

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review:

INSTITUTE OF HUMAN GENETICS, POLISH ACADEMY OF SCIENCES (IHG PAS)

Organisation's contact details:

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Submission date: December 28, 2017

Date endorsement Charter and Code:

1st letter -August 1, 2017

2nd letter (complemented with the strengthened OTM-R strategy) October 31, 2017

Process (Max. 300 words)

HR working group 2017 appointed (6.07.2017) by the Director of the Institute is composed of R1-R4 researchers representing all the Departments and the HR department

1. **Prof. Ewa Zietkiewicz (F; R4) - head of the HR working group**

2. Assoc. Prof. Monika Frączek (F; R3) – team leader

3. Assoc. Prof. Maciej Giefing (M; R3) - head of the Department

4. Assoc. Prof. Andrzej Pławski (M; R3) - team leader

5. Prof. Grzegorz Przybylski (M; R3) - team leader

6. Małgorzata Dawidowska, PhD (F; R2) - team leader

7. Ewelina Kałużna, MSc (F; R1) - PhD student

8. Damian Janecki, MSc (M; R1) - PhD student

9. Monika Rusiłowska, MSc (F) - HR department

HR Steering Committee:

1. Prof. Michał Witt (M; R4) - Director of the Institute, head of the Department

2. Małgorzata Strecker, MSc (F) - Deputy Director for Administrative Affairs

Meetings of the HR working group to analyze the implementation of the 40 C&C principles, OTM-R checklist and results of the survey as well as to prepare the action plan and the final report:

1) July 12, 2017

2) August 1, 2017

3) August 4, 2017

4) September 22, 2017

5) October 23, 2017

6) November 9, 2017 (the head of the HR Working Group and the Steering Committee to obtain the approval of the proposed action plan by the Director)

7) December 13, 2017

8) December 20, 2017

Questionnaire sent to all R1-R4 researchers (82) on August 11, 2017; deadline for submission September 19, 2017; reminder in the meantime.

The number of researchers who responded: 68 (84%).

Possible answers: Yes, full implemented; Yes, substantially; Partially, Definitely not implemented; I do not know. Comments were possible.

Separate informational meetings (Head of the HR working group and the Steering Committee) with the non-independent (R1-R2) and independent researchers (R3-R4) to present and discuss the proposed action plan (28 November 2017).

GAP analysis

The gap analysis has been based on The Charter and Code template provided by the European Commission with 40 articles renumbered under the following headings:

- I. Ethical and Professional Aspects
- II. Recruitment and Selection (OTM-R)
- III. Working Conditions and Social Security
- IV. Training and Development.

The gap analysis, has been performed by the HR working group, taking into account internal documents of the Institute of Human Genetics, Polish Academy of Sciences and results of the survey.

The outcome of the survey has been deeply analyzed by the working group. Answers: **PARTIALLY** and **DEFINITELY NOT IMPLEMENTED** were considered as **NEGATIVE**, thus requiring an action.

The statistics is as follows:

56/68 people answered **NEGATIVELY** to less than 10 out of 40 questions

7/68 people answered **NEGATIVELY** to 11-14 with 40 questions

10/68 people answered **NEGATIVELY** to 15-30 of 40 questions

Moreover, when comes to percentage analysis of responses:

- 2 of the 40 questions (16 and 23) of the **NEGATIVE** answers were given by > 50% of the respondents

- 9 questions with the **NEGATIVE** response were given by 20-36% of the respondents

- 8 questions with the **NEGATIVE** response were given by 15-19% of respondents

In case of other questions, **NEGATIVE** response was given by less than 15% of respondents

The outcome of the gap analysis is presented in the table below. In relation to 23 principles of The Charter and Code no gaps have been identified, thus no actions are needed.

For the remaining 17 principles some gaps were identified, as indicated in the GAP analysis overview.

All these principles have been taken into consideration while preparing the Action Plan. Some initiatives have been already undertaken to improve the situation, others are planned.

Special attention was paid to fully introduce OTM-R strategy at the IHG PAS.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

<p>Status: to what extent does this organisation meet the following principles?</p>	<p>+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented</p>	<p>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.</p>	<p>Initiatives already undertaken and/or suggestions for improvement.</p>
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Ethical and Professional Aspects

<p>1. Research freedom</p>	<p>+</p>	<p>No gaps indicated The researchers of the IHG PAS focus their research for expanding the frontiers of scientific knowledge while enjoying the freedom of thought and expression and the freedom to identify methods by which problems are solved. They apply ethical principles and practices. At the same time researchers are obliged to do the research while respecting standards and obligations resulting from the principles of professional conduct.</p>	<p>Required actions: none.</p>
<p>2. Ethical principles</p>	<p>+</p>	<p>No gaps indicated The IHG PAS researchers are obliged to adhere to the ethical practices and fundamental ethical principles appropriate to their disciplines as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics and other regulations. The IHG PAS researchers oblige themselves to observe ethical principles in the research especially the principles of scientific honesty and do not allow for plagiarising, falsification of the research results, unreliability in their dissemination, in application for research funds and carrying out and reviewing research.</p>	<p>Required actions: none.</p>

3. Professional responsibility	+	<p>No gaps indicated</p> <p>The IHG PAS researchers make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. Pursuant to binding legal regulations and the Code of Ethics of the Polish Academy of Sciences the researchers must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) or other researchers. Researchers are obliged to familiarize with the literature related to the subject of their research on an ongoing basis and the IHG PAS assures access to the literature database, patent database, etc.</p>	Required actions: none.
4. Professional attitude	+	<p>No gaps indicated</p> <p>The IHG PAS researchers are familiarized with the strategic goals governing their research environment and funding mechanisms and also possess all necessary approvals before starting their research or accessing the resources provided. They are obliged to inform the Director, funders or supervisors when their research project is delayed, redefined or completed or give notice if it is to be terminated earlier or suspended for whatever reason.</p>	Required actions: none.
5. Contractual and legal obligations	+	<p>No gaps indicated</p> <p>The IHG PAS researchers are familiarized with the national, sectoral or institutional regulations governing training or working conditions. This includes, inter alia, IPRs and requirements and conditions of any sponsors or funders, independently of the nature of their contract. The IHG PAS researchers adhere to the regulations by delivering the required results e.g. in the form of a thesis/post-doctoral dissertation, publications, patents, reports, new products development, etc. as set out in the terms and conditions of the contract or equivalent document.</p>	Required actions: none.

