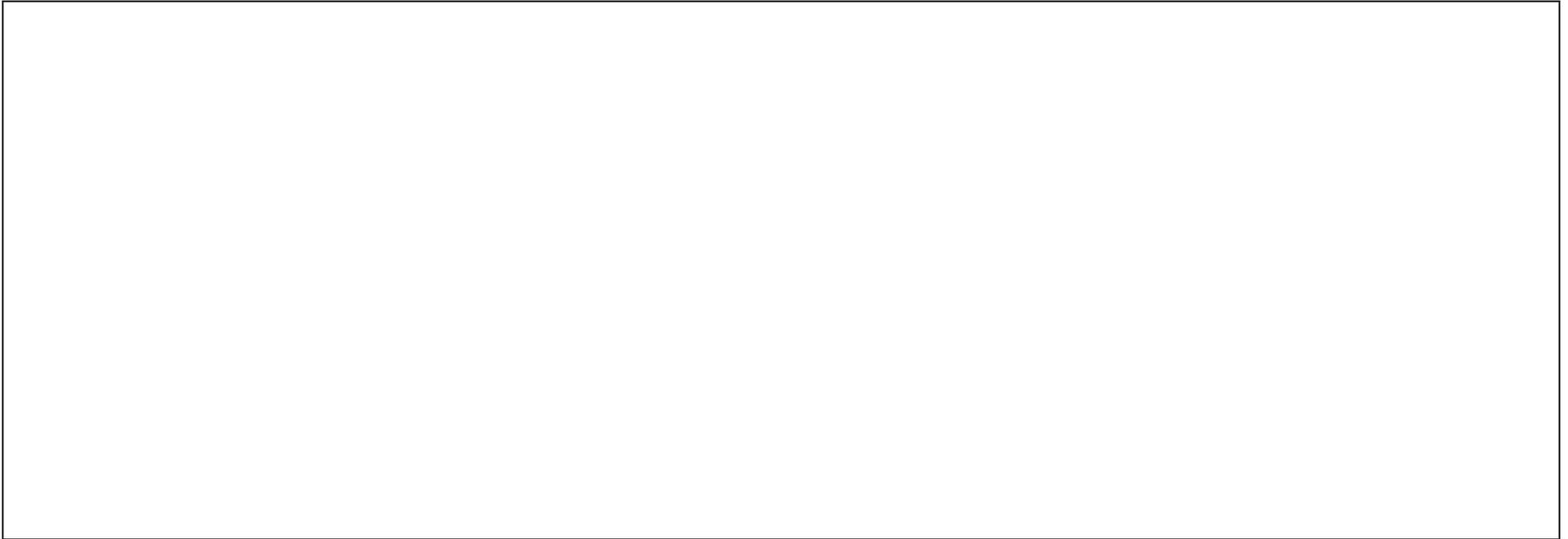
Note: Add as many actions as needed.

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan. (max. 1000 words) *

IH PAN has already started working on the Open Recruitment Policy based on the Open, Transparent and Merit-Based Recruitment Toolkit. It will be implemented as an internal document describing procedures, updating certain existing regulations and introducing rules fully in line with the Code of Conduct for the Recruitment of Researchers recommended by the European Commission. The document will be available on the Institute's website in Polish and English.

The draft OTM-R policy has been developed by the Working Group in cooperation with the Steering Committee, the Human Resources Department and the Legal Counsel. The WG includes representatives of all researcher groups (from R1 to R4) as well as representatives of the departments involved in the recruitment process. The WG will become an Implementation Working Group (IWG) and will prioritise the development of the final OTM-R policy and its implementation.

