



Human Resources Excellence in Research

Annex I

Amended version as of July 2018

to

INTERNAL GAP ANALYSIS AND ACTION PLAN

for the period 2016-2018

Sopot, July 2018

INTERNAL REVIEW

Name Organisation under review:

The Institute of Oceanology, Polish Academy of Sciences (IO PAN)

Organisation's contact details:

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Web-link to published version of organisation's HR Strategy and Action Plan:

<https://www.iopan.pl/IOPAN-HRS4R-resubmitted15may.pdf>

Web-link to organisational recruitment policy (OTM-R principles):⁴⁵

http://www.iopan.gda.pl/praca/0811_Terms_of_competitions.pdf

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 2ND JULY 2018

ORGANISATIONAL INFORMATION

I. NARRATIVE

Please consult the narrative on the strengths and weaknesses under the 4 thematic areas of the Charter and Code as provided in the initial submission of your organisation's HR Strategy. Have any of the priorities for the short- and medium term changed? Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? Are any strategic decisions under way that may influence the action plan?

The initial submission of the IO PAN's HR Strategy included the four following thematic areas as relevant to the organization:

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

As a result of the initial survey the following strengths and challenges were detected:

1. Strengths

The most highlighted item for which the level of implementation at IO PAN is high and therefore were identified as strengths included the following: Non-discrimination, Evaluation/appraisal system, 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.

2. Challenges

The most challenging items for which level of implementation at IO PAN was low, were the following ones: 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.

We have new circumstances in the IO PAN. These include new directorship, which has started on 1 January 2018. This results in the changes of the organizational structure of the institute as well as change in the attitude towards certain aspects of the HR policy, mostly in the OTM-R policy. Therefore, over a course of last 6 months we have been mapping the areas for improvement from a new perspective and new documents are being worked on by different departments of the IO PAN. Additionally, Polish research and university system is under changes, however, a real nature of these changes is still unknown, so our actions are undertaken with good faith of complying with the new/potential regulations.

However, as a result of the implementation of the Action Plan, a number of workshops and consultations have been carried out over a course of last 24 months. Additional training activities are planned in the near future. The output of those activities is such that all strengths remained on the satisfactory level and some of the challenges have been reduced or overcome.

We run consultation meetings with researchers of all four R levels. The highest number of consultations was made with young researchers and Ph.D. students. We assumed that this research group should be addressed in the first place. As a result young researchers in the IO PAN are aware of all the issues which had been listed as challenges. For example young researchers are motivated to seek positions in other institutions, especially those who completed their Ph.D. degrees. Also, through access to professional career advice they are also very aware of the value of mobility exploration of results, gender balance, etc. All documents regarding recruitment of Ph.D. candidates, the program regulations etc. have been translated to English. Therefore, the level of challenge in the RI is very low now.

Other job offer related documents are also in English and all our job offers are posted Europe-wide (EURAXESS portal).

Through our participation in a number of initiatives and institutions, such as, e.g. NAWA, KNOW, PAN, NCN projects, we increased possibilities for temporary employment for R2, R3 and R4 level scientists from all over the world.

There are a number of points, which we will have to address in the near future in order to fully comply with the requirements. These mainly include the OTM-R issues. These are as follows:

1. We need to work on better training of everyone involved in the OTM-R area.
2. We need to work out a quality control system for our OTM-R practices.
3. We need to work out means to monitor whether the most suitable researchers apply.
4. We need to review our OTM-R policy in order to attract underrepresented groups.
5. We need to work out clear rules for the composition of selection committees.
6. We need to improve the form of providing adequate feedback to interviewees.
7. We need to work out an appropriate complaint system.
8. We need to work out system to assess whether the OTM-R delivers on its objectives.