6. Accountability	+	<p>No gaps indicated</p> <p>The IHG PAS researchers are aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. Researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Researchers adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.</p>	Required actions: none.
7. Good practice in research	-/+	<p>As the research conducted at the Institute of Human Genetics, PAS in many cases, needs samples from patients, it is essential to introduce data confidentiality policy and train the staff. Another identified gap is related to new Polish regulations that will come into force mid-2018 and refers to the issue of personal data handling.</p>	<p>1. Employment of the personal data inspector</p> <p>2. Training of the researchers on the protection and confidentiality of data</p> <p>3. Introduction of data confidentiality policy</p>
8. Dissemination, exploitation of results	+/-	<p>As the research is funded from public money, there is a need to employ someone who will take care of the promotion and dissemination of the results to the society at large. This person should also possess knowledge on the exploitation of research results.</p>	<p>Employment of the Scientific secretary - this person should, inter alia, play a supportive role to the academic staff and help them promote, disseminate and exploit their research.</p>
9. Public engagement	+	<p>No gaps indicated</p> <p>The IHG PAS researchers for many years have been involved in the popularisation of science among non-specialists. These are the activities directed to children and adults in the form of events which take place both on local level, e.g. Brain Awareness Week, Science Festival, as well as national level, e.g. the Night of Biologists. Moreover, the IHG PAS</p>	Required actions: none.

		organizes education for seniors in the form of lectures and seminars for the University of the Third Age. Industry representatives are invited to cooperate with the IHG PAS through the participation in the conferences bringing together science and business and bodies responsible for consultation what contribute to the dialogue concerning social challenges and company needs as well as possibilities for solving/satisfying them by the Institute through the results of its research and educational activity.	
10. Non discrimination	+/-	At present there is only one foreigner working at the Institute and the team where he is located takes care of informing him about all important things. However, as internationalisation is the future goal and to avoid discrimination in terms of language, there is a need to translate basic documents of the Institute into English and in the future provide all the information in Polish and English. To make the first step the questionnaire was bilingual . Also, seminars in the Institute are in English.	Translation of the most important documents of the Institute into English - it will start in January 2018 and from this moment it will be a continuous action
11. Evaluation/ appraisal systems	+/-	The results of the questionnaire show that the appraisal system must be updated and improved , especially when the evaluation of researchers according to the Ministry of Science and Higher Education is taken into consideration (the most important part refers to publications).	The existing appraisal system of the Institute should be in line with the newest evaluation criteria launched by the Ministry. Director's order - Introduction of a new bonus system promoting the best-performing researchers Director's order - The best article of the year
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	+/-	In the recruitment process of staff members, the IHG PAS applies regulations referred to in the Act on the Polish Academy of Sciences, Labour Code and internal regulations	Introduction of the OTM-R recruitment policy 2018 and new rules of appointing researchers for scientific positions based on strengthened

		The recruitment procedures are transparent and the announcements contain requirements which refer to the candidate's knowledge and qualifications. But improvements in relation to strengthened OTM-R procedure are needed.	OTM-R procedure.
13. Recruitment (Code)	+/-	The recruitment procedures in the IHG PAS conform to the requirements of the Act on the Polish Academy of Sciences, Labour Code and internal regulations. Information about the competitions may be found on the IHG PAS website, the Polish Academy of Sciences website, on the Ministry of Science and Higher Education website as well as on the Euraxess portal intended for publication of job advertisements of the researchers. However, no English version of the announcement is provided on the website of the Institute - it will be done from 1 January 2018. Additionally, the template of the announcement must be updated to fully conform with the C&C.	Introduction of the OTM-R recruitment policy 2018 and new rules of appointing researchers for scientific positions based on strengthened OTM-R procedure.
14. Selection (Code)	+/-	The members of the selection committees in the IHG PAS have applicable experience and qualifications. Job interviews with the candidates are commonly applied. But improvements in relation to strengthened OTM-R procedure are needed.	Introduction of the OTM-R recruitment policy 2018 and new rules of appointing researchers for scientific positions based on strengthened OTM-R procedure.
15. Transparency (Code)	+/-	The IHG PAS informs candidates about the recruitment process, selection criteria and the number of available positions. Moreover, if the candidate is employed for a definite period of time, the employment period is also specified. However, the candidates have not been informed about the strengths and weaknesses of their applications.	Introduction of the OTM-R recruitment policy 2018 and new rules of appointing researchers for scientific positions based on strengthened OTM-R procedure.
16. Judging merit (Code)	+	No gaps indicated During the recruitment process, these are academic achievements (adequate for the position), experience gained in Poland and abroad as well as organizational achievements and	Required actions: none.

