



**Human Resources Strategy
for Researchers incorporating
the European Charter for Researchers
and the Code of Conduct
for the Recruitment of Researchers**

INTERNAL GAP ANALYSIS AND ACTION PLAN



Sopot, 13.05.2016



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1. INTRODUCTION

1.1. The Institute at a glance



13.09.2013. The 60th anniversary of the Institute of Oceanology, Polish Academy of Sciences in Sopot

(photo: Stanisław Węśławski)

The Institute of Oceanology, Polish Academy of Sciences (IO PAN) was founded in 1983 as a successor to the Marine Station in Sopot (established in 1953). Its mission is to carry out innovative, high-quality research to increase knowledge of the processes and phenomena which occur in the marine environment. Research results are applied to support the sustainable use of marine resources and the conservation of the marine environment. The four strategic directions of the IO PAN's statutory activities are:

- The role of oceans in shaping climate and the effects of climate change on European seas
- Natural and anthropogenic variability in the Baltic Sea environment
- Contemporary changes in shelf sea ecosystem
- Genetic and physiological mechanisms governing the functioning of marine organisms; fundamentals of marine biotechnology

For over 30 years the IO PAN has been consistently expanding its expertise in interdisciplinary studies of the Baltic Sea and other European shelf seas, with a special focus on Arctic regions. The Institute has developed rapidly in the past decade, mainly as a result of increased international collaboration and new opportunities that emerged after Poland joined the European Union. The Institute is known as one of the leading centres of research of water circulation, biogeochemistry, ecosystem biodiversity and health, marine bio-optics and remote sensing in both research areas.



The Institute receives funding from the Ministry of Science and Higher Education (as part of a framework of statutory research), the National Science Centre (NCN) and the National Centre for Research and Development (NCBiR) (projects initiated within the framework of the programmes launched by these organizations). Apart from carrying out national research projects and statutory activities the IO PAN takes part in numerous projects co-financed by the European Union. The Institute of Oceanology has been an important and active partner in significant projects related to the research of the marine environment funded by the 5th, 6th and 7th Framework Programmes of the EU. These activities were reflected in three nominations for the Crystal Brussels awards – in 2002, 2006 and 2010, in the category for the best Polish Academy of Sciences unit involved in the 5th and 6th FP for Technological Research and Development as well as the best research units involved in the EU Framework Programmes between 1999 and 2009 (in 2010). Currently, the IO PAN is actively involved (as a partner or a lead partner) in international scientific cooperation activities performed under various programmes, such as BONUS 185,BSR, the Norwegian Financial Mechanism, the Horizon 2020, bilateral contracts with institutions in the United States of America and Canada. Altogether, about 70 projects (national and international) are currently active at the IO PAN. In May 2014, the IO PAN signed the „Pact for Horizon 2020” following the initiative of the Ministry of Science and Higher Education aiming to encourage the scientific community to work together to participate in HORIZON 2020 and coordinate information and promotion activities.

Following the decision of the Ministry of Science and Higher Education, in the years 2014-2018 the Institute of Oceanology holds the status of the Leading National Research Centre within the Centre for Polar Studies (CSP KNOW) in the field of Earth Sciences. The Units forming the CSP KNOW are: The Faculty of Earth Sciences, University of Silesia (leader); the Institute of Geophysics, Polish Academy of Sciences and the Institute of Oceanology, Polish Academy of Sciences. The main objectives of CSP are to conduct environmental doctoral studies in the field of interdisciplinary polar research (ISP KNOW), to support the mobility of researchers, to support and coordinate polar research with emphasis on the participation of young scientists and PhD students.

Apart from being a research institution the Institute runs several postgraduate courses and takes part in numerous initiatives focused on dissemination of knowledge to the society. In addition to participating in ISP KNOW the Institute also offers its own PhD study course designed to educate highly qualified young scientists in the field of oceanology. The four-year course provides experimental and theoretical training in all the fields of marine sciences. The usual science outreach events include: scientific exhibitions, lectures, participation in educational programmes, the organization of the Sopot Science Day etc. For its contribution to educational outreach and scientific achievements, the IO PAN was selected the winner of the “2008 Best Science promoter” contest, organized by the Polish Press Agency and the Ministry of Science and Higher Education. The IO PAN publishes two journals: The English-language, peer-reviewed quarterly journal “Oceanologia” (published by the IO PAN since 1971) and the annual “Dissertation and monographs” (in Polish or English). “Oceanologia” is a leading Polish journal in the field of basic marine research, open to contributions from all over the world and with a worldwide distribution (5-year Impact Factor “IF” = 1,346).



The IO PAN has the right to confer doctoral degrees (since 1993) and associate professor degrees (in Polish - *habilitacja*) (since 2000) in the field of Earth Sciences (Oceanology).

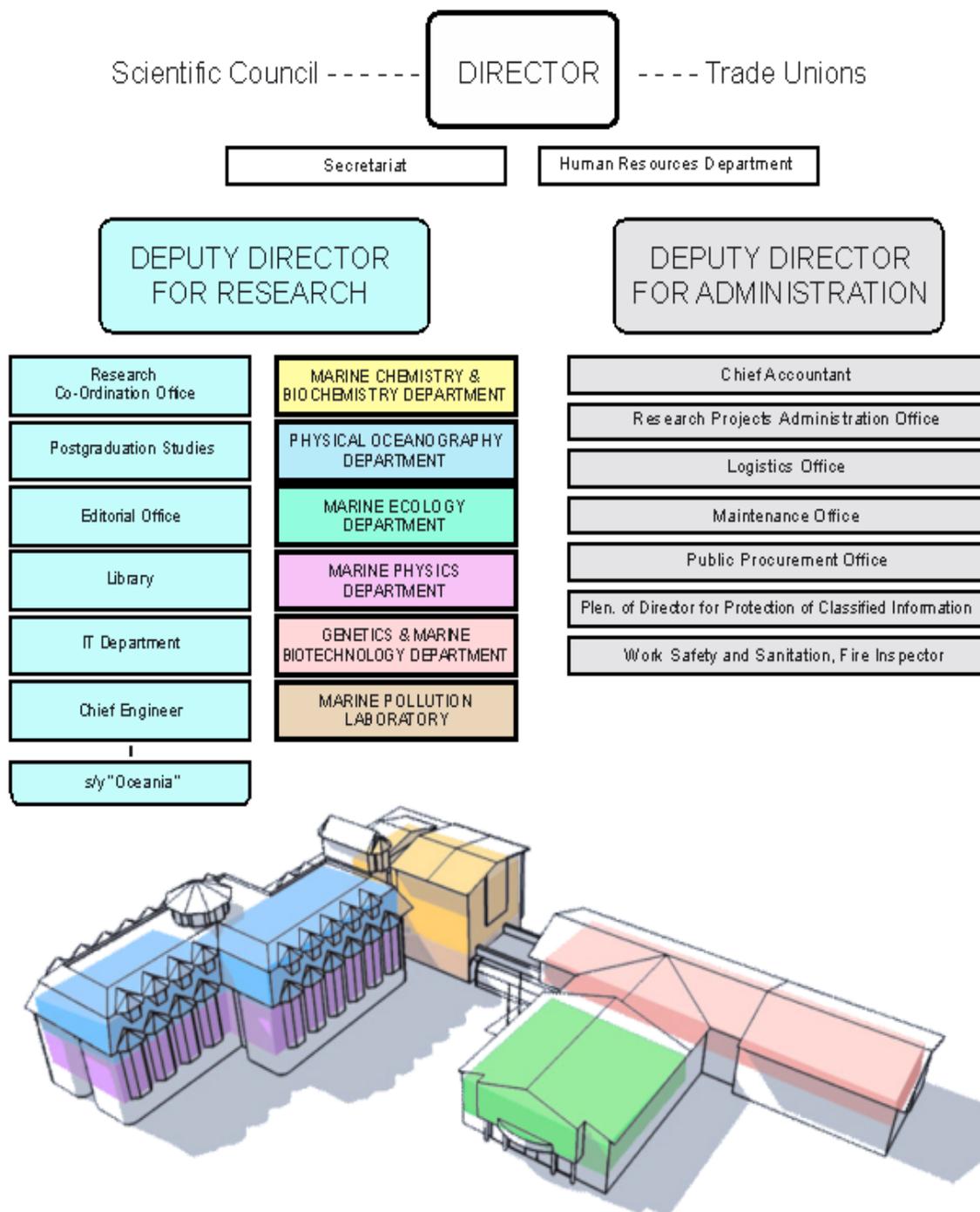
The IO PAN manages a large oceanographic database, which includes parameters of marine ecology, the Atlas of the Arctic, extensive numerical models and physical oceanographic data gathered by the Institute's researchers over many years of scientific expeditions and research programs. ZSPDO – An integrated System of Oceanographic Data Processing (2008-2012) – the project with a budget of about 21 million PLN, implemented under the Innovative Economy Operational Programme 2007 – 2013, allowed to establish a modern IT infrastructure for scientific data and to develop advanced application and tele-information services for the scientific community.

The IO PAN has long cooperated with many Polish and foreign scientific institutions. In recent years there has been a dynamic growth in the IO PAN's involvement in partnerships with several networks and consortia. The Institute participates in consortia focused on enhancing marine-oriented research capabilities, both national (e.g. GeoPlanet - Center of Earth and Planet Studies, MORCEKO – Marine Eco-Energy and Eco-System Centre, PolMar – consortium of Polish marine research institutes) and international (European Marine Board – a pan-European network of 35 national organizations involved in marine research, Baltic Earth, EUROMARINE, EUROOCEAN, EUROGOOS) etc.

1.2. IO PAN Organization Structure and Research Staff

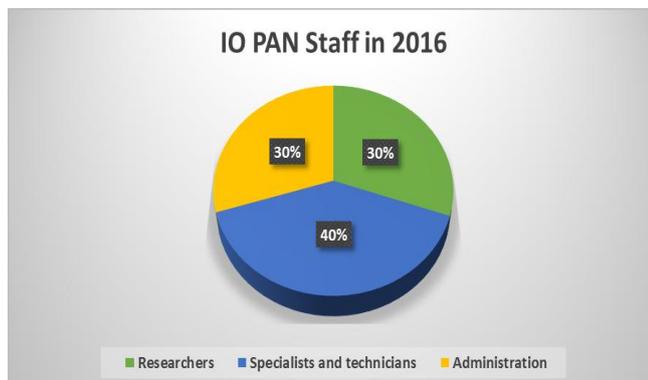
As of 31.12.2015 the Institute has a staff of 188 people, among which there are 12 full professors, 19 associate professors, 15 adjuncts and 11 research assistants (57 researchers in total). Other persons engaged directly in research are specialists and technicians. Research is conducted in laboratories which are grouped into 6 departments. Research activities are supported by the Research Coordination Office, the Chief Engineer and the IT Department, while the Administrative Division includes Accounting, Research Projects Support and Logistics. The detailed Organization is presented in the graph below.