II. ACTIONS

Title action	Timing	Responsible Unit	Indicator(s) / Target	Current status
<p>All principles.</p> <p>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.</p>	September 2016-December 2016.	HR WG, Management.	<p>1 meeting in September and 1 meeting in December 2016 with Heads of the all Institutes Departments (about 20-person Member Team plus Directors).</p> <p>February 2017, Annual Conference at IO PAN.</p> <p>Meetings with PhD students – during the Inauguration of the Academic Year (October 2016, October 2017).</p>	Completed.
<p>All principles.</p> <p>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.</p>	Ongoing process (every October).	HR WG, Management.	<p>Meetings with PhD students – during the Inauguration of the Academic Year (October 2016, October 2017).</p> <p>5 new PhD students (October 2016). plus 7 PhD students (October 2017).</p> <p>New employees: during interview/before employment.</p>	Completed and still an ongoing process for new PhD students at the beginning of the Academic Year and for new employees during interview/before employment.
<p>All principles.</p> <p>Creating information about HRS4R and relevant useful links on the IO PAN website.</p>	June 2016.	HR WG, Research Coordination Office.	<p>Placing HR logo sticker/flashcard in 2 main visible/ locations: on the IO PAN front door, on the entrance to conference rooms.</p> <p>HR logo added to all information on IOPAN roll-ups, posters, presentations.</p> <p>New place/address on the front page of www.iopan.qda.pl was created with links to useful thematic information.</p>	Completed.
<p>7. Good practice in research.</p> <p>Organizing a dedicated workshop on data (research and personal data) securing and storing run by the Institute data management experts.</p>	October 2016.	IT, Plenipotentiary for Protection of Classified Information.	<p>These matters were discussed during management meetings with the Heads of the IO PAN Departments and Laboratories.</p> <p>Personal Data – officer for data protection had a meeting / training with a new IO PAN management (January 2018), which provided information to the lower levels.</p> <p>Research Data – the issue was discussed at management meetings with Heads of the IO PAN' Departments and Laboratories and other managerial staff members.</p>	Completed.
<p>7. Good practice in research.</p>	January 2017.	IT, Management	ARKUSZ DO RAPORTOWANIA DANYCH Z REJSU BADAWCZEGO (xlsx) – in Polish, Data reporting	Formal regulations under construction.

Preparing internal Instruction for securing and storing computer data.			sheet.	
8. Dissemination, exploitation of results. Organizing a dedicated workshop on commercialization of research results for all Institute employees and PhD students run by external experts.	March 2017.	HR WG, Plenipotentiary for Innovation.	8 May 2017 - Workshop on commercialization. Invited external expert – Director of the CTT UG (Center for Technology Transfer, University of Gdańsk). Participants: PhD students and employees (16 persons).	Completed.
8. Dissemination, exploitation of results. Organizing a dedicated workshop for the early stage researchers on preparing dissemination events run by external experts.	January 2017.	HR WG, Management.	12-13 April, 2018 - Workshop for young learners.	Completed.
8. Dissemination, exploitation of results. Improvement of the IO PAN website (updated information available/homepages more user friendly).	Ongoing process.	Heads of Units, Research Coordination Office.	Updating documents: The Code of Ethic for Science new/2nd edition Warsaw 2017, published by the Polish Academy of Sciences. Scientific careers placed on front webpage where all scientific job offers are published, together with links to: <ul style="list-style-type: none"> • Personal data form, • Terms of competitions for scientific positions (both in Polish and English). 	Ongoing process. Action extended as it should be still an ongoing process for developing excellence, easy to navigate tools. In preparation. A IO PAN webpage is planned to be changed in 2018.
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 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.	May 2016 and September 2016, then ongoing.	Research Coordination Office.	In Sopot – Science Picnic of IO PAN – in the range of Sopot Science Day (June 2017, May 2018) - radio, Tri-City, You Tube, Facebook). In Gdynia – March 2017 - Kolosy 2017 (AREX 2016 - film). In Warsaw – Science Picnic of the Polish Radio and the Copernicus Science Center (June 2017, June 2018). In Olsztyn – Science Day, June 2018. Info on IO PAN' webpages: http://www.iopan.gda.pl/news.html http://www.iopan.gda.pl/media.html	Ongoing process.
9. Public engagement. Preparing an educational film about AREX cruise on	June 2016 - June 2017.	Management.	AREX 2016 – an educational film made by the TASK TV. In addition, AREX 2017 Discovery,	Completed.

<p>research vessel Oceania 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 - TASK)</p>			<p>popular science article "Sea Change" in Canadian biographic from the Arctic cruise on Institute's r/v Oceania.</p> <p>Advertising films of scientific projects (for example – NCBiR film about DWARF project).</p>	
<p>9. Public engagement. Improvement of the IO PAN website.</p>	Ongoing process.	Heads of Units, Research Coordination Office.	All departments updated their data on their subpages/posters. Consultancy on requirements for the new, more modern website.	Plan for 2018 – ongoing process (updated posters – June 2018 – completed).
<p>12. Recruitment. 13. Recruitment (Code). Including into the IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN PhD Study Recruitment rules, 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.</p>	October 2016.	Vice Director for Research, IO PAN Scientific Council.	New clause /new items to regulation paragraphs were added. Those were accepted and approved by the Scientific Council.	In progress. Preparation of new regulations based on the OTM-R.
<p>12. Recruitment. 13. Recruitment (Code). Moving the IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN PhD Study Recruitment rules (in Polish) from the Intranet to the open access IO PAN webpage, an English version of the regulations.</p>	July 2016.	Research Coordination Office.	Document translated into English and downloaded to the Scientific carrier webpage, in an open access mode.	Completed.
<p>15. Transparency. Including into the IO PAN regulations on Competitive Selection Procedures for Research Positions and the a IO PAN PhD Study Recruitment rules, rule of applying the principles of the C&C in the process of recruitment.</p>	October 2016.	HR WG, Vice Director for Research, IO PAN Scientific Council.	Some rules have already been prepared and implemented.	Some additional rules and regulation items to be elaborated and hence implemented.
<p>15. Transparency. Preparing rules and procedures of giving</p>			<p>In preparation. Some examples /guidelines have already been prepared.</p>	Planned to be done by November 2018.