		dissemination of research results that are taken into account. In special cases, if required by the offered job position, emphasis is placed on other competences.	
17. Variations in the chronological order of CVs (Code)	+	No gaps indicated Binding regulations take into account breaks in the employment related to being on leaves: maternity leave, paternity leave, parental leave, collection of sickness benefit or rehabilitation benefit. During the recruitment process the multidimensional career track of the Candidate is taken into account and the Candidate is given the opportunity to present the certificates, authorizations and other documents which certify further competence for the purposes of the evaluation.	Required actions: none.
18. Recognition of mobility experience (Code)	+	No gaps indicated The mobility of researchers is taken into account with regard to academic promotion. The criteria which the Candidates for the academic degree or title have to meet are determined in the Resolution of the Minister of Science and Higher Education on detailed procedure and conditions for conducting activities in the doctoral, habilitation proceedings and proceedings on awarding the title of professor. Experience acquired in other research centers both in Poland and abroad, work in the interdisciplinary research teams, scientific internships, study visits and any other forms of scientific activity are considered as the added value of the Candidate.	Required actions: none.
19. Recognition of qualifications (Code)	+	No gaps indicated The IHG PAS applies national regulations related to recognition of qualifications acquired abroad. In the event of recognition of other qualifications required for the purposes of being employed on the given position, the Competition Boards familiarize with the documentation submitted by the Candidate and verify the documents with the institution which issued thereof, if necessary.	Required actions: none.

20. Seniority (Code)	+	<p>No gaps indicated</p> <p>Basic qualifications required on the work position in the IHG PAS are determined in the Act on Polish Academy of Sciences and in the remuneration rules, while supplementary requirements are selected separately for the competition. In the recruitment process the Candidate's achievements and competence for the specific position are most of all taken into account.</p>	Required actions: none.
21. Postdoctoral appointments (Code)	+	<p>No gaps indicated</p> <p>The Act on the Polish Academy of Sciences contains regulations concerning the employment period for postdoctoral researchers. The academic development of the staff members and acquiring further academic degrees is an essential element of their research career.</p>	Required actions: none.
Working Conditions and Social Security			
22. Recognition of the profession	+	<p>No gaps indicated</p> <p>All researchers on each career level are recognized as professionals. The professionalism is understood as a reliable approach to fulfilling the specific role, objective evaluation of conditions which influence on the decisions made and caring for the level and validity of the competences.</p>	Required actions: none.
23. Research environment	+	<p>No gaps indicated</p> <p>The IHG PAS assures the environment which stimulates scientific development and research development. In the recent years all the Institute rooms have been modernized and equipped in air conditioning systems. Researchers have the space and infrastructure which is necessary for carrying out research. The Institute observes national and sectoral regulations concerning health and safety in research.</p>	Required actions: none.

24. <u>Working conditions (!)</u>	-	<p>The Institute ensures suitable working conditions pursuant to national regulations. It observes the labour code and occupational health and safety regulations. It provides suitable working conditions for disabled people. The Institute ensures the possibility of adjusting working time to individual needs, part-time working or flexible working hours. However, this point was assessed negatively by more than 50% of the research staff. At present the Institute's staff has to decide about working hours (8am and 4pm or 9am and 5pm), however more flexibility is needed. Another issue refers to the notion of tele-working and the possibility of working at home (so called home office).</p>	<p>Even the Institute ensures the possibility of adjusting working time to individual needs, the results of the questionnaire showed that this principle can implemented even in a better way, thus Director's order on flexible working hours and home office will respond to staff expectations. At the same time, some informal practices of the Institute will be formalized.</p>
25. Stability and permanence of employment	+	<p>No gaps indicated The Institute holds a stabile policy of employment in accordance with national regulations, e.g. Labour code and internal acts. The institute proceeds pursuant to the conditions referred to in the EU Directive on employment for a definite period of time, prevents from abuse resulting from making a numerous amount of fixed-term contracts and the staff members employed for a definite period of time are informed about vacant work positions.</p>	<p>Required actions: none.</p>
26. Funding and salaries	+	<p>No gaps indicated The Institute ensures remuneration in accordance with the national and sectoral regulations as well as internal regulations. The Institute ensures social insurance in accordance with the national regulations and collective agreements and also benefits package for all staff members on each stage of professional career. Social Committee is appointed in the Institute the role of which is to administer the social benefits fund based on the rules and regulations.</p>	<p>Required actions: none.</p>

27. Gender balance	+/-	<p>The Institute applies an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria.</p> <p>However, no gender balance at the managerial level.</p>	<p>The lack of gender balance at the managerial level reflects the gender structure of the Institute's academic staff and is closely related to human biology. The process of career development in Poland and achievement of consecutive degrees and titles take some time, so career breaks due to maternity mean that women need more time to accomplish the next step. In 2017 two of R2 women researchers got promotion and became R3.</p>
28. Career development	+	<p>No gaps indicated</p> <p>The given stages of the researcher professional career in the Institute are compatible with the national legal regulations related to the achievement of further academic degrees and titles. The Act on the Polish Academy of Sciences determines the principles for employment for the specific positions. The scope of responsibilities of academic staff members with higher academic degree (habilitated doctor, professor) covers the obligation for educating junior academic staff. The work in the research teams creates the opportunity of maintaining the master-apprentice relation on each stage of career regardless of the labour contract.</p>	<p>Required actions: none.</p>
29. Value of mobility	+	<p>No gaps indicated</p> <p>The Institute recognizes the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. The Institute supports the mobility of the staff members assuring administration instruments in order to realize trips pursuant to national legal acts. The Institute realizes trips to apprenticeship, scholarships, to carry out research in terms of grants, etc.</p>	<p>Required actions: none.</p>