Scheme of organisation of the Institute of Oceanology PAN, Sopot 2016

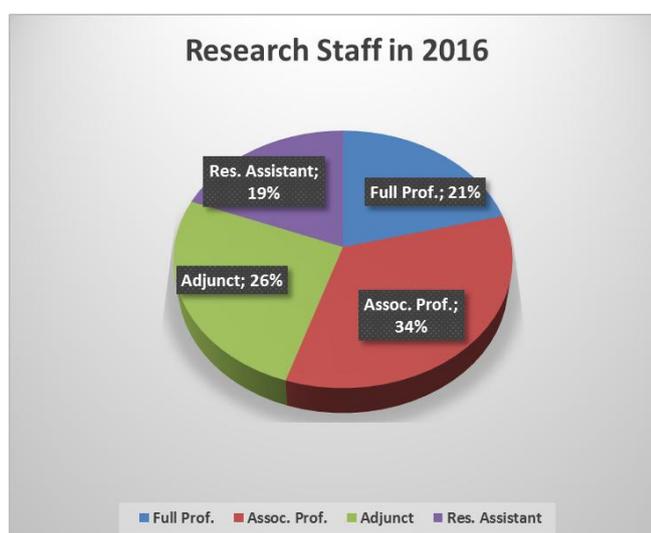


1. Organizational scheme of the IO PAN, Sopot 2016

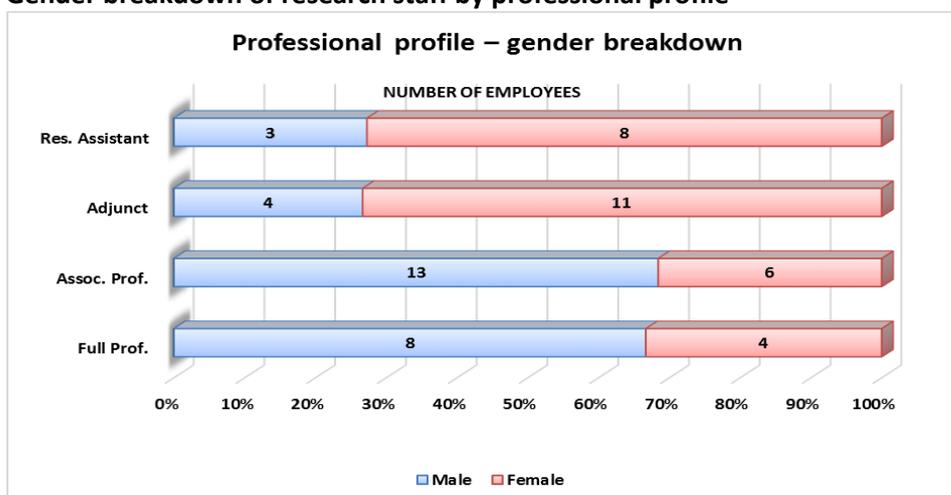
2. IO PAN Staff Profile in 2016:



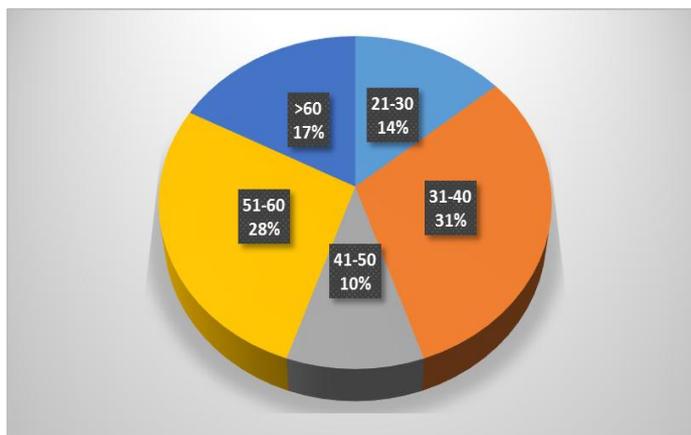
3. Breakdown of research staff by professional profile



4. Gender breakdown of research staff by professional profile



5. Age of research staff:



1.3. Infrastructure

The Institute's infrastructure consists of a modern complex of buildings with a total floor area of 5 300 m². Our facilities include a large conference room with media support (capacity – ca. 150 people), well-equipped laboratories (clean-rooms, culturing-rooms, isotope room). Additional space is reserved for meetings, socialising, and server and network amenities. An important facility of the IO PAN's infrastructure is the mechanical workshop, which over the years has produced many custom-made and highly valuable tools and instruments for researchers at the IO PAN. The library collection possesses more than 6500 books and nearly 10000 volumes of journals and conference proceedings, access to the Web of Knowledge, ASFA and the National Library databases.

The Institute is the owner and operator of the research vessel *s/y Oceania*, built in 1985 and fully renovated in 2010. The *Oceania* can accommodate 14 professional and 14 scientific crew members. The vessel has an unlimited sailing range (except the Arctic in winter) and spends around 250 days at sea annually. The *Oceania* is equipped with modern laboratories and state-of-the-art apparatus. The results of the work carried out on the *Oceania* include numerous scientific discoveries, many successful doctoral and habilitation dissertations and over a thousand research articles.

Detailed and updated information about the IO PAN and its current activities is available at: www.iopan.gda.pl



(photo: Anna Maciejewska)

2. METHODOLOGY

In January 2016 the Director of the IO PAN submitted a letter to the European Commission endorsing the principles of *the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers*. A special working group was established by the IO PAN Director. The group consisted of key scientific and administrative position representatives and their corresponding HR responsibilities:

- Assoc. Prof. Ksenia Pazdro – Coordinator; Deputy Director for Research (Management, Senior Researcher)
- M.Sc. Eng. Kazimierz Groza - Chief Engineer (Management)
- Assoc. Prof. Tymon Zieliński - Head of the Postgraduate Studies Program (Senior Researcher)
- M.Sc. Regina Terlecka - Head of the Research Coordination Office
- Dr Joanna Potrykus - Research Coordination Office
- Aleksandra Szymczyk - Human Resources Department (Administrative Division)
- M. Sc. Małgorzata Maśnicka - Public Procurement Office (Administrative Division)

An internal gap analysis was performed through the following activities: discussions within the Working Group, desk research and questionnaire survey. Based on the results of these activities the internal gap analysis and an Action Plan have been prepared. The HR Strategy documents were presented to the IO PAN Director for his final acceptance. The application was submitted for review to the European Commission on 15th February 2016. The evaluation of the application made by 3 assessors was returned on 21st March 2016. The application was subjected to a major revision. The Assessors, who evaluated our application provided several recommendations to improve the preparation of the IO PAN HR strategy, especially the process of identification of internal gaps and preparation of effective action plan. The IO PAN has implemented the assessors recommendations through a range of actions taken into account in the preparation of the application to be submitted in the next call (deadline 15th May 2016). The main actions undertaken include:

- Extension of the HR Working Group by including representatives of all researcher groups,
- Extension of the range of activities performed to identify internal gaps by performing more effective consultations within individual groups of researchers (PhD students/assistants and adjuncts/associate professors/professors,
- Development of more precise Action Plan

The improvements are included in the text presented below.

In order to identify internal gaps and to prepare an action plan the following activities were performed:

The main activities
WORKING GROUP
DESK RESEARCH
QUESTIONNAIRE SURVEY
CONSULTATIONS and DISCUSSIONS WITHIN RESEARCHERS GROUPS (including doctoral candidates)
FINAL INTERNAL GAP ANALYSIS AND ACTION PLAN

These tools were used to improve the level of knowledge about the existing rules and practices at the IO PAN corresponding to **C&C (Charter for Researchers and the Code of Conduct for the Recruitment of Researchers)** principles, to prepare the internal gap analysis and the action plan.

2.1. Working group

The extended **Working Group (HR WG)** was established by the IO PAN Director ordinance (Ordinance 5/2016 from 25/03/2016). The group consists of key scientific and administrative position representatives and their corresponding HR responsibilities:

- **Assoc. Prof. Ksenia Pazdro** – Coordinator; Deputy Director for Research (Management, Senior Researcher, Associate Professor)
- **M.Sc. Eng. Kazimierz Groza** - Chief Engineer (Management)
- **Assoc. Prof. Tymon Zieliński** - Head of the Postgraduate Studies Program, Senior Researcher - Associate Professor,
- **M.Sc. Regina Terlecka** - Head of the Research Coordination Office
- **Dr Joanna Potrykus** - Ph.D., Research Coordination Office
- **Aleksandra Szymczyk** - Human Resources Department (Administrative Division)
- **M. Sc. Małgorzata Maśnicka** - Public Procurement Office (Administrative Division)
- **M.Sc. Emilia Jankowska** - Head of the Ph.D. Students Parliament, 4th year Ph.D Student, Member of PhD Students' Social Commission, Representative of Ph.D. students
- **Dr. Joanna Stoń-Egiert** - Researcher, Adjunct, Representative of junior researchers
- **Prof. Alicja Kosakowska** - Senior Researcher, full Professor, Supervisor of Ph.D. students, Head of Department, Representative of senior researchers

The Working Group was a key source of high quality information which enabled conducting internal analyses to support the whole process of analysis and finally to define an Action Plan.

2.2. Desk research

The working group has analysed the principles of the **C&C** in view of their implementation at the IO PAN. Therefore, a list of all appropriate upgrade documents (national and internal) has been prepared and analysed. During this study it was necessary to recognize to what extent the principles of the **C&C** comply with and overlap the existing legislation, rules and practices implemented by the IO PAN and whether any legislation could impede the implementation of the principles. Operating practices related to C&C were also identified. In addition, the team also analysed “Management of Human Resources in Research Institutions, with Regard to the Institute of Oceanology, Polish Academy of Sciences in Sopot” – as the case study. This case study is Karolina Derezulko’s Masters’ dissertation granted at the Gdynia Maritime University, Faculty of Entrepreneurship and Quality Science-Human Resources Management written in 2013 (in Polish). Karolina Derezulko is one of the IO PAN’s employees in the administrative division. This ready to use material was prepared in 2013, with a focus on the improvement of the IO PAN’s activities with respect to HR activities. The results of her research and recommendations have also become a useful tool.

The preliminary analysis showed that most of the **C&C** principles are already applied at the IO PAN. A more detailed description is given in the internal gap analysis.

2.3. Questionnaire survey

The internal analysis was based on a study using indicators evaluating the level of compliance with the 40 principles set forth in the C&C within four areas:

- I. The ethical and professional responsibility of researchers;
- II. Recruitment;
- III. Working conditions;
- IV. Research career training and development.

For each of the 40 items, the participants were asked to evaluate both the level of implementation at the IO PAN and the agreement with the principle. The Polish language questionnaire (based on the Polish official version of C&C) regarding the main issues described in C&C was prepared and presented during a meeting with the Heads of Scientific Departments. Next, the survey was sent via e-mail to researchers and PhD students at the IO PAN. The Research Staff consists of 57 employees: 12 full professors, 19 associate professors, 15 adjuncts, 11 research assistants. 32 PhD students are currently affiliated with the IO PAN Postgraduate Studies. The main questions and answers were grouped in two contexts:

- A. Do you agree with this statement?
 - ✓ I totally disagree
 - ✓ I rather disagree
 - ✓ I do not have any opinion
 - ✓ I rather agree
 - ✓ I fully agree
- B. Is this statement recognized and respected at the IO PAN?
 - ✓ Unknown
 - ✓ Known but no formal regulations exist
 - ✓ Formally regulated but not implemented

- ✓ Formally regulated but not always executed
- ✓ Formally regulated and always respected

The questionnaire was anonymous. The respondents were only asked to state their position, gender and age. The completed questionnaires were gathered into a ballot box at the reception desk of the Institute. After preliminary analysis of the data, the questionnaire results were presented to the members of the Working Group.

2.4 Consultations with researchers groups (including doctoral candidates)

Wider range of the HR WG members allowed to perform more effective consultations with individual groups of researchers (Ph.D. students/assistants and adjuncts/associate professors and professors). The consultations allowed to identify gaps that from each group perspective need to be addresses in the IO PAN HR Strategy.

Since in the first attempt of the information collection (questionnaire survey) Ph.D. students contributed only 4 questionnaires the Working Group decided to organize an open brainstorming meeting for all Ph.D. students from the IO PAN. On 25 April 2016 such a meeting was held in the Institute, with participation of 3 members of the HR WG. A total of 12 students participated in the meeting, including representative member of the Student's Parliament. Prior to the meeting the Working Group members decided to cover all four C&C areas from the original questionnaire in a form of an open discussion. The comments were noted, the results were discussed within the HR WG and the main conclusions are presented further in the text (section 3.3.).

Based on the desk research, the survey results and the consultations with researchers groups the HR WG prepared a document containing the Internal Gap Analysis and the Action Plan, which was presented to the IO PAN Director for final approval.