The OTM-R checklist, based on the thorough desk research and consultations, shows that a significant number of OTM-R principles have already been implemented in IH PAN, but there are still areas where action is needed. For example, IH PAN does not have an internal policy that sets out clear OTM-R procedures and practices for all types of positions, but there are internal regulations for the recruitment of research positions and PhD students that are already partially OTM-R compliant. Another gap that needs to be addressed is the lack of an adequate complaints mechanism for candidates and written guidelines for selection committee members. Currently, the strong elements are: encouragement of external candidates, attraction of foreign researchers, standardised template, minimisation of administrative burden for candidates, appointment and composition of selection committees. All this is already regulated by our internal document *Regulamin Konkursów przy Zatrudnianiu Pracowników Naukowych* (Internal Recruitment Regulations), which states that the committees should be composed of either 3 or 5 people: a director or deputy director, a member of the department where the new employee will work, and 1 (in the case of 3-person committees) or 2 (in the case of 5-person committees) external expert(s), i.e. researchers who are not employed at IH PAN. All applications are published online and the deadline for submitting applications is no less than 30 days. Applications are then formally evaluated and candidates are invited to the second stage of the recruitment process, the interview, which can be conducted online. The results will be published on the Institute's website. In addition, all candidates are contacted at the end of the selection process to inform them of their results, although no specific feedback is given as unsuccessful candidates do not receive full feedback on the strengths/weaknesses of their application (this will be changed in the future).



If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL: *http://www.yoursite.com*

4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

The process of implementing the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers in IH PAN was initiated by recognising the requirements and preparing to start the process, preparing and submitting the letter of approval of the C&C and the commitment to implement HRS4R, and forming the Steering Committee (SC) and the Working Group (WG), which were involved in the initial phase. Their aim was not only to develop the necessary documents, decide on the methodology and carry out a survey and desk research to provide material for analysing the current situation regarding HRS4R in IH PAN, but also to prepare the Institute effectively for the implementation phase.

The initial phase was also crucial for developing working relationships between the different actors involved in the application process, who to a large extent will also be involved in the next phase. We expect that this will facilitate further cooperation between the various stakeholders. These will clearly include researchers from R1 to R4 groups, the governing body (Scientific Board), the management (Director and Deputy Directors, as well as HR and Legal Departments, Department for the Organisation of Scientific Research and Studies, IT Department). The Steering Committee will be extended to include the Head of the Scientific Board, while the Working Group will become the Implementation Working Group. All these units will work closely together to implement all the actions described in the Action Plan according to the timetable approved by the SC and to achieve the milestones of the implementation process.

The main objectives to be achieved during this second phase are to close the gaps between the HRS4R and existing regulations, policies and practices in the IH PAN by implementing the actions outlined in the Action Plan, but also to build a general appreciation of the HRS4R. This will include

- a. Developing a coherent mission statement regarding IH PAN's mission and how it is implemented,
- b. Raising general awareness of HRS4R and OTM-R in IH PAN, e.g. by reaching out to staff on a regular basis and setting up a dedicated website.
- c. Raising awareness of existing policies and regulations that are already in line with C&C principles.
- d. Implementing C&C principles in areas where they have not been implemented or have been implemented inadequately, including by updating internal regulations and policies.
- e. Provide IH PAN employees with professional development and training opportunities, as well as career counselling.
- f. Increase the participation of young employees in decision-making bodies
- g. Establish evaluation procedures that are more transparent and take into account other aspects of researchers' activities that are not strictly related to research.

The implementation of the HRS4R strategy and the OTM-R policy is one of IH PAN's priorities, as we are deeply convinced that it will be extremely important for the further development of our institution and for securing its place as one of the leading Polish research institutions in the field of history.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

How will the implementation committee and/or steering group regularly oversee progress?*

The Steering Committee (SC) will continue its role, but will be joined by the Head of the Scientific Board as a sixth member, as an important part of the implementation process requires close co-operation with the Board. The Working Group (WG) will be expanded and transformed into an Implementation Working Group (IWG). The people involved in the IWG will be selected in a way that respects all the principles of C&C, e.g. the group will include representatives of R1 to R4 groups selected in a way that respects the principles of supervision/management duties and working conditions.

The IWG will report to the SC every 3 months or as needed if there are any obstacles in the implementation process. After the submission of each report (or at the request of the head of the IWG), a meeting will be held between the SC and representatives of the IWG, as well as the HR and legal departments. The SC will confirm the schedule and set and confirm the achievement of milestones, which is the key part of the implementation process.