30. <u>Access to career advice</u> (!)	-	The Institute ensures the possibility of professional development and improvement of qualifications to all its employees. However, the administration of the Institute is limited and there is no person to give advice on career development. This point was assessed negatively by more than 50% of the research staff.	The Institute plans to undertake various actions: - set up a collaboration with a career office at the university - invite such an advisor for a meeting dedicated to the Institute's academic staff - provide information (the role of Scientific Secretary).
31. Intellectual Property Rights	+	No gaps indicated The Institute scientific council has enacted the regulations on management of copyrights and related rights as well as industrial property rights with the principles of commercialization of research and developmental works results, in which, inter alia, the following was determined: rights and obligations of the Institute, staff members and doctoral students in terms of protection and use of copyrights and related rights as well as industrial property rights, principles for remuneration of creators, principles and procedures for commercialization and principles for using the Institute property for the purposes of commercialization of intellectual property.	Required actions: none.
32. Co-authorship	+	No gaps indicated Researchers from the Institute in accordance with the Code of Conduct of the Academic Staff Member and the Code of Ethics of the Polish Academy of Sciences inspire and develop the creativity of collaborators, contributing to their scientific achievements and supporting them with their knowledge and supervision. Moreover, the academic staff members observe the principles for determination of the publication co-authorship.	Required actions: none.

33. Teaching	+	<p>No gaps indicated</p> <p>The basic responsibility of the Institute staff is carrying out research and developmental works, announcement and publication of their results as well as participation in the realization of tasks undertaken by the Institute in terms of teaching. Some researchers teach at universities and on post-graduate studies but within the limited scope. The staff members with the higher academic degrees supervise doctoral students (seminars, doctoral students coordinators).</p>	Required actions: none.
34. Complains/ appeals	+/-	<p>The Institute researchers are disciplinary liable for glaring violation of responsibilities or impeachment of the academic staff member. The Institute Scientific Council appoints a disciplinary spokesman from among the academic staff members who conducts ex officio explanatory proceedings. Then, the spokesman submits an application for instituting disciplinary proceedings to the relevant disciplinary committee or issues a decision on the discontinuance of the explanatory proceedings. The disciplinary spokesman institutes the explanatory proceedings ex officio especially when the academic staff member is accused of committing an act involving: plagiarism or misleading with regard to the authorship of the whole or a part of someone else's work or violation of copyrights or related rights of third parties, falsification of research, dissemination of third party's work, acceptance of material benefits in connection with the function performed, etc. The Institute Director appoints a disciplinary committee which makes decisions in disciplinary proceedings of the academic staff members.</p> <p>The results of the questionnaire show that although the information is available for the Institute's staff, communication must be improved.</p>	Display of all information on the boards and in the intranet - ongoing.

35. Participation in decision-making bodies	-/+	<p>The Institute fully recognizes the right of the researchers to have their representatives in the council authorities in order to protect and represent the interests of the researchers. The main council authority of the Institute is the Scientific Council. Its role is to ensure ongoing supervision over the Institute's activity, determination of the Institute's profile, approval of reports, plans, statute, conducting doctoral dissertations, habilitations, proceedings for awarding an academic degree, assessment of academic staff members. In the Institute a Managing Council was appointed which is composed of the Director, Deputy Director, Chief Accountant, Managers of scientific and research departments. The Council is the Director's body of advice and opinion with regard to issues related to the management and research activity of the Institute, its administration and economic and financial issues. In the Institute trade unions are present which care about the common interests of all the PAS staff members. However, there researchers constituting decision-making bodies of the Institute and meeting the Director on a regular basis largely represent senior staff. There is a need to enlarge this body to include representatives of young researchers and PhD students.</p>	<p>The Director of the IHG PAS recognizes the need to hear the young academic staff. Thus, he has already established the Young Researchers Council. Another Director's order regarding the enlargement of the decision-making body will come into force in 2018.</p>
Training and Development			
36. Relation with supervisors	+/-	<p>The Institute ensures supervision to its doctoral students on the first stage of their studies by supervisors and co-supervisors. Their role is to support doctoral students in the development of their research career in a complete and reliable manner. To do it, a program and plan of works necessary for the achievement of the assumed research goal and educational results specified for the doctoral studies in the national regulations are prepared. In the course of the education process, the progress of works is monitored by the supervisor, inter alia, formally based on yearly reports</p>	<p>Mentoring for young researchers has been already established as team leaders and heads of the Departments meet their scientific staff on a regular basis. However, this action still needs strengthening and individual approach.</p>

		submitted by the doctoral student and also by the ongoing contact of the supervisor with the young researcher. The supervisor and the scientific team ensure essential support for the person realizing the doctoral project. But, as the results of the survey show, in some cases, relations with supervisors are not satisfactory to young researchers.	
37. Supervision and managerial duties	+/-	The Institute staff apart from their research activity realize their obligations related to the management of scientific and research departments in the Institute, projects management, education of junior academic staff members, supervision of the education process, performing functions in various boards in the Institute and also beyond its structures, in the research environment in Poland and abroad. They are active members of committees and scientific societies, ministerial advisory boards representing the Institute and developing closer relations on the scientific, business and social level what contributes to extension of their expert's knowledge and experience in management what leads to their more efficient actions and knowledge transfer in the Institute. The activity of the researchers in terms of management and supervision over the junior academic staff members is verified on a regular basis in terms of the periodical staff member evaluation. But, as the survey shows, in some teams and departments supervision and human resources management could be improved.	Soft skills trainings for team leaders and heads of the Departments.
38. Continuing Professional Development	+/-	The Institute encourages employees and doctoral students to continuous professional development and supports their aspirations to improve professional qualifications by means of participation in the conferences, trainings and other forms of education. The Institute is rather small and does not have its own PhD Programme. This situation to some extent limits the continuation of professional development.	Establishment of International PhD Programme.