3. INTERNAL GAP ANALYSIS

3.1. Regulations

The IO PAN operates based on national and internal regulations.
The main regulations are listed below:

National law:

[1] Act of 30 April 2010 on the Principles of Financing Science

(Journal of Laws of the Republic of Poland from 2010, No.96, item 615, as amended)

[2] Act of 30 April 2010 on the Polish Academy of Sciences.

(Journal of Laws of the Republic of Poland from 2010, No.96, item 619, as amended)

[3] The Labour Code, Act of 26 June 1974 of the Ministry of Labour and Social Policy

(Journal of Laws of the Republic of Poland from 1974, No.24, item 141, as amended)

[4] Act of 27 July 2005, Law on Higher Education

(Journal of Laws of the Republic of Poland of 2005, No.164, item 1365, as amended)

[5] Act of 14 March 2003 on the Academic Degrees and the Title as well as on the Degrees and the Title in the Arts

(Journal of Laws of the Republic of Poland of 2003, No. 65, item 595, as amended)

As well as implementing regulations of the above acts (mainly regulations of the Ministry of Science and Higher Education) and regulations of grant funders.

Polish Academy of Sciences regulations:

[6] Charter of the Polish Academy of Sciences

Regulations of grant funders (national and foreign agencies)

IO PAN Internal regulations:

[7] Charter of the Institute of Oceanology of the Polish Academy of Sciences

[8] Regulations of the IO PAN Scientific Council (IO PAN SC)

[9] Regulations on periodic evaluation of researchers

[10] Work Regulations

[11] Regulations on Remuneration policy with attachments (*Director Ordinance 30/2011, Annexe 1 of 10.07.2014*)

[12] Regulations on Competitive Selection Procedures for Research Positions (approved by the IO PAN SC, updated version in force from 20.10.2015)

[13] Regulations related to the IO PAN PhD study functioning

[14] Regulations on intellectual property rights, the principles of commercialization of the results of research and development activities (IPR, IO PAN SC act 1/2015, in force from 30.03.2015)

[14] Organizational regulations (Director Ordinances)

All internal regulations are available at the IO PAN website (www.iopan.gda.pl) or at the IO PAN intranet (accessible for all IO PAN employees and PhD students).

3.2. Questionnaire results

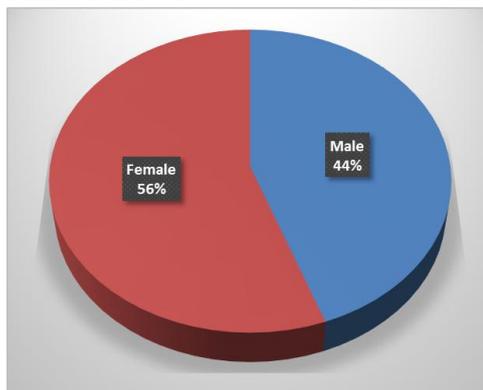
The initial analysis of the collected data included a discussion within the working group. Feedback from research staff and PhD students was used as the basis for the preparation of the final documents including the Internal Gap Analysis and the Action Plan. The strategy was developed in the form of a timetable for its practical implementation. The action map includes the gap areas, reasonable time schedules for a period of two years describing in detail the different types activities and the persons responsible for their implementation.

3.2.1. Characteristics of the survey respondents

Twenty-nine questionnaires were received from a group of 57 researchers. These 29 responses were used to evaluate the level of the researchers' knowledge.

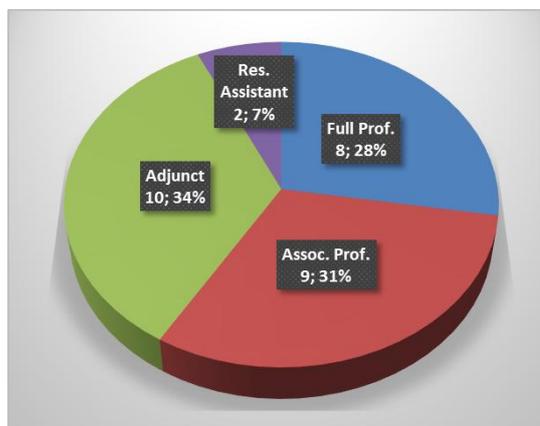
Detailed information about the questionnaire is provided below.

❖ Gender



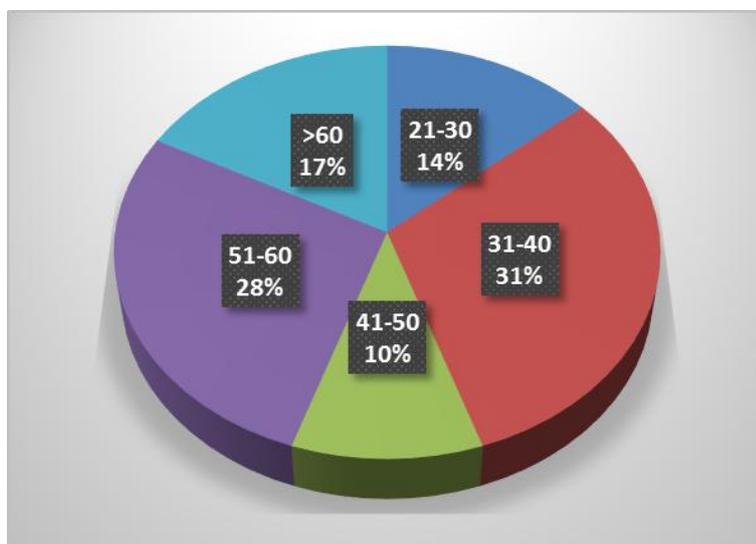
A total of 56% of respondents were women, while men represented 44% of all respondents. This means that women were over represented among respondents since there are 28 men and 29 women among the study group of 57 IO PAN research employees. However, taking all IO PAN employees into consideration this breakdown is sensible since there are 85 men and 103 women employed in the IO PAN, thus the proportion is 45% of men to 55% of women.

❖ Professional profile of respondents



The largest, by percent, group of respondents were adjuncts (34%), followed by associate professors (31%) and full professors (28%), while research assistants made for a significantly smaller group – 7%. In terms of research level groups, the statistics are as follows: 8 out of 12 IO PAN full professors responded (2 out of 4 women and 6 out of 8 men), 9 out of 19 associate professors (3 out of 6 women and 6 out of 13 men), 10 out of 15 adjuncts (8 out of 11 women and 2 out of 4 men), and 2 out of 11 research assistants responded (however, both respondents did not specify their gender). So, full professors and adjuncts were the most represented profile groups (67% of all IO PAN employed in their group), followed by 47% of all associate professors. The smallest number of respondents, in terms of the profile group, were represented by research assistants, only 18% of all employed in the IO PAN. Poor feedback was received from PhD students. Only 4 questionnaires were back from PhD Students.

❖ Age profile



In terms of the age profile of respondents, the largest age group represented was the 31-40 years old group (31%), followed by employees aged 51-60 (28%), then employees aged over 61 (17%), younger employees of ages between 21 and 30 (14%). The least represented group consisted of employees aged between 41 and 50 (10%). In terms of numbers the breakdown is as follows:

Age group	Number of respondents	Female	Male	Professional position
21-30	4	4	0	Ph.D. students – 4
31-40	9	7	2	full prof. - 1, adjunct - 8
41-50	3	1	2	full prof. - 1, assoc. prof. - 1, adjunct - 1
51-60	8	5	3	full prof. - 1, assoc. prof. - 6, management - 1
Over 60	5	1	4	full prof. – 4, management - 1
Total	29	18	11	

3.2.2. Survey findings

The next step in the Gap Analysis was the analysis of the responses by the HR Working Group members. The group identified two categories of results: strengths of the IO PAN’s rules and practices with regard to **C&C** principles and challenges that require corrective actions. For each of the 40 items, evaluation of the responses was based on a scoring system, which rated the responses from 1 to 5 points, with 5 meaning excellent. The graphic analysis of the questionnaire outcomes is presented in the graph (see: following page).

The HR Working Group, in order to aid further analyses and outcomes for the future Action Plan, assumed that the responses will be addressed with respect to two major issues: “Agree with the statement” (blue columns) and “Level of implementation within the IO PAN” (red columns). The breakpoint is 3 since in the questionnaire this point refers to a neutral statement of “I have no



opinion". Points 1-3, refer to negative emotions, "I fully disagree" or "I disagree", while points 4-5, refer to positive statements, "I agree" and "I fully agree".

All respondents responded positively to all questionnaire questions with respect to the "Agree with the statement" questions. The lowest value is 4.07 for the items regarding supervision and research training. The highest values reached 4.71 (4 items). This means that in this category all respondents either agree or strongly agree with the issues discussed in the questionnaire. This provides a good basis for the further analyses of the responses.

As for the second issue, "Level of implementation within the IO PAN", the majority of responses, 24 are ranked significantly above 3, indicating that the respondents are either or both, aware of the situation in the IO PAN or happy with the implementation of the key issues in the HR areas. However, 8 points out of 40 have been "ranked" below 3 (the lowest 2.35), and 8 additional points with values slightly higher than 3 (e.g. 3.25). This provides grounds for the Action Plan.

The HR Working Group decided to further analyse the responses with values lower than 3.5, however, as a result of detailed analyses of all issues ranked between 3 and 3.5 they have been found to be issues which often do not require the planned corrective actions. The nature of these issues is such that they are more important for younger employees and since among the IO PAN respondents 16 out of 29 represented ages above 41, these issues are less important. However, in order to avoid a situation in which these issues may become a problem in the IO PAN, the members of the HR Working Group recommend supervising these issues and conducting periodic reviews of the situation's development. The 8 points with ranks below 3 comprise of: supervisions, access to research training and continuous development (2.36 each), access to career advice, value of mobility, career development (2.39), gender balance (2.68), public engagement and dissemination, exploration of results (2.64 each). The HR Working Group decided that these items need further attention and they must be included in the future Action Plan.

Strengths

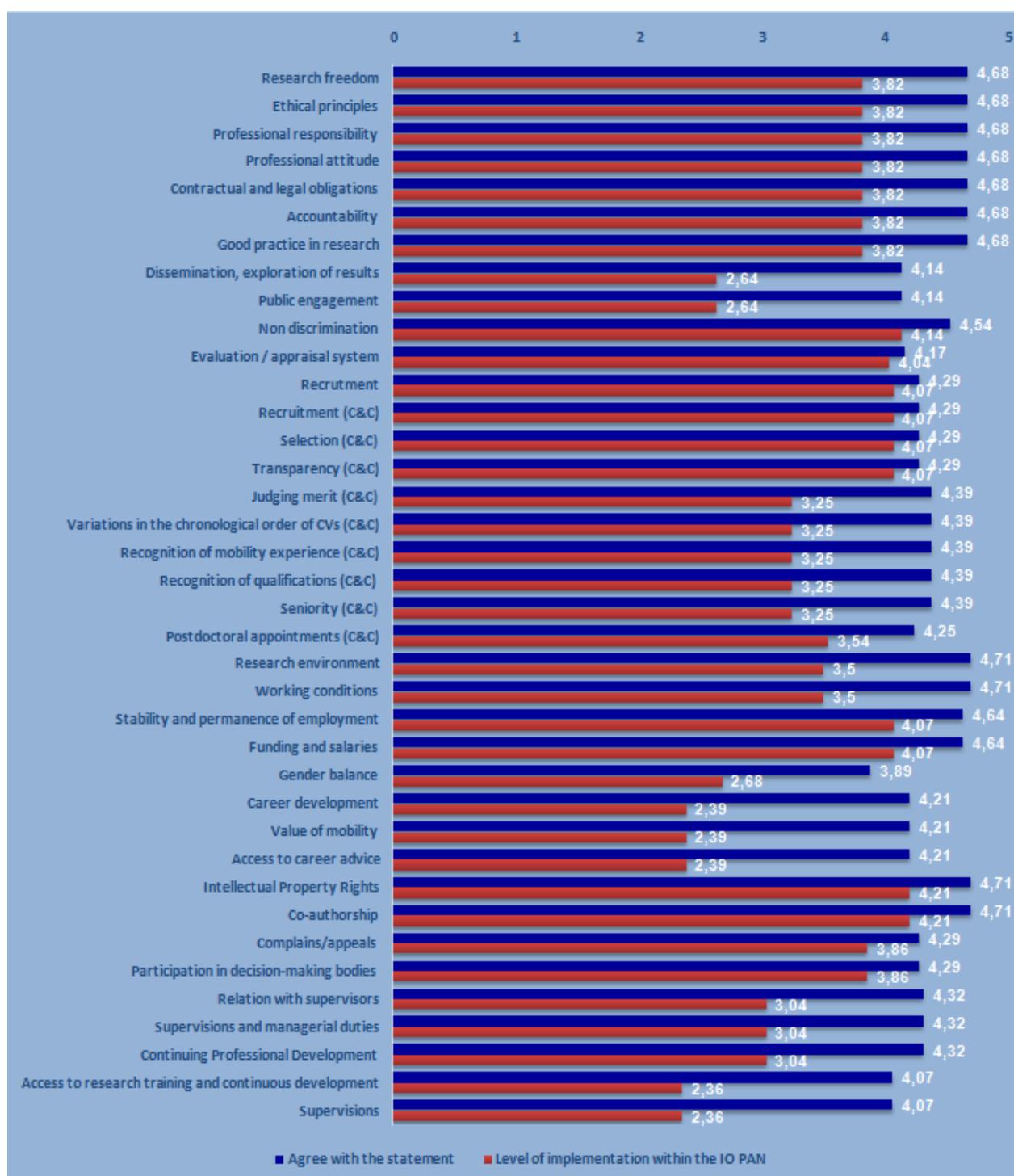
The most highlighted item for which the level of implementation at IO PAN is high (score higher than 4.0) and therefore were identified as strengths included the following: *Non discrimination, Evaluation/appraisal system, Recruitment, Recruitment (C&C), Selection (C&C), Transparency (C&C), Stability and permanence of employment, Funding and salaries, Intellectual Property Rights and Co-authorship.*