How do you intend to involve the research community, your main stakeholders, in the implementation process?*

The research community was already involved in the initial phase, as the WG included a number of researchers (from R1 to R4 groups) and a person coordinating the whole process, also at the technical level, is a female R2 researcher. In addition, researchers and PhD students represented 73.2% of the respondents to the 2023 survey.

In the implementation phase, we plan to ensure that more researchers are involved, either through participation in the implementation working group or through direct actions, such as meetings, training sessions and workshops dedicated to specific aspects of HRS4S, as the survey showed that raising awareness of C&C principles, but also of already existing policies and procedures, is extremely important.

We also plan to reach out to our staff through various means at the Institute's disposal, such as newsletters and a special website dedicated to the implementation process and good practices that IH PAN has already implemented or plans to implement.

How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.

IH PAN's aim is to fully integrate HRS4R procedures into its HR processes. The decision to start the HRS4S application process already shows that IH PAN is determined to implement the C&C principles and fully supports the related activities.

As the desk research identified gaps between the HRS4R policy and internal regulations, the priority will be to update existing regulations and develop new ones. This will be done in accordance with state and PAN regulations. The Implementation Working Group will develop a further draft of the OTM-R policy and the documents will form the basis for updating the *Regulamin Konkursów przy Zatrudnianiu Pracowników Naukowych* (Internal Recruitment Regulations). Other internal regulations will also be updated as necessary. The governing bodies, i.e. the Directors and the Scientific Board, will be closely involved in every step of the implementation process, so there is no doubt that HRS4R will be recognised as an important element of IH PAN's research strategy

How will you ensure that the proposed actions are implemented?*

The implementation of the proposed actions will require the involvement of various stakeholders and groups. The key role will of course be played by the Steering Committee (extended as the Head of the Scientific Board will join it in the implementation phase). The SC will oversee the process as the IWG will report regularly to the SC. The IWG will be responsible for developing drafts of new documents as part of the implementation process, developing and conducting the next survey (see: progress indicators), monitoring progress and raising awareness of HRS4R in IH PAN more generally.

There will be close cooperation between the IWG and the SC, as well as all departments involved in the implementation process, in particular HR and the Legal Counsel. Communication between all parties involved will take place via e-mails, face-to-face and online meetings and consultations, etc.

How will you monitor progress (timeline)?*

The detailed schedule, based on milestones such as the full development of the ORT-M policy, the updating of the internal rules and procedures, the publication of documents on the website, etc., will be developed and followed. The Head of the IWG will work closely with the Director, his deputies and the Scientific Board to ensure that the timetable is adhered to and that all necessary actions are properly addressed, e.g. included in the agendas of Scientific Board meetings. They will also liaise with specific departments identified as responsible/involved in the implementation of specific actions.

The IWG will meet regularly to discuss progress and report to the SC. If there are delays in the implementation of specific actions, the SC will intervene and ensure that new realistic deadlines are set. The IWG will then monitor the situation closely to ensure that the objectives are achieved as planned.

How will you measure progress (indicators) in view of the next assessment?*

The indicators that will be used to measure the progress of the implementation process with a view to the next assessment will include different elements and will be linked to the timetable on which the monitoring process will be based. On the one hand, the key indicators will be the documents developed and implemented in IH PAN as part of the process of ensuring compliance between C&C, the State, PAN and the IH PAN's integral regulations. These need to be either updated or developed, and this should be done within a specific timeframe. All documents should then be published in both Polish and English.

Another indicator will be the website dedicated to the implementation process and good practices that IH PAN has already introduced or plans to introduce. This will be extremely important in terms of the need to raise awareness of some elements of C&C among IH PAN staff; this should be promoted among staff and the general public.

Finally, the in-depth desk research of the regulations will be carried out to ensure that all the necessary elements have been introduced and implemented, and the final survey will be carried out again 6 months before the end of the implementation phase to measure progress on specific issues that were identified as problematic in the original survey in 2023.

NA