39. Access to research training and continuous development	+/-	The Institute ensures further professional development to its academic staff members. The researchers individually apply for participation in the scientific conferences and professional courses in their field of interest, applicably to the stage of their professional career. But the number of activities for all research staff allowing continuous development is not satisfactory.	Organisation of more lectures, seminars and workshops at the Institute.
40. Supervision	+/-	As far as the people employed on the first stages of their professional career are concerned, the manager of the Scientific and research department is the supervisor. There is a supervisor for PhD students, but there is no-one to take care and supervise "fresh" R2 researchers.	Appointment of supervisor for R2 group.
Any additional issues - non applicable			

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list¹					
OTM-R checklist for organisations					
	Open	Trans- parent	Merit- based	Answer: ++ <i>Yes, completely</i> +/- <i>Yes, substantially</i> -/+ <i>Yes, partially</i> -- <i>No</i>	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	<i>No</i>	See link to the HRS4R and the OTM-R policy on the Institute's website http://igcz.poznan.pl/en/hsr4r/
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	<i>Yes, substantially</i>	See link to the new regulations of appointing researchers for scientific positions based on strengthened OTM-R procedure http://igcz.poznan.pl/en/hsr4r/
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	<i>Yes, partially</i>	Mandatory training in OTM-R Number of staff following training in OTM-R.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		<i>Yes, completely</i>	All the stages in the recruitment process are conducted on-line (including Skype interview)
5. Do we have a quality control system for OTM-R in place?	x	x	x	<i>No</i>	The HR working group will meet on a regular basis to monitor the OTM-R procedure. Checklist will be prepared to enable an easy and effective assessment.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	<i>Yes, substantially</i>	Number of foreigners applying. At present applications in Polish (www of the Institute, Polish Academy of Sciences and the Ministry of Science and Higher Education) and English (Euraxess). English version also to be published on the Institute's website starting 1.01.2018.

¹ <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	No	Number of foreigners applying. The OTM-R policy to be introduced.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	Yes, completely	Number of applicants among underrepresented groups.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	Yes, completely	Number of applicants from outside the organisation.
10. Do we have means to monitor whether the most suitable researchers apply?				No	No such means available.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		Yes, completely	Number of advertisements. Introduction of a new template.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [<i>see Chapter 4.4.1 a) of the OTM-R expert report</i> ²]	x	x		Yes, partially	Yes: organisation and recruiting unit, job title, job starting date, required competencies, number of available positions, working conditions, workplace, entitlements, type of contract; application procedure and deadline; contact details. No: selection criteria, professional development opportunities; career development prospects; a reference to the institution's OTM-R policy.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		Yes, completely	Trend in the share of applicants recruited from outside the organisation/abroad.
14. Do we make use of other job advertising tools?	x	x		Yes, completely	Websites that are mandatory according to Polish legislation, funding bodies (if possible), social media.
15. Do we keep the administrative burden to a minimum for the candidate? [<i>see Chapter 4.4.1 b)</i> ⁴⁵]	x			Yes, completely	See OTM-R policy http://igcz.poznan.pl/en/hsr4r/

² <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>

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	<i>Yes, completely</i>	See OTM-R policy [http://igcz.poznan.pl/en/hsr4r/] and statistics on the composition of panels
17. Do we have clear rules concerning the composition of selection committees?		x	x	<i>Yes, completely</i>	See OTM-R policy and new regulations for appointing researchers http://igcz.poznan.pl/en/hsr4r/
18. Are the committees sufficiently gender-balanced?		x	x	<i>Yes, completely</i>	See OTM-R policy and new regulations for appointing researchers http://igcz.poznan.pl/en/hsr4r/
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>Yes, partially</i>	See OTM-R policy and new regulations for appointing researchers http://igcz.poznan.pl/en/hsr4r/
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		<i>Yes, completely</i>	See OTM-R policy and new regulations for appointing researchers http://igcz.poznan.pl/en/hsr4r/
21. Do we provide adequate feedback to interviewees?		x		<i>Yes, partially</i>	See OTM-R policy and new regulations for appointing researchers http://igcz.poznan.pl/en/hsr4r/
22. Do we have an appropriate complaints mechanism in place?		x		<i>Yes, completely</i>	See OTM-R policy [http://igcz.poznan.pl/en/hsr4r/] and statistics on complaints
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				<i>Yes, completely</i>	The HR working group will use a checklist to assess the system at the Institute.

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review: INSTITUTE OF HUMAN GENETICS, POLISH ACADEMY OF SCIENCES (IHG PAS)
Organisation's contact details: 32 STRZESZYNSKA street PL-60-479 POZNAN http://igcz.poznan.pl/en/ e-mail: sekretariat@igcz.poznan.pl
Web link to published version of organisation's HR Strategy and Action Plan:

SUBMISSION DATE: DECEMBER 28, 2017

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	72
<i>Of whom are international (i.e. foreign nationality)</i>	0
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	7
<i>Of whom are women</i>	55
<i>Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	20
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	22
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	6
<i>Total number of students (if relevant)</i>	13
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	95
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	5971327
<i>Annual organisational direct government funding (designated for research)</i>	1895290
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	4011578
<i>Annual funding from private, non-government sources, designated for research</i>	0

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

IHG PAS was founded in 1974, and until 2003 operated under the name of the Department of Human Genetics, PAS.

IHG PAS has the right to confer doctoral degrees in medical sciences (since 2002) and habilitations in medical sciences (since 2010), discipline of medical biology.