The level of importance of these items was also evaluated by the questionnaire respondents as high (score >4.0).

Challenges

The most challenging items for which level of implementation at IO PAN was <3.0 were the following: *Dissemination, exploration of results, Public engagement, Gender balance, Career development, Value of mobility, Access to career advice, Access to research training and continuous development and Supervisions.*

The level of importance of these items was evaluated by the questionnaire respondents as 2.36 - 2.68.



3.3. Consultation findings

One of the most important actions performed included involvement of doctoral candidates in the consultation process through an open meeting (see section 2.4). The first problem discussed during the meeting involved the Recruitment issues. Students made a point that during the Recruitment procedure for the Ph.D. studies, information about their financial opportunities are vague and they would like to obtain precise information prior to the Recruitment. They noted that although there are some information available, they would expect more general institutional based information for all candidates. Additionally, they indicated that the IO PAN Recruitment Rules (Regulations on Competitive Selection Procedures for Research Positions) are available only in the Institute intranet, so nobody from outside of the IO PAN has access to such information. Ph.D. students noted that they would like to have access to such information prior to the decision about application to the IO PAN Ph.D. program.

The next issue which was raised involved the second group, i.e. Work Conditions and Social Security. Students argued that they lack institutional information about further development path. According to them the IO PAN does not provide sufficient information about their potential employment after they had obtained their Ph.D. During the course of the Ph.D. students do not feel like they have a clear situation regarding their employment in the Institute. No controversial issues were raised over all other points (points 23-40), including Trainings and Ethical and Professional Issues. All students agreed that they accept the situation and are satisfied with the conditions provided by the IO PAN.

The Working Group held a meeting to analyze the results of the discussion with the Ph.D. students and to decide on the further actions. The proposed actions are included in the Action Plan. It was also decided to organize some periodic meetings for discussion with students as more effective way of communications than questionnaires.

The consultation within the group of the young researchers employed at the IO PAN (assistants and adjuncts) revealed that this group in general agrees with C&C statements, however expects improvements in formal implementation at the IO PAN of some C&C principles. The consultations allowed to indicate the most important principles: dissemination and exploitation of results, recruitment transparency, recognition of mobility experience, continuing professional development, access to research training and continuous development. According to the group of professors the most urgent topics demanding important changes in formal regulations refer to the two following principles – recognition of mobility experience and access to career advice. The value of mobility and the ethical and professional aspects have been recognized as the most important C&C areas.

3.4. C&C Areas

I. Ethical and professional aspects

1. Research freedom

Researchers should focus their research for the good of mankind and 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, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Relevant existing rules and/or practices

The principle of research freedom is well recognized and established at the IO PAN. Researchers are free to express their ideas, propose research topics and methods (a bottom-up approach). The general limitation is that these topics should adhere to the general mission of the IO PAN (to generate knowledge required to support the understanding, the sustainable use and protection of the marine environment). The annual research plan of statutory scientific tasks proposed by researchers is approved each year by the IO PAN Scientific Council (IO PAN SC). Researchers may also conduct research on their own initiative and apply to different funding institutions (national and foreign) after obtaining the consent of the Director or his Deputy for scientific research. The scientific autonomy is not limited, though the compatibility with external/internal regulations and infrastructural/financial capabilities of the research programme should be identified before final consent. The IPR regulations have been approved and adopted by the IO PAN SC in 2015.

The above C&C statement and rules related to the obligations of researchers are generally declared in national acts, although their implementation depends mostly on the researchers. The results of the questionnaire and consultations clearly show that the principle is fully approved by the IO PAN research staff. The researchers represent the high standards of professional responsibility including avoiding plagiarism and respecting other researchers and intellectual property.

Required Actions: None

2. Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

Relevant existing rules and/or practices

The IO PAN is under the supervision of the Polish Academy of Sciences (PAN), a well-respected institution seen as an authority in the Polish society. In the Act on the Polish Academy of Sciences, article 39 states clear regulations about ethics. According to this article the Scientific Ethics Committee shall provide opinions on cases of the violations of scientific ethics by an employee of

a higher education institution, scientific unit of the Academy or a research institute referred to in the Act of 30 April 2010 on Research Institutes including the lack of limitation in proceedings instituted by disciplinary committees. The scientific ethics committee may, on its own initiative, refer matters concerning violations of scientific ethics by employees to competent disciplinary committees with a recommendation that a preliminary investigation should be conducted. The disciplinary committee in question shall submit information on the outcome of such an investigation following its completion to the scientific ethics committee without undue delay. The scientific ethics committee shall draw up the research code of conduct and shall engage in activities which aim to disseminate research reliability standards. The Ethical Code of the Researcher was adopted by the Polish Academy of Sciences in December 2012. This national document of the Committee on Ethical Issues in the Science (Annex to the Act No 10/2012 of the General Assembly of the Polish Academy of Sciences based on “The European Code of Conduct for Research Integrity “announced in 2010 mutually by the European Science Foundation (ESF) and All European Academies (ALLEA). The Ethical Code of the Researcher is available in electronic form at the IO PAN website (in Polish).

The IO PAN requires that researchers adhere to the recognised ethical practices and fundamental ethical principles in science as well as to ethical standards as documented in The Ethical Code of the Researcher and in the specific sectoral Codes of Ethics. In the specific case, where research on animals is performed, a special Certificate from the Local Ethical Committee for the Affairs of Experiments on Animals is requested and obtained. The results of the questionnaire and consultations clearly show that the principle is important and fully approved by the IO PAN research staff and recognized and respected at the IO PAN. The researchers represent the high standards of professional responsibility including avoiding plagiarism and respecting other researchers and intellectual property.

Required Actions: None

3. Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They 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) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Relevant existing rules and/or practices

The IO PAN requires that researchers follow the recognised ethical practices and fundamental ethical principles in science and represent ethical standards as documented in The Ethical Code of the Researcher. This include the application of the rules of professional responsibility, compliance with rules of intellectual property and joint data ownership, avoiding plagiarism etc. The IPR regulations have been approved by the IO PAN SC in 2015 and adopted.

The results of the questionnaire and consultations clearly show that the principle is fully approved by IO PAN research staff and recognized and respected at the IO PAN. The researchers represent the high standards of professional responsibility including avoiding plagiarism and respecting other researchers and intellectual.

Required Actions: None

4. Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

Relevant existing rules and/or practices

The IO PAN is familiar with the strategic goals of its research environment. This is done by participating in international and national scientific conferences and seminars. The issue is often discussed during a monthly meeting between the Management and the Heads of Scientific Departments. The information about the strategic goals set by the Ministry and the funding agencies is distributed via e-mail by the Management and Research Coordination Office. Before applying to various funding institutions (national and foreign) researchers are obliged to obtain the approval of the Director or his Deputy for scientific research. In the specific case, where research on animals is performed, a special Certificate from the Local Ethical Committee for the Affairs of Experiments on Animals is requested and obtained. The specific requirements of Calls for projects launched by various funders are checked, and the ability to meet them at the IO PAN is evaluated individually. The researchers receive professional administrative support from the departments involved in the procedures, mostly from the Research Projects Administration Office as well as the Research Coordination Office. Some useful templates and guidelines are developed and are available on the intranet for all researchers. The results of the questionnaire clearly show that the principle is fully approved by the IO PAN research staff.

IO PAN researchers are obliged (by Directorial Regulations and agreements with funding agencies) to inform their supervisors and/or management about any delays and obstacles that may disturb the completion of the research project (both statutory tasks as well as projects financed by external funders). Researchers are also obliged to give notice if the projects were to be completed earlier or suspended for whatever reason. Annual reports on the completion or progress of statutory tasks are reviewed and evaluated by 3 external professors.

The results of the questionnaire and consultations clearly show that IO PAN researchers know and respect this principle.

Required Actions: None

5. Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

Relevant legislation and existing rules and/or practices

IO PAN researchers at all levels are familiar with the national, regional or institutional regulations governing training and/or working conditions. These regulations are explained before signing the employment contract by the HR unit, the Work Safety and Sanitation Inspector and finally by the direct supervisor. The IPR regulations have been approved by the IO PAN SC in 2015 and subsequently implemented. The Institute's Postgraduate Studies have their own regulations (available on the website and explained to PhD Students by the HR unit and the Head of the PhD Studies. In case of research projects funded by external agencies, researchers are supported by the Financial Administration to obtain appropriate information about specific regulations and requirements. All reports, financial matters and tasks throughout the project are supervised and finally verified by professional organisations. Meetings with PhD students are organized upon demand to explain the requirements of external research funders (mainly the National Science Centre).

The results of the questionnaire and consultations clearly show that IO PAN researchers know and respect this principle.

Required Actions: None

6. Accountability

Researchers need to be 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. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should 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.

Relevant existing rules and/or practices

The issue refers to all research activities. Being a unit of the PAN and acting in accordance with the Act on the Principles of Financing Science, the IO PAN is obliged to adhere to the principles of sound, transparent and efficient financial management and to cooperate with any authorized investigation of their research. Accountability towards employers is regulated by and established in accordance with the organizational regulations (Directorial Ordinances, updated according to changes in the national law), accountability to research funders is established in individual contracts. Inside the

Institute the management of statutory assets of particular scientific departments and other units is conducted in accordance with the principles of expediency, efficiency, cost effectiveness and efficient management. All reports, financial matters and tasks throughout the project are supervised and finally verified by professional organisations. All possible explanations are given to auditors by both: the researcher (project coordinator) and the administration.

The results of the questionnaire and consultations show that IO PAN researchers know and respect these principles and follow existing rules.

Required Actions: None

7. Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Relevant existing rules and/or practices

The employer is responsible for safe working conditions. The regulations are explained to new employees/PhD Student by the HR unit, the Work Safety and Sanitation Inspector and finally by the direct supervisor. In addition to the obvious regulations of the Labour Code and other national regulations, more detailed actions are performed by the Work Safety and Sanitation Inspector, the Fire Control Inspector and the Plenipotentiary of the Director for Protection of Classified Information to train researchers and other IO PAN staff in the necessary health and safety precautions (training every 2 years). The results of the questionnaire show that IO PAN researchers know and respect these principles and follow existing rules. Despite this, the HR WG has suggested that there are some gaps concerning the issue of technical data protection and personal data protection. This statement was confirmed by further consultations with scientists, therefore the appropriate action will be proposed.

Required Actions: the dedicated workshop on data (research and personal data) securing and storing run by the Institute data management experts for all IO PAN employees, the Instruction for securing and storing computer data (formalized through the Director ordinance). **(see also the Action Plan Table)**

8. Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Relevant existing rules and/or practices

Essential obligations of researchers are specified in the Ethical Code of the Researcher and in the IO PAN Charter. These obligations include conducting research and development work, announcing, disseminating and applying the research results. Following the regulations on periodic evaluation of

researchers, the IO PAN focuses on achieving high level of dissemination of research results to the scientific community, stakeholders and the general public. Despite the fact that the IO PAN conducts mostly basic research, the Institute staff is encouraged to apply for patents. The IPR regulations have been approved by the IO PAN SC in 2015 and subsequently implemented. Regulations include intellectual property rights, principles of commercialization of the results of research and development activities. In April 2016 the IO PAN Director appointed the Plenipotentiary for innovation and cooperation (Decision from 13.04.2016)

The most valuable way of results' dissemination to the scientific community and the stakeholders are publications, conferences and workshops.

In 2015 more than 80 papers were published by the IO PAN staff in peer-reviewed journals and the researchers took part in more than 300 international conferences and workshops where they presented their scientific achievements. Several workshops and conferences have been organized/co-organized by the IO PAN. In October 2015, a national conference (supported by the Polish Space Agency POLSA): State, trends change and contemporary methods for monitoring the environment of the Baltic Sea "BALTIC 2015" took place at the IO PAN. The main objective of the conference was to provide a comprehensive overview and a summary of the status, trends and various types of threats to the environment of the Baltic Sea and presentation of modern techniques and methods used for monitoring. During the conference there was an opportunity to exchange ideas and scientific information and, above all, to provide detailed information about the status and needs of the Baltic Sea, essential to a wide range of people responsible for various forms of exploitation and protection of the sea.

The IO PAN website provides information about current IO PAN scientific events as well as about specific scientific units' activities (including dissemination/ ongoing projects/ expertise). The annual scientific conference is organized at the IO PAN every year (winter period) and is open to the public. Information about the Conference and current issues is available on the IO PAN website. The IO PAN electronic newsletter is issued monthly (in Polish). The results of the questionnaire and consultations show that IO PAN researchers agree with these principles, however the most popular opinion about the level of implementation at the IO PAN was that the rule is known but outside the formal regulations. The HR WG suggests some actions to improve the execution of this principle and the knowledge of formal regulations at the IO PAN.

Required Actions: organizing the dedicated workshop on commercialization of research results for all Institute employees and Ph.D. students run by external experts, the workshop on organizing dissemination events for early stage researchers (PhD students, assistants and adjuncts) run by external experts; internal procedures in terms of commercialization relevant to the activities performed at the IO PAN proposed (by the Plenipotentiary for innovation and cooperation, recently appointed by the Director); improvement of the IO PAN websites (updated information available/homepages users friendly) **(see also the Action Plan Table)**

9. Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Relevant existing rules and/or practices

IO PAN researchers are actively involved in dissemination of research activities and presentation of current important issues related to the marine environment. The IO PAN organises and participates in numerous events aiming at improving the public's understanding of science like: open days, science festivals and open lectures e.g.:

- Organisation of Science Day in Sopot (8 years of organisation)
- Baltic Science Festival in TriCity (13 years of participation)
- The Science Picnic of Polish Radio and the Copernicus Science Centre (Warsaw, 5 years of participation)

Some projects related to the issue of public engagement were recently completed at the IO PAN: Sea for Society (SFS – 7FP), Virtual Laboratory for school students (WebLab South Baltic Programme) and EDUSCIENCE. Researchers cooperate in an informal way with the schools in the Pomerania Region and are often invited to popular broadcasts and TV programmes. Recently several eco-fairy tales were published by IO PAN researchers (print versions and e-version available on the website in Polish).

The main activities are listed at: <http://www.iopan.gda.pl/pop.html> (in Polish).

Many of the IO PAN researchers are actively involved in the Sopot Science Association (SSA). (<http://stn.edu.pl>).

The results of the questionnaire show that IO PAN researchers agree with this principle, however the most frequent opinion on the level of implementation at the IO PAN was that this rule is known but outside the formal regulations. After consultations within the researchers group, the HR WG agreed that detailed formal internal regulations are not needed as long as the researchers' public engagement activities are high. Nevertheless, the HR WG found that there is room for some improvement.

Required Actions: mass and social media engaged through a number of actions such as: an open day in the Institute for media representatives and general public, engagement of media into a Science Picnic organized by the IO PAN, through a promotion of the Picnic and then an event coverage, creating IO PAN accounts on Facebook/Twitter to announce events open to public/interact with young people/present IO PAN ongoing educational activities to a wider public; external professionals (from Academic Computer Centre in Gdańsk (CI TASK)) will be engaged to realize TV film about the AREX cruise on IO PAN research vessel *Oceania* and about the most important IO PAN research activities related to marine environment. The film will be presented to a wider public; Improvement of websites will be continued (**see also the Action Plan Table**).

10. Non discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Relevant existing rules and/or practices

The IO PAN fully respects all national rules concerning this principle and does not discriminate researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief,

sexual orientation, language, disability, political opinion, social or economic status. There is no evidence of any discrimination against the employees on any other basis. This statement was confirmed by the questionnaire and consultations results.

Required Actions: None

11. Evaluation/appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Relevant existing rules and/or practices

Following the Act of 30 April 2010 on the Polish Academy of Sciences, the IO PAN SC established the Regulations for periodic evaluation of researchers (signed by the IO PAN Director and approved and the PAN Vice-President). Senior researchers- professors and associated professors are evaluated every four years, adjuncts and research assistants are evaluated every two years. The evaluation is a parametric tool and includes the following activities of the researchers:

- Scientific achievements
- Scientific development
- Material effects of scientific activities (management of research projects)
- Other forms of activity

The evaluation is carried out by The SC Commission (the IO PAN SC Chairman, Deputy Director for Scientific Research, Head of appropriate Department and two external members (professors) elected by the IO PAN SC). The detailed procedures are outlined in Regulations on periodic evaluation of researchers.

The results of the questionnaire and consultations show that the principle is important and approved by the IO PAN research staff and that the level of formal implementation at the IO PAN is high.

Required Actions: None

II. Recruitment

12. Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

Relevant existing rules and/or practices

During recruitment the Institute adheres to the Principles stated in the Code of Conduct. The requirements for research positions are described in the Act of the Polish Academy of Sciences, moreover the IO PAN has established Regulations on Competitive Selection Procedures for Research Positions where procedures of recruitment are described in detail (available via the Institute "intranet"). Available positions are advertised to the public on the IO PAN website, via the Ministry of Science and Higher Education newsletter of public information (BIP portal) and via EURAXESS portal. The researchers returning to their research career are not discriminated in the recruitment process.

The results of the questionnaire clearly show that IO PAN researchers agree with this principle and that the level of implementation of this principle is high at the IO PAN. However the discussion with Ph.D. students revealed, that before being approved as PhD students, they have no access to IO PAN Recruitment rules as these rules are only available at the Intranet pages. HR WG suggests also that the rule of applying the principles of the C&C in the process of recruitment should be added to the existing IO PAN regulations on Competitive Selection Procedures for Research Positions. In that way it will be clear to everybody that the Recruitment Rules at the IO PAN adhere to relevant C&C principles.

Required Actions: The rule of applying the principles of the C&C in the process of recruitment will be included into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN Ph.D. Study Recruitment rules (approval by the IO PAN SC is necessary); the IO PAN regulations on Competitive Selection Procedures for Research Positions (in polish) will be moved from the Intranet to the open access IO PAN webpage, English version of the regulations will be prepared and announced. [\(see also the Action Plan Table\)](#)

13. Recruitment (Code)

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Relevant legislation and existing rules and/or practices

The IO PAN follows open, efficient and transparent recruitment procedures that are of international standard and are tailored to the type of positions offered. The advertisements are freely available: on the IO PAN website, the BIP portal and the EURAXESS portal. Information about job openings include requirements on: competencies of the applicant, description of the position with the scope and specification of the tasks, list of required documents, start date and duration of employment, date of recruitment results. The description of the knowledge area and the competencies is defined in a general way, while the scope of research is specified in a more detailed way. The time allowed between posting the job advertisement or announcing recruitment and the deadline for a reply is always determined in way that all applicants have enough time to send their applications. The required documents can be send by post or submitted personally at the IO PAN main administration office.

The results of the questionnaire and consultations show that IO PAN researchers agree with this principle and that the level of implementation of this principle is high at the IO PAN. PhD students suggested some improvements (see above - 12. Recruitment)

Required Actions: see above – 12.recruitment; the information on career development prospects will be provided in job offers (**see also the Action Plan Table**)

14. Selection (Code)

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

Relevant legislation and existing rules and/or practices

The selection is conducted by the IO PAN SC Commission for the promotion of scientists. The members of the Commission approved by the SC are usually: Deputy Director for Scientific Research and Heads of Scientific Departments – senior researchers of both genders (at present two are women, four are men) representing different areas of expertise and gender. Applicants for the vacant position are selected on the basis of submitted documentation. Applicants, whose documentation meets the formal criteria are invited for a face-to-face interview. An HR officer informs selected applicants about the time of the interview by e-mail and/or by phone. The interview is conducted on site – at the IO PAN, in exceptional cases the interview can be conduct via internet. After interviewing all selected candidates, the Commission formulates a ranking list with candidate recommendations for the Director. The final approval of the candidate is done by the IO PAN Director. In case of senior scientists, the Director should obtain the acceptance of the IO PAN SC.

The results of the questionnaire and the consultations clearly show that IO PAN researchers agree with this principle and that the level of implementation of this principle is high at the IO PAN.

Required Actions: None

15. Transparency (Code)

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

Relevant legislation and existing rules and/or practices

Information about a vacant post including the assessment criteria and the number of vacant positions are available on the IO PAN website, the BIP portal, the Euraxess portal. Career development prospects are discussed during the selection interview (when asked by the applicant). Feedback on the strengths and weakness of the candidate and an evaluation chart are delivered to the candidate only upon the request of the applicant and do not undergo any formal regulations.

The results of the questionnaire show that IO PAN researchers agree with this principle and that the level of implementation of this principle is rather high at the IO PAN. Further the consultations with researcher groups and PhD students revealed that some improvement could be made in the formal regulations, especially regarding the information about the strengths and weaknesses of candidates applications.

Required Actions: The rule of applying the principles of the C&C in the process of recruitment will be included into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN *Ph.D. Study Recruitment rules*; the procedures of giving feedback on strengths and weakness of the candidates' applications for the research positions and Ph.D. studies (to be included in the above mentioned regulations) will be proposed for approval to the IO PAN SC. (see also the Action Plan Table)

16. Judging merit (Code)

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

Relevant legislation and existing rules and/or practices

According to trends in modern science and parametric evaluation of scientific institutions in Poland, where the publication effectiveness is the most weighing criterion - the bibliometric indices are important criteria in the selection process at the IO PAN. However, a wider range of evaluation criteria, such as supervision, teamwork, knowledge transfer, management of research and innovation, and activity in research dissemination (public awareness context), teaching, creativity are also taken into account and achievement in these areas is seen as an important benefit when considered for a research position. Thus, during selection the Committee considers candidate's entire experience.