The research is focused on the works aiming at elucidating human genome functions and explaining the molecular basis of genetically determined diseases. The objectives are realized through research carried out in a few thematic groups covering research on basic functions of genes, proteins, cells in health and disease as well as epidemiological and evolution research.

2. NARRATIVE (MAX. 2 PAGES)

The Internal gap analysis has been carried out by the HR working group in terms of the four fields:

- I. Ethical and professional aspects
- II. Recruitment and selection (OTM-R)
- III. Working conditions and social security
- IV. Training and development.

The main goal of performing this analysis was to check present regulations and practice at the Institute of Human Genetics, Polish Academy of Sciences (hereinafter referred to as IHG PAS) against the C&C criteria.

The analysis was done in two stages:

- 1) analysis by Polish legal acts and Institute's internal regulations in relation to C&C performed by the HR working group,
- 2) survey comprising 40 questions reflecting 40 C&C principles completed by more than 80% of the Institute's academic staff.

The investigation of functioning of C&C principles at IHG PAS has raised awareness of its scientific staff and PhD students about their rights and privileges and encouraged them to articulate both the most and the less important issues and concerns related to their place of work. The HR Working Group assessed the outcome of the internal gap analysis as quite constructive for introducing future changes and new strategies.

It turned out that 23 principles of C&C are fully implemented at the IHG PAS, especially in relation to I. Ethical and professional aspects as well as III. Working conditions and social security. Under heading II Recruitment and selection (OTM-R) *New rules of appointing researchers for scientific positions based on strengthened OTM-R procedure* will be introduced in 2018 and *Open Recruitment Policy 2018* that is in line with new regulations has just been approved. The biggest weakness of the Institute is IV. Training and development but the Institute will do its best to improve the situation.

Based on the Gap Analysis, we identified a number of strengths and weaknesses of the current policy and practice at the IHG PAS as presented below:

Strengths:

I. Ethical and professional aspects

- Research freedom
- Ethical principles
- Professional responsibility
- Professional attitude
- Contractual and legal obligations
- Accountability
- Public engagement

II. Recruitment and selection (OTM-R)

Judging merit (Code)

Variations in the chronological order of CVs (Code)

Recognition of mobility experience (Code)

Recognition of qualifications (Code)

Seniority (Code)

Postdoctoral appointments (Code)

III. Working Conditions and Social Security

Recognition of the profession

Research environment

Stability and permanence of employment

Funding and salaries

Gender balance

Career development

Value of mobility

Intellectual Property Rights

Co-authorship

Teaching

The HR working group decided that in case of the C&C principles with >20% negative answers, some actions are needed. Additionally, in relation to the principles with single critical comments, wherever possible, actions have been planned. All of them (21) will be described in details in the action plan, later on in this document. The actions proposed by the HR Working Group were met with generally positive reception by all the academic staff (R1-R4).

Regardless the actions introduced and proposed in the C&C Action Plan, IHG PAS will also put into practice improvements to enhance internal communication, which was identified by the HR Working Group as a weak point, responsible for the best part of the neutral and negative answers to the questionnaire.

It must be highlighted here that the HR working group took into consideration all comments to the survey and thus, decided that in relation to 17 C&C principles listed below (answers: partially implemented or definitely not implemented) improvements of existing policies and practices should be adopted.

Weaknesses:

I. Ethical and professional aspects

- Good practice in research
- Dissemination, exploitation of results
- Non-discrimination
- Evaluation/appraisal systems

II. Recruitment and selection (OTM-R)

- Recruitment (Charter)
- Recruitment (Code)
- Selection
- Transparency

II. Recruitment and selection (OTM-R)

- Working conditions
- Access to career advice
- Complains/appeals
- Participation in decision-making bodies

IV. Training and development

- Relations with supervisors
- Supervision and managerial duties
- Continuing professional development
- Access to research training and continuous development
- Supervision

3. ACTIONS

The Action Plan for implementation of the principles of the European Charter and Code is a document stemming from the internal analysis and results of the online survey. It contains Key activities defined that are divided into sections from C&C, namely: ethical and professional aspects, recruitment/ employment, working conditions and social security, and training. Executors and implementation deadlines are defined for each activity

<i>No</i>	<i>Title action</i>	<i>Timing</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target(s)</i>
1	<i>Employment of the personal data inspector</i>	<i>June 2018</i>	<i>Director</i>	<i>Outsourcing contract</i>
2	<i>Training on the protection and confidentiality of data</i>	<i>December 2018</i>	<i>Personal data inspector</i>	<i>Number of researchers trained</i>
3	<i>Introduction of data confidentiality policy</i>	<i>June 2019</i>	<i>Director</i>	<i>Number of researchers acquainted with the document</i>
4	<i>Employment of the Scientific secretary</i>	<i>March 2018</i>	<i>Director</i>	<i>Employment contract</i>
5	<i>Translation of the most important documents of the Institute into English</i>	<i>December 2019</i>	<i>Administrative Dept.</i>	<i>Number of translated documents</i>
6	<i>Director's order - Introduction of a new bonus system promoting the best-performing researchers</i>	<i>December 2018</i>	<i>Director</i>	<i>Number of researchers awarded</i>
7	<i>Director's order - The best article of the year</i>	<i>March 2019</i>	<i>Director</i>	<i>Number of researchers awarded</i>
8	<i>Director's order - flexible working hours</i>	<i>December 2018</i>	<i>Director</i>	<i>Target - all academic staff</i>
9	<i>Director's order - home office</i>	<i>June 2018</i>	<i>Director</i>	<i>Number of researchers requested home office</i>
10	<i>Support of career advice</i>	<i>ongoing</i>	<i>Administrative Dept.</i>	<i>Target - all academic staff</i>