The results of the questionnaire show that IO PAN researchers agree with this principle, however the most frequent opinion on the level of implementation at the IO PAN was that the rule is known but outside the formal regulations. Discussing these results, the HR WG agreed that appropriate information should be provided to researchers to raise their awareness, that this principle is included in the formal evaluation criteria. HR WG suggested that the rule of applying the principles of the C&C in the process of recruitment should be included into IO PAN regulations on Competitive Selection Procedures for Research Positions. In that way it will be clear to everybody that the Recruitment Rules at the IO PAN should follow relevant C&C principles (also regarding the issue of judging merit).

Required Actions: general action - conducting a number of dedicated meetings for the Institute employees and Ph.D. students to improve staff awareness of C&C principles and their implementation at the IO PAN; the rule of applying the principles of the C&C in the process of recruitment will be included into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN Ph.D. Study Recruitment rules. [\(see also the Action Plan Table\)](#)

17. Variations in the chronological order of CVs (Code)

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

Relevant legislation and existing rules and/or practices

There are no regulations for the CV format which should be presented by a candidate. The Institute allows to submit an evidence-based CV, which reflects all achievements and qualifications and a career description. Any variations in the chronological order (e.g. non-academic experience, career breaks (e.g. due to childcare)) are not seen as an obstacle as long as the competencies of the candidate meet the position requirements.

The results of the questionnaire show that IO PAN researchers agree with this principle, however the most frequent opinion on the level of implementation at the IO PAN was that the rule is known but outside the formal regulations. Discussing these results the HR WG agreed that appropriate information should be provided to researchers to raise their awareness, that this principle is included in the formal evaluation criteria. HR WG suggested that the rule of applying the principles of the C&C in the process of recruitment should be included into IO PAN regulations on Competitive Selection Procedures for Research Positions. In that way it will be clear to everybody that the Recruitment Rules at the IO PAN should follow relevant C&C principles (also regarding the issue of Variations in the chronological order of CVs).

Required Actions: general action - conducting a number of dedicated meetings for the Institute employees and Ph.D. students to improve staff awareness of C&C principles and their implementation at the IO PAN; the rule of applying the principles of the C&C in the process of recruitment will be included into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN Ph.D. Study Recruitment rules. [\(see also the Action Plan Table\)](#)

18. Recognition of mobility experience (Code)

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

Relevant legislation and existing rules and/or practices

IO PAN researchers at all stages of their career are encouraged to apply for and participate in short and long-term internships. Mobility experience is always considered a valuable contribution to the professional development of IO PAN employees and an asset in the recruitment process. This includes staying in another country/region, in another research setting (public or private) or a change from one discipline or sector to another. The results of the questionnaire show that IO PAN researchers agree with this principle, however the most frequent opinion on the level of implementation at the IO PAN was that the rule is known but outside the formal regulation. Discussing these results the HR WG agreed that the appropriate information should be provided to researchers to raise their awareness, that this principle is included in the formal evaluation criteria. HR WG suggested that the rule of applying the principles of the C&C in the process of recruitment should be included into IO PAN regulations on Competitive Selection Procedures for Research Positions. In that way it will be clear to everybody that the Recruitment Rules at the IO PAN should follow relevant C&C principles (also regarding the issue of Recognition of mobility experience).

Required Actions: general action - conducting a number of dedicated meetings for the Institute employees and Ph.D. students to improve staff awareness of C&C principles and their implementation at the IO PAN; the rule of applying the principles of the C&C in the process of recruitment will be included into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN Ph.D. Study Recruitment rules ([see also the Action Plan Table](#))

19. Recognition of qualifications (Code)

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.

Relevant legislation and existing rules and/or practices

The assessment and evaluation of academic qualifications is provided in the Act on Academic Degrees and Academic Titles and relevant regulations of the Ministry of Science and Higher Education and the Act on Polish Academy of Sciences. IO PAN does not have influence on these regulations. Any changes are announced in the Ministry of Science and Higher Education's Newsletter. The Ministry's Newsletter is sent every week to universities and research institutes in Poland. The newsletter is distributed inside the IO PAN by the Research Coordination office

(recipients: Unit Heads). The requirements for research positions are also included in the Act on the Polish Academy of Sciences. Any changes are announced by the HR unit to the IO PAN Management. Non formal qualifications are taken into consideration during the recruitment process and the fact that these qualifications in particular within the context of international and professional mobility are always regarded as an additional advantage of a candidate, is considered good practise

The results of the questionnaire show that IO PAN researchers agree with this principle, however the most frequent opinion on the level of implementation at the IO PAN was that the rule is known but outside the formal regulation. HR WG agreed that the appropriate information should be provided to researchers to raise their awareness, that this principle is included in the formal evaluation criteria.

Required Actions: general action to conduct a number of dedicated meetings for the Institute employees and Ph.D. students to improve staff awareness of C&C and their implementation at the IO PAN; the rule of applying the principles of the C&C in the process of recruitment will be included into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN Ph.D. Study Recruitment rules ([see the Action Plan Table](#))

20. Seniority (Code)

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

Relevant legislation and existing rules and/or practices

At the Institute during recruitment or promotion the required level of qualifications corresponds to the requirements of the position and is not set as a barrier. The new research position is defined and announced after detailed analysis and defining clear needs and requirements of the vacant position. During recruitment and evaluation, personal achievements of the researcher are taken into account rather than his/her background or the reputation of the institution where the qualifications were gained. The results of the questionnaire show that IO PAN researchers agree with this principle, however the frequent often opinion on the level of implementation at the IO PAN was that the rule is known but outside the formal regulations.

Required Actions: None

21. Postdoctoral appointments (Code)

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

Relevant legislation and existing rules and/or practices

The Postdoctoral appointments' criteria are regulated by the Polish law (the Act on Polish Academy of Sciences, the Act on Academic Degrees and Academic Titles, and the Act on Degrees and Titles in Art; Regulation of the Minister of Science and Higher Education on criteria for assessing the achievements of the person applying for postdoctoral appointment). The IO PAN has no influence on the appointment criteria.

Required Actions: None

III. Working conditions and social security

22. Recognition of the profession

All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

Relevant legislation and existing rules and/or practices

The IO PAN places great emphasis on the recognition of research as a profession and the appreciation of researchers at all career stages. The Institute's staff and PhD students are recognized and treated as professionals and are also required to recognise the research achievements and scientific independence of other scientists, especially young researchers, regardless of their job position, academic titles or legal circumstances. Academic degrees and titles are granted by the Director of the IO PAN. In general, when researchers reach the position of associated professor or professor, the Institute's appreciation of research activities is, among other things, the support in the creation of a personal research team. Early-stage researchers and their contribution to research activities is highly valued at the Institute. Early-stage researchers have their representatives in the IO PAN SC. There is a PhD representative in different committees where issues regarding PhD studies are discussed and relevant internal regulations are established.

Required Actions: None

23. Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

Relevant legislation and existing rules and/or practices

IO PAN strives to maintain its infrastructure in the best possible condition to create the most stimulating research environment. IO PAN researchers have access to a well-defined working space

and environment. This includes access to the research vessel “Oceania”, well equipped laboratories on-site, a modern IT infrastructure etc. (see the description of the IO PAN on the website). The progress of the past decade was made possible by funds from the Ministry of Science and Higher Education, while two infrastructural projects were acquired from different research programmes. The IO PAN supports remote collaboration over research networks by being part of several marine-oriented European networks (as a member of various consortia) and by encouraging bilateral cooperation. Issues of health and safety in research are governed by national law and the IO PAN obviously complies with the relevant requirements. The appropriate actions are performed by Work Safety and Sanitation, the Fire Control Inspector to train/remind researchers and other IO PAN staff of the necessary precautions regarding health and safety, (periodic training every 2 years). Special regulations are applied to those working on the IO PAN research vessel “Oceania” (national law and Directorial Ordinances). In addition, work conditions are regularly monitored by the Social Labour Inspector (elected by the employees every 4 years) to ensure that they are safe.

The results of the questionnaire and the consultations show that IO PAN researchers strongly agree with this principle, and the level of implementation at the IO PAN is rather satisfactory.

Required Actions: None

24. Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, *inter alia*, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Relevant legislation and existing rules and/or practices

The rules are regulated by national law [Act on Polish Academy of Sciences, Labour law] and internal labour regulations. The IO PAN provides working conditions which allow (within the capabilities of formal regulations) both female and male researchers to combine family and work, having children and developing a professional career.

The following formal work arrangements are in use:

- Part-time work (requested by the employee, accepted by the Director of the IO PAN)
- Changing working time (requested by the employee, accepted by the Director of the IO PAN)
- Tele-working (requested by the employee, accepted by the Director of the IO PAN, the IO PAN ensures appropriate working facilities).

The results of the questionnaire and the consultations show that IO PAN researchers strongly agree with this principle, and the level of implementation at the IO PAN is satisfactory.

Required Actions: None

25. Stability of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the *EU Directive on Fixed-Term Work*.

Relevant legislation and existing rules and/or practices

The conditions of the stability of employment for researchers are set by national law: Act on Polish Academy of Sciences and Act on Higher Education. The Institute offers work contracts in compliance with these national regulations. Positions financed entirely by project funds are subjected to project regulations and require a project-specific contract. The IO PAN usually encourages researchers to find new opportunities of funding after the completion of a project.

A three-month employment contract is offered by the IO PAN to each PhD student following a successful defence of a doctoral thesis.

The results of the questionnaire and the consultations show that IO PAN researchers strongly agree with this principle, and the level of implementation at the IO PAN is satisfactory. Nevertheless PhD students argue that they lack institutional information about their further development path in the Institute.

Required Actions: Organizing a meeting for young researchers and PhD students with the Management representatives in order to better explain the IO PAN employment policy. ([see the Action Plan Table](#)).

26. Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Relevant legislation and existing rules and/or practices

Labour conditions at the IO PAN are fully compliant with Polish employment standards. This issue is regulated by national law (Act on Polish Academy of Sciences, Labour law, security system) and by relevant internal rules (The remuneration Regulations/Directorial ordinances). Full time Research staff are fully covered by the Polish social security system (health insurance, family allowance, paid maternity leave etc.). This includes researchers at all career stages including early-stage researchers. PhD students are covered with health insurance and personal accident insurance.

Statutory salaries are based on fixed wage scales. Keeping to formal procedures results in fairly little flexibility regarding wage setting. This can be a disadvantage when trying to obtain excellent research talent. Additional remuneration is usually related to additional actions or research project realization. Every year the director awards researchers with prizes for publications (the current rules are listed in Director Decision of 8.12.2015).

The Benefits and Loan Desk along with the social fund are additional means of support available at the IO PAN. The funds are distributed by relevant independent committees.

The results of the questionnaire and the consultations show that IO PAN researchers strongly agree with this principle, and the level of implementation at the IO PAN is satisfactory.

Required Actions: None

27. Gender balance

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

Relevant legislation and existing rules and/or practices

The IO PAN strives to maintain gender equality at all levels of staff. This is achieved by an equal opportunity policy at recruitment and at subsequent career stages, however, quality and competence criteria are still the most important. The rules of equal treatment in employment and non-discrimination are contained within appropriate regulations. Recent statistics show that around 50% of all employees at the IO PAN are female, and among researchers 45% are female. Two out of six heads of scientific departments are female. In general, women are well represented in most selection committees, e.g. in the Scientific Council and the Doctorate Committee where women represent more than 50%. At the management level – both deputy directors are women. However, women are still slightly underrepresented among the highest professional researchers (full professors – 34% female 66 % male).

The results of the questionnaire show that IO PAN researchers are not very much aware of this principle and the comments show that the quality and competence criteria are much more important than a formal gender balance. According to consultations, the opinions about the implementation level at the IO PAN indicate that the principle is known but not regulated in a formal way. The young researchers suggest that formal rules referring to this principle should be created only in case of selection and evaluation committees, when there is a real need to have gender balance. Young researchers confirm that in most cases the competence criteria are more important. The HR WG suggested that this issue should be discussed in detail with the IO PAN staff (individually and in target groups) before specific actions could be proposed to primary implementation.

Required Actions: None

28. Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Relevant legislation and existing rules and/or practices

National law specifies the requirements to be fulfilled in order to continue to aid scientific career development. This issue is not formalized at the IO PAN, but it is common practice for senior scientists/group leaders/heads of departments/directors to be mentors to younger co-workers/researchers. Moreover, the Research Coordination Office supports researchers in career development by a regular distribution of available positions/scholarships/training workshops (also those related to career development). Researchers may apply to the Director for financial support for the participation in such events. Based on available funds, the IO PAN Management tries to support young scientists and scientists with fixed-term contracts.

The results of the questionnaire show that IO PAN researchers agree with this principle, however the most frequent opinion about the level of implementation at the IO PAN was that the rule is known but outside formal regulation. The consultations with researchers groups showed that the implementation of this principle is sometimes not satisfactory, therefore The HR WG suggested some improvements.

Required Actions: the internal IO PAN specific career development strategy for researchers at all stages of their career should be presented to young researchers and PhD students and if possible formalized; information actions of on perspectives of professional career development (applications for Polish and international grants, stays outside IO PAN should be intensified through regular e-mails (already existing practice) and periodic meeting with young researchers. [\(see the Action Plan table\)](#)

29. Value of mobility

Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

Relevant legislation and existing rules and/or practices

IO PAN recognizes the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. IO PAN researchers at all stages of their careers are encouraged to apply for and participate in short and long-term internships and mobility experience is always regarded as a valuable contribution to the professional development of IO PAN employees and the candidates in the recruitment process. Compliance with this rule is good practice but it is not regulated by formal records, which was confirmed by the questionnaire results. The respondents agree with the statement and the principle is known at the IO PAN but no formal regulations exist. The senior scientists underline that it is one of the most important C&C principles for them. IO PAN administration supports the mobility of its

research staff and PhD students by providing them information enabling the implementation of mobility in line with the Polish law. The information about different types of mobility stays is provided regularly by Research Coordination Office via e-mails.

The requirement that the necessary administrative tools should be introduced in order to allow the portability of grants and social security legislations should rather be addressed at a national level or by financing agencies. The IO PAN itself does not have control over the regulations regarding this issue.

Required Actions: None

30. Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

Relevant legislation and existing rules and/or practices

This is maintained on an informal level at the IO PAN, more of a good practice rather than a formal rule. The Research Coordination Office supports researchers in career development through an even distribution of available post/scholarships/training workshops. Researchers may apply to the Director for financial support for the participation in such events. Based on available funds, the IO PAN Managements tries to support young scientists in particular. Senior scientists/group leaders/heads of departments/directors are often the best advisers for younger co-workers/researchers.

The results of the questionnaire and the consultations show that IO PAN researchers agree with this principle and is of high importance for them. The most frequent opinion about the level of implementation at the IO PAN was that the rule is known but outside of formal regulation. The HR WG suggested some improvements.

Required Actions: information actions on the perspectives of professional career development (applications for Polish and international grants, stays outside IO PAN should be intensified through more regular e-mails (already existing practice), creation of “information center” on the website; periodic meeting with young researchers. Researchers should be provided with more extensive administration support in the process of applying for research stays ([see also the Action Plan table](#))

31. Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Relevant legislation and existing rules and/or practices

The IO PAN SC approved the IPR regulations in February 2015. These regulations govern procedures resulting in establishing the protection of intellectual property and the rules for division of possible benefits resulting from exploiting the rights to inventions etc. The principles are well recognized by IO PAN researchers however HR WG has estimated that new regulation may raise in future some

practical questions. One of the actions already established is appointment of committee which should develop the rules how to proceed of the scientific data collected by IO PAN during cruises and created in its laboratories. These rules have to follow the IPR Regulations.

Required Actions: Dedicated workshop on commercialization of research results for all Institute employees and Ph.D. students run by external experts ([see also the Action Plan table](#))

32. Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research.

Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc., or to publish their own research results independently from their supervisor(s).

Relevant legislation and existing rules and/or practices

This principle is regulated by The Ethical Code of the Researcher and the IO PAN IPR regulations. Researchers are obliged to meticulously follow the principles that apply to the authorship of scientific publications. Plagiarism in any shape or form is forbidden. Researchers must comply with the principle of respect of intellectual property rights and shared ownership in regard of research conducted in cooperation with their PhD students, other scientists, or supervisors. Co-authorship is viewed positively at the IO PAN when evaluating research staff.

The results of the questionnaire show that IO PAN researchers strongly agree with this principle, and the level of implementation at the IO PAN is satisfactory.

Required Actions: None

33. Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Relevant legislation and existing rules and/or practices

The IO PAN is a research Institute, therefore teaching is not an essential duty of the researchers. However, any individual activity of the researchers is viewed very positively by the IO PAN Management. Different types of teaching activities are carried out by the Institute's researchers. Many of them deliver lectures to students of different Universities in Poland, supervise them in obtaining Bachelor and Master of Science degrees. In all these cases remuneration is provided to

them by the respective University. IO PAN researchers are actively involved in teaching activities at the IO PAN PhD study and ISP KNOW. Moreover, time devoted by senior members of staff to the training of early-stage researchers/supervising PhD theses is viewed as an important part of teaching. Young researchers may train their skills in teaching (in terms of delivering lectures) during scientific unit seminars, where they are advised by senior researchers.

Required Actions: None

34. Complains/ appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Relevant legislation and existing rules and/or practices

Complaints/appeals are generally solved individually by supervisors, group leaders/heads of departments/the Head of the PhD Study/Directors. According to the Act on the Polish Academy of Sciences the disciplinary spokesman of the Council is elected by the IO PAN Scientific Council to independently investigate and assess complaints of researchers, including conflicts between scientific supervisors and early stage researchers.

Regarding periodic evaluations of researchers, researchers have the right to appeal against the evaluation. The appeal is submitted to the Vice-President of the Academy supervising the work of the relevant division (in case of the IO PAN – Division III).

PhD students are allowed to present their opinion and suggestions through the PhD Students Council, directly to the Director or to their supervisors.

Complaints regarding work conditions can be addressed to the Social Labour Inspector. Another platform is the Trade Union “Solidarność” active at the IO PAN.

The results of the questionnaire show that IO PAN researchers agree with this principle, and the level of formal implementation at the IO PAN is satisfactory. The consultations revealed that this principle is important for young researches, therefore the proper execution of this principle should be regularly monitored by the IO PAN Management.

Required Actions: None

35. Participation in decision-making bodies

Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution

Relevant legislation and existing rules and/or practices

There are two main decision-making bodies at the IO PAN: the Director and the Scientific Board. The Director manages the Institute and is aided by deputy directors and the Scientific Council. The IO PAN SC is responsible for continuously supervising the scientific activities of the Institute. The Scientific Council of the Institute is the highest decision-making body responsible for the acceptance of research programmes and annual reports, granting doctor degrees and other scientific activities. The Scientific Council also ensures a high level of execution of these activities including career development. The Scientific Council consists of IO PAN staff representing the entire research community of the Institute (senior researchers, two representatives of younger researchers and a PhD Students representative) and recognized external senior researchers with areas of expertise relevant to the research conducted at the IO PAN (one-third of the council members).

Active contribution to the functioning of the Institute and individual and collective interest protection and representation are also provided through:

- Regular monthly meetings of the Institute's Management with the Heads of Scientific Departments and quarterly meetings with the Heads of all units.
- Trade Union "Solidarność" activity
- Social Labour Inspector, elected for 4 years during a general meeting of all employees to ensure safe conditions of work as well as the protection of the rights of all employees.
- Periodic Committees (teams) for specific tasks appointed by the Director (e.g. to prepare specific internal regulations; a selection committee for the recruitment of "Oceania's" captain etc.)

The results of the questionnaire show that IO PAN researchers agree with this principle, and the level of implementation at the IO PAN is satisfactory.

Required Actions: None

IV. Research career training and development

36. Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

Relevant legislation and existing rules and/or practices

The IO PAN is very much aware of the importance of appropriate supervision for the development of early-stage researchers. Every PhD student has a scientific supervisor (senior scientist) from the beginning, often supported by a secondary supervisor with a PhD degree. They should consult each other and regularly evaluate the progress of the doctoral research, but also give assistance to young people in any matter they may need help with. The person appointed formally to consult and support PhD students and to evaluate the progress (based on supervisor reports) is the Head of the

Postgraduate Studies at the IO PAN. PhD students, on the other hand, are obliged to report their work progress and research findings to their supervisor and Head of PhD Studies. Other early-stage researchers (assistants) are supported and evaluated annually by direct scientific supervisor and by the Head of the Unit (Laboratory/Department). The Deputy Director for Scientific Research formally supervises the functioning of the PhD Studies and regularly consults the Head of the Postgraduate Studies.

PhD Seminars are held regularly (once a week) and are open to the public. Once a year (during the inauguration of the new academic year) third year PhD Students are obliged to present the progress of their doctoral research. Moreover, each of the 5 Scientific Departments organizes scientific seminars (between October-June, most often once a week, advertised on the IO PAN website page) where PhD Students may also present their progress and ask for advice from senior researchers.

Some of the abovementioned activities are regulated (PhD Studies regulations), some of the other are good practice (e.g. in case of assistants). The results of the questionnaire revealed that according to the respondents this principle is known and approved at the IO PAN but no formal regulations exist. Moreover, young researchers are not aware of the C&C principle including this principle. The HR WG decided to propose improvement actions.

Required Actions: improve Ph.D. students awareness of C&C principles, improve the relationship doctoral candidate/supervisor and IO PAN management representatives through e.g. annual meetings held by Deputy Director for Scientific Research with PhD students and assistants and their supervisors. (see also the Action Plan table)

37. Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

Relevant legislation and existing rules and/or practices

Senior researchers are engaged in different types of activities in terms of statutory research and national and international projects. They are obliged, and willing to encourage early-stage researchers to join/participate in all possible activities. Scientific supervisors encourage their students and young scientists to apply for grants, take part in conferences, workshops, project activities, dissemination actions for the public. IO PAN senior researchers represent a high standard of professional responsibility and so they try to observe this principle as much as possible.

This attitude is good practice and is not regulated in a formal way. This statement is confirmed by the questionnaire results.

The Head of the Postgraduate Study supervises the study programme as well as the scientific development of the young researchers.

Required Actions: None

38. Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

Relevant legislation and existing rules and/or practices

This principle is recognized by IO PAN researchers. Development for all staff categories is also one of the most important issues at the IO PAN management level. This is a part of the institutional vision of developing a creative community of scientists that are well equipped for today's changing world.

IO PAN researchers actively participate in conferences, workshops (national and international) which allows them to improve their research discipline. In most cases participation in these events is possible through project funds, however the IO PAN also offers support for researchers (mainly young researchers and others currently without their own (project) funds). On-site scientific events are also organized by the IO PAN. Foreign researchers, recognized specialists in their research area visiting the IO PAN are asked to give an open lecture for the IO PAN community.

Basing on the questionnaire and consultations results the HR WG discussed this principle's implementation at the IO PAN and suggested that the IO PAN should focus more on raising researchers' awareness of sharing the responsibility for the continuation of professional development. This is crucial in the context of short term funding and temporary contracts for young researchers and with the expectation that the majority of them will continue their careers outside the institute and academia. Awareness about developing skills and competencies, not only in the scientific area, but also in skills and competencies concerning managing research teams, promotion of research, administration of scientific research, interdisciplinary collaboration, scientific communication, commercialization of research results etc. should be raised.

Required Actions: improve young researchers awareness of C&C principles; establish means to support employees and PhD students efforts to increase professional qualifications by enabling them the participation in training, workshops, e-learning facilities (current information on such events, financial support, administrative support in the process of applying for participation in such events) **(see the Action Plan table)**

39. Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.

Relevant legislation and existing rules and/or practices

The IO PAN strives to provide researchers at all stages of their professional careers with an opportunity for professional development. The Research Coordination Office provides researchers with information concerning the development of professional skills, competencies and employability. The distribution of information on available posts/scholarships/training workshops/project calls is made regularly via e-mails or through personal communications. The IO PAN Management and

Research Coordination Office provides other specific information about the opportunities for training and development. Moreover, the IO PAN provides researchers and PhD students with an opportunity for professional development and improving their employability through access to measures for training and development (some funds are allocated by the Deputy Director for Scientific Research and distributed among the applicants according to the recommendations of the supervisor/Head of Department and/or dedicated Committee).