11	<i>Display of all information on the boards and in the intranet</i>	<i>ongoing</i>	<i>Administrative Dept.</i>	<i>Target - all Institute's staff</i>
12	<i>Director's order - establishment of Young Researchers Council</i>	<i>ongoing</i>	<i>Director</i>	<i>Appointment of the Young Researchers' Council (YRC)</i>
13	<i>Director's order - enlargement of the decision-making body</i>	<i>June 2018</i>	<i>Director</i>	<i>Enlargement of the decision making body - the head or vice head of the YRC and a representative of PhD students</i>
14	<i>Mentoring for young researchers</i>	<i>ongoing</i>	<i>R3-R4 staff</i>	<i>Number of mentoring meetings per year confirmed by mentors</i>
15	<i>Soft skills trainings for team leaders and heads of the Departments</i>	<i>December 2018</i>	<i>Administrative Dept.</i>	<i>Number of trainings Number of staff trained</i>
16	<i>Establishment of International PhD Programme</i>	<i>October 2020</i>	<i>Director</i>	<i>Number of PhD candidates accepted</i>
17	<i>Organisation of lectures, seminars and workshops at the Institute</i>	<i>ongoing</i>	<i>Heads of Departments</i>	<i>Number of activities organised</i>
18	<i>Appointment of supervisor for R2 group</i>	<i>ongoing</i>	<i>Director</i>	<i>Director's decision</i>
19*	<i>Publish English version of the job vacancy on the website of the Institute</i>	<i>June 2018</i>	<i>Administrative Dept.</i>	<i>Number of announcements</i>
20*	<i>Introduction of new rules of appointing researchers for scientific positions based on strengthened OTM-R procedure</i>	<i>March 2018</i>	<i>HR Dept. Director</i>	<i>Document published</i>
21*	<i>Open Recruitment Policy 2018</i>	<i>ongoing</i>	<i>HR Dept. Director</i>	<i>Document published</i>

* Actions 19, 20 and 21 presented in the action plan refer to the OTM recruitment process.

I. Ethical and professional aspects

1. Employment of the personal data inspector (principle: Good practice in research) - this action is linked to the new legal regulations that will come into force in Poland mid-2018. This person will be responsible, inter alia, for training the Institute's staff and preparation of data confidentiality policy.

2. Training on the protection and confidentiality of data (principle: Good practice in research) - this action reflects the need of the Institute's staff to be trained in terms of data protection and results from the research conducted at the Institute. Personal data inspector will play the role of the trainer and advisor in all the matters related to patients' data protection and confidentiality.

3. Introduction of data confidentiality policy (principle: Good practice in research) - this action reflects the Institute's staff need as well as Polish legal regulations about to come into force in 2018. It will be a follow-up of the abovementioned actions to fully implement the issue of data protection and confidentiality.

4. Employment of the Scientific secretary (principle: Dissemination, exploitation of results) - the Directors recognise the need of strengthening the administration of the Institute to provide the academic staff as much support as possible. One of such persons would be a Scientific secretary whose role, inter alia, will be dissemination of research results as well as promotion of the Institute and outreach activities.

5. Translation of the most important documents of the Institute into English (principle: Non-discrimination) - the Institute's long strategy goal is to attract international researchers to the Institute. The first step to implement this strategy is to translate the most important documents into English. It will be a continuous actions and finally all the communication at the Institute will be bilingual.

6. Introduction of a new bonus system promoting the best-performing researchers (principle: Evaluation/appraisal systems) - according to the Ministry of Science and Higher Education whilst assessing research performance the key element is the number of publications per researcher. Thus, to enhance research performance of the Institute and to encourage scientists to intensify their efforts, the Director will introduce a new bonus system.

7. The best article of the year (principle: Evaluation/appraisal systems) - this action results from the abovementioned action. The goal is to promote and distinguish the best publishing scientist.

III. Working conditions and social security

8. Flexible working hours (principle: Working conditions) - this action reflects a principle with more than 50% negative answers. Some flexibility has been already introduced to the Institute, but as the results of the survey show, it should be fully implemented to be in line with national regulations as well as C&C. Introduction of this Director's order requires prior agreement with the unions.

9. Home office (principle: Working conditions) - this action reflects a principle with more than 50% negative answers. In some teams of the Institute it was a regular practice, however it needs formal documents issued by the Director. The Director's order will establish clear rules regulating number of home office days a year as well as required documents to be provided before (application) and after (report) home office work.

10. Support of career advice (principle: Access to career advice) - this action reflects a principle with more than 50% negative answers. There is no person at the Institute who can provide career advice, but there are such advisors and Advisory Offices at the universities in Poznan. The first step to be undertaken, will be to invite such a person to give a presentation for the Institute's academic staff. If possible, longer cooperation with such Advisory Offices is foreseen.

11. Display of all information on the boards and in the intranet (principle: Complaints/ appeals) - internal communication was identified as a weak point, thus information on the composition of all Institute's committees will be spread among the staff via traditional and electronic means to improve the communication flow.

12. Establishment of Young Researchers Council (principle: Participation in decision-making bodies) - the status of the Institute assures participation of senior researchers (R3-R4) in the Scientific Council that plays an advisory role to the Board of Directors. As young researchers are underrepresented, the Director has already established the Young Researchers Council that will meet the Directors on a regular basis to discuss the ideas and problems of non-independent researchers.

13. Enlargement of the decision-making body (principle: Participation in decision-making bodies) - so far the composition of the decision-making body meeting the Director was limited to senior researchers only. However, to allow non-independent researchers to present their voice, the head/ vice-head of Young Researchers Council and a representative of PhD students will also be included in the decision-making body.

IV. Training and development

14. Mentoring for young researchers (principle: Relation with supervisors) - as the survey showed, young researchers (R1-R2) that are not independent feel the need to have regular meetings with mentors that will guide them. Such regular meetings already take place with young researchers supervisors established by the Director. To strengthen this area, regular meetings of the teams will be held, so that each young researcher will have opportunity to talk with the supervisor.

15. Soft skills trainings for team leaders and heads of the Departments (principle: Supervision and managerial duties) - trainings related to human resources management will be introduced for the managers of teams and departments in order to improve their skills in this area. This will allow them to better and more effectively manage their teams.

16. Establishment of International PhD Programme (principle: Continuing professional development) - the Institute is rather small and belongs to the Polish Academy of Sciences, thus no academic teaching per se is in place. The Institute's long term strategy includes internationalisation and attracting foreign-born researchers of all levels. The establishment of International PhD Programme will bring new quality to the Institute and provide opportunity for continuous professional development.

17. Organisation of lectures, seminars and workshops at the Institute (principle: Access to research training and continuous development) - the IHG PAS already organises various research activities for its academic staff, however to meet the staff's demands presented in the survey, the Heads of Departments, after consultations with the researchers, will propose lectures, seminars and workshops that could be useful and beneficial for the scientific community of the Institute.

18. Appointment of supervisor for R2 group (principle: Supervision) - the outcome of the survey showed that even though there is a supervisor for young researchers (R1) at the Institute, the group of "fresh" doctors, just after their PhD defense needs a supervisor who will take care of them.

II. Recruitment and selection (OTM-R)

The Institute's recruitment system is generally open and transparent, and it is strongly framed by national legislation. However, the system is still too much inward-looking and supports inbreeding.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

- 19. Publish English version of the job vacancy on the website of the Institute*
- 20. Introduction of new rules of appointing researchers for scientific positions based on strengthened OTM-R procedure*
- 21. Open Recruitment Policy 2018*

The analysis of the OTM-R checklist performed by the HR working group and the answers to the questionnaire related to RECRUITMENT led us to the conclusion that solid grounds are needed to implement the OTM-R procedure. The following documents: Open Recruitment Policy and new rules of appointing researchers for scientific positions will constitute the HRS4R strategy of the Institute.

The Open Recruitment Policy describes in general Institute's guidelines regarding recruitment of researchers. This document presents an updated policy of the Institute and does not require any approval by the Institute's Scientific Council or Polish Academy of Sciences.

New rules of appointing researchers for scientific positions based on strengthened OTM-R procedure (including regulations on selecting committees, criteria of assessment, a complaint mechanism, updated bilingual employment advertisement template, procedure of giving feedback about the strengths and weaknesses of the applications to the candidates that were not appointed).

This document will describe in details all the issues and gaps reflecting the OTM-R checklist as well as the questionnaire. It must be approved by the Scientific Council of the Institute - a body consisting of senior researchers of the Institute as well as from other Institutes of the Polish Academy of Sciences. These new rules of appointing researchers together with the Open Recruitment Policy will allow to fully implement the principles of Open, Transparent and Merit-Based Recruitment.

Detailed scrutiny of European standards (especially in terms of OTM recruitment), analysis of our practices compared with practices approved by the European Union, adoption of actions planned for 2018 - 2020 as well as the identification and elimination of shortcomings will allow IHG PAS to upgrade the quality of its recruitment practices and employment conditions.

All the regulations and documents related to HRS4R strategy and the HR Excellence in Research application are available at the following links:

<http://igcz.poznan.pl/en/hsr4r/> - English version

<http://igcz.poznan.pl/logo-hr/> - Polish version

4. IMPLEMENTATION (MAX. 1 PAGE)

- *Is there evidence of any alignment of the HRS4R with organisational policies?*

The provisions of the Charter and the Code have already been mostly implemented at the IHG PAS, as shown by the internal gap analysis and the results of the survey. Defined Action Plan is a key input in the finalization of the human resources strategy for research (HRS4R) that will not be developed as a separate document but as an integral part of the overall Development strategy of the Institute.

- *Do you have an implementation committee and/or steering group regularly overseeing progress?*

In July 2017 the Director of the Institute established a Steering Committee as a decision making body and an HR Working Group as an implementation body with representatives of R1-R4 researchers and administration involved in the process of preparation the Gap Analysis. The HR Working Group will regularly oversee progress related to the implementation of the Action Plan.

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

Representatives (the same as it was already done during the preparation of Gap Analysis) of the research community will be involved in the implementation process via HR Working Group. Additionally, each researcher will have an opportunity to contribute to the discussion while filling in the questionnaire.

- *How will your organisation ensure that the proposed actions will also be implemented?*

As the adoption of C&C provision means a continuous process of improvement, the HR Working Group will meet on a regular basis and monitor the implementation of the actions planned. Twice a year, the HR Working Group will meet the Steering Committee to discuss the progress achieved. Proposed actions will be implemented via HR Working Group and supported by the Steering Committee.

- *How will you monitor progress?*

The HR Working Group will be in charge of monitoring of the progress. This group will be also responsible for the self-assessment procedure every year to control whether all corrective measures have been introduced. Every 2 years a questionnaire will be sent to all research staff for internal review to obtain feedback from all stakeholders and on this basis update and correct actions planned.

After 2 years, internal analysis based on the actions implemented and results of the survey will be performed and a report complemented with a revised action plan will be sent to the EC.

- *How do you expect to prepare the internal and external review?*

All relevant committees (HR Working Group and Steering Committee) will be involved in the process of discussing the progress and preparing the review. The head of the Working Group will be in charge to prepare the final version of internal and external review.