The above mentioned activities are not regulated in a formal way (but are a good practice). The results of the questionnaire revealed that according to the respondents this principle is known and approved at the IO PAN but no formal regulations exist. Young researchers suggests that principles governing the opportunities for professional development should be formalized.

Required Actions: establish or improve existing means to support IO PAN employees and PhD students efforts to increase their professional qualifications by enabling them the participation in training, workshops, e-learning facilities (current information on such events, financial support, administrative support in the process of applying for participation in such events), provide formal guidelines/rules for the opportunities for professional development through training, workshops, conferences, e-learning etc. **(see also the Action Plan table)**

40. Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

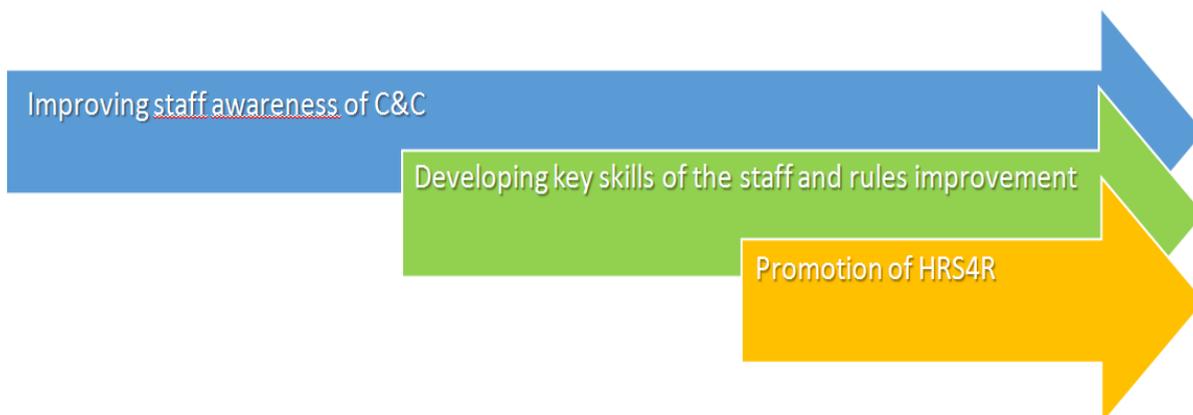
Relevant legislation and existing rules and/or practices

The IO PAN is very much aware of the importance of appropriate supervision of early-stage researcher development and their well-being at the IO PAN. The list of available supervisors (having the time, knowledge, experience, expertise and commitment) is updated every year before announcing recruitment for the PhD Study and is available on the IO PAN website. The list is accepted by the IO PAN Director. PhD Students are supervised and supported by the Head of the PhD Studies and the Deputy Director for Scientific Research. They are also represented in IO PAN SC meetings. The Student Council provides them with the possibility to address special needs (e.g. for advice) or problems. Other early-stage scientists (assistants and some adjuncts) also have representatives in the IO PAN SC, they can directly contact their supervisor/head of unit or Directors.

Required Actions: None

4. ACTION PLAN

The internal gap analysis has revealed that the IO PAN has to improve some of the existing HR management processes in order to fully adjust to the C&C principles. Three general aspects were identified in the process (see below).



The implementing of a set of tools, compliant with the HRS4R will allow introducing a new quality of HR management to the IO PAN. The whole process will last 4-5 years and, in fact, should be an ongoing activity to stimulate visible changes through awareness, skills development and redefining some rules (with active involvement of the research staff). While planning all implementing actions all fluxes of the staff (promotions, retirement of senior's, new PhD students) should be taken into account. The general role of the HR WG regarding the implementation of the HRS4R is to incorporate the existing processes in order to obtain effects in an efficient way. Changes that will take place should not be very time consuming, which is essential to researchers. Implementing the action plan step by step will enable creating a high quality, HR- aware environment at the IO PAN in a non-invasive way.

Action to be carried out

Basing on the outcome of the gap analysis, the members of the HR WG selected the principles that require support and improvement at the institutional level. The target group of the Action Plan are all research staff – persons engaged directly in research (researchers, professors, associated professors, adjuncts, assistants), PhD students, specialists, technicians. Special attention will be paid to young researchers as they are recognised as an essential part of the Institute's human resources. On the other hand, the questionnaire results revealed that the awareness of the C&C principles and their importance for successful professional career in this group is very poor.

For each principle the HR WG proposed relevant improvement actions, appointed a person or a department responsible for it and finally settled on a timeframe for implementation of these improvements. The Action Plan (AP) is presented in the Table below.

Action Plan Table

<i>C&C principle</i>	<i>Planned Action</i>	<i>Time Frame</i>	<i>Responsibility</i>
All principles	Conducting a number of dedicated meetings for the Institute employees and Ph.D. students to improve their awareness of C&C principles. Meetings will be organized and run by the HR WG members with help of the HR related officer from the Institute.	September 2016- December 2016	HR WG, Management
	Conducting meetings for new Ph.D. students and new employees to raise their awareness of C&C principles run by the HR WG members with help of the HR related officers from the Institute.	Ongoing process (every October)	HR WG, Management
	Creating information about HRS4R and relevant useful links on the IO PAN website	June 2016	HR WG, Research Coordination Office
7. Good practice in research	Organizing the dedicated workshop on data (research and personal data) securing and storing run by the Institute data management experts	October 2016	IT, Plenipotentiary for Protection of Classified Information
	Preparing internal Instruction for securing and storing computer data.	January 2017	IT, Management
8. Dissemination, exploitation of results	Organizing the dedicated workshop on commercialization of research results for all Institute employees and Ph.D. students run by external experts	March 2017	HR WG, Plenipotentiary for Innovation
	Organizing the dedicated workshop for the early stage researchers on preparing dissemination events run by external experts	January 2017	HR WG, Management
	Improvement of the IO PAN website (updated information available/homepages more user friendly)	Ongoing process	Head of Units, Research Coordination Office
9. Public engagement	Engaging mass and social media through a number of actions such as: an open day in the Institute for media representatives and general public, engagement of media into a	May 2016 - September 2016, then ongoing	Research Coordination Office

	Science Day organized by the IO PAN, through a promotion of the Picnic and then an event coverage, creating IO PAN accounts on Facebook/Twitter to announce events open to public/interact with young people/present IO PAN ongoing educational activities to a wider public.	process	
	Preparing educational film about AREX cruise on research vessel <i>Oceania</i> and the most important IO PAN research activities which will be available to a wider public (realization by external professionals from the Academic Computer Centre in Gdańsk)	June 2016- June 2017	Management
	Improvement of the IO PAN website	Ongoing process	Head of Units, Research Coordination Office
12. Recruitment 13. Recruitment (Code)	Including into the IO PAN <i>regulations on Competitive Selection Procedures for Research Positions</i> and the IO PAN <i>Ph.D. Study Recruitment rules</i> , the rule of applying the principles of the C&C in the process of recruitment Providing the information on career development prospects in research positions offers	October 2016	Deputy Director for Scientific Research, IO PAN SC
	Moving the IO PAN regulations on <i>Competitive Selection Procedures for Research Positions</i> and the IO PAN <i>Ph.D. Study Recruitment rules</i> (in polish) from the Intranet to the open access IO PAN webpage, preparing English version of the regulations	July 2016	Research Coordination Office
15. Transparency	Including into IO PAN regulations on <i>Competitive Selection Procedures for Research Positions</i> and the a IO PAN <i>Ph.D. Study Recruitment rules</i> , rule of applying the principles of the C&C in the process of recruitment Preparing rules and procedures of giving feedback on strengths and weakness of the applications for the research positions and Ph.D. studies (to be included in the above regulations).	October 2016	HR WG, Deputy Director for Scientific Research, IO PAN SC

	Preparing information about the potential career perspectives at the IO PAN (to be presented to the candidates during the Recruitment procedure); Moving the Recruitment Rules from the Intranet to the open access IO PAN webpage	October 2016	Research Coordination Office
16. Judging merit 17. Variation in a chronological order of CVs 18. Recognition of mobility experience, 19. Recognition of qualifications	Including into IO PAN regulations on <i>Competitive Selection Procedures for Research Positions</i> and the IO PAN <i>Ph.D. Study Recruitment rules</i> , the rule of applying the principles of the C&C in the process of recruitment.	October 2016	Deputy Director for Scientific Research, IO PAN SC
25. Stability and permanence of employment 26. Career development	Organizing a meeting for young researchers and PhD students with the Management representatives in order to better explain the IO PAN employment policy towards the Ph.D. program graduates and young researchers.	January 2017	Management
	Elaborate the internal document on the IO PAN specific career development strategy for researchers at all stages of their career	December 2017	
30. Access to Career advice	Organizing periodic meetings with Ph.D. students and assistants on the recent updates in career developments and opportunities based on the information from the Polish Academy of Sciences, Ministry of Science and Higher Education and business, as well as the EU agencies. The meetings will be run by the Research Coordination Office of the Institute and invited external experts.	Ongoing process (every October)	Research Coordination Office
	Intensifying information actions on the perspectives of professional career development through more regular e-mails and creation of "information center" on the IO PAN website with data on research stays, available positions outside IO PAN, training courses, calls for Polish and international grants etc. (accessible for all employees and Ph.D. students)	September 2016 - June 2017	Research Coordination Office/IT Department
31. Intellectual Property Rights	Organizing the dedicated workshop on Commercialization of research results for all Institute employees and Ph.D. students	March 2017	HR WG, Plenipotentiary for Innovation

	run by external experts		and Cooperation
36. Relation with supervisors	Organizing periodic annual meetings with Ph.D. students, assistants and supervisors	Ongoing process (every November)	Head of Ph.D. studies Deputy Director for Science Research
	Preparing the recommendations for Ph.D. thesis realization timetable helping PH.D students and assistants to finalize their program in a timely manner	October 2016	
38. Continuing Professional Development	Creating “information center” on the IO PAN website with data on research stays, available positions, training courses etc.	September 2016 – June 2017,	Research Coordination Office/IT Department
39. Access to research training and continuous development	Providing formal guidelines/rules for the opportunities for professional development at the IO PAN (through training, workshops, conferences, e-learning etc)	June 2017	Research Coordination Office Management

Further improvements regarding the implementation of the C&C principles listed in the Table will be proposed after receiving further suggestions from the researchers and will be adjusted to their needs.

As a result of discussions with Ph.D. students and due to the fact that formal improvements in Recruitment Rules should be approved by the IO PAN Scientific Council (SC) (October 2016) the HR WG suggested to perform the additional action (besides the formal actions listed in the table):

- during the Recruitment for Ph.D. Study for the academic year 2016/17, which will be held on 22 September 2016 candidates will be informed by the Recruitment Commission about the financing possibilities in the Institute/the potential career perspectives/strengths and weakness of their applications

Monitoring of the actions

The time line of the actions was thoroughly discussed within the **HR WG** and with persons responsible. The monitoring procedure includes:

- monitoring meetings hosted by people in charge of the actions at least once every six months
- yearly report of the **HR WG** on the progress in action plan execution
- an internal audit (HR WG members) on **AP** completion will be held in the second half of 2018 (according to the formal rules related to C&C); a report will be published on the website
- an external audit will be held in the second half of 2020 to evaluate the progress and improvement of the HR strategy at the IO PAN and its compliance with the principles of the C&C (according to the formal rules related to the C&C); a report will be published on the website; the procedure will be repeated every four years.

5. ACCEPTANCE

The Institute of Oceanology, Polish Academy of Sciences represented by Director Professor Janusz Pempkowiak fully accepts Human Resource Strategy for Researchers.

Sopot, 13th May 2016

DIRECTOR
Prof Janusz Pempkowiak