<i>feedback on strengths and weakness of the applications for the research positions and PhD studies (to be included in the above regulations).</i>				
<p>15. Transparency.</p> <p><i>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.</i></p>	October 2016.	Research Coordination Office.	<i>In preparation, according to the checklist.</i>	<i>To be developed on the basis of the OTM-R recommendations/ checklist.</i>
<p>16. Judging merit.</p> <p>17. Variation in a chronological order of CVs.</p> <p>18. Recognition of mobility experience.</p> <p>19. Recognition of qualifications.</p> <p><i>Including into IO PAN regulations on Competitive Selection Procedures for Research Positions and the IO PAN PhD Study Recruitment rules, the rule of applying the principles of the C&C in the process of recruitment.</i></p>	October 2016.	Vice Director for Scientific Research, IO PAN Scientific Council.	<i>These requirements are included in the recruitment process.</i>	<i>Ongoing process.</i>
<p>25. Stability and permanence of employment.</p> <p>26. Career development.</p> <p><i>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.</i></p>	January 2017.	Management.	<i>The meeting had been made.</i>	<i>Completed.</i>
<p>25. Stability and permanence of employment.</p> <p>26. Career development.</p> <p><i>Elaborate the internal document on the IO PAN</i></p>	December 2017.		<i>In preparation.</i>	<i>Not completed.</i>

<i>specific career development strategy for researchers at all stages of their career.</i>				
30. Access to Career advice. <i>Organizing periodic meetings with PhD 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.</i>	<i>Ongoing process (every October).</i>	<i>Research Coordination Office.</i>	<i>In preparation.</i>	<i>Not completed/Ongoing process/In preparation – October 2018.</i>
30. Access to Career advice. <i>Intensifying information actions on the perspectives of professional career development through more regular emails and creation of an "information center" on the IO PAN website with data on research stays, available positions outside the IO PAN, training courses, calls for Polish and international grants etc. (accessible for all employees and PhD students).</i>	<i>September 2016 - June 2017.</i>	<i>Research Coordination Office/IT Department.</i>	<i>Special place created on the Board in an open space at the Institute hall where updated job/ grant offers are presented regularly. Emails are sent to PhD students with information about various opportunities and job openings. "Information centre" has been developed under the HR folder on webpage, e.g. EURAXESS info on the monthly basis.</i>	<i>Ongoing process.</i>
31. Intellectual Property Rights. <i>Organizing a dedicated workshop on Commercialization of research results for all Institute employees and PhD students run by external experts.</i>	<i>March 2017.</i>	<i>HR WG, Plenipotentiary for Innovation and Cooperation.</i>	<i>Offers for such workshop organization have been sent out.</i>	<i>Not completed.</i>
36. Relation with supervisors. <i>Organizing periodic annual meetings with PhD students, assistants and supervisors.</i>	<i>Ongoing process (every November).</i>	<i>Head of PhD studies. Vice Director for Research.</i>	<i>Reporting session (e.g. PhD students).</i>	<i>Ongoing process.</i>
36. Relation with supervisors.	<i>October 2016.</i>	<i>Head of PhD studies.</i>	<i>Regular meetings are organized to share the relevant information.</i>	<i>Ongoing process.</i>

<i>Preparing recommendations for PhD thesis realization timetable helping PhD students and assistants to finalize their program in a timely manner.</i>		<i>Vice Director for Research.</i>		
<p>38. <i>Continuing Professional Development.</i></p> <p>39. <i>Access to research training and continuous development.</i></p> <p><i>Creating "information center" on the IO PAN website with data on research stays, available positions, training courses etc.</i></p>	<i>September 2016 – June 2017.</i>	<i>Research Coordination Office/IT Department.</i>	<i>Webpage under the HR link with relevant information.</i>	<i>Ongoing process.</i>
<p>38. <i>Continuing Professional Development.</i></p> <p>39. <i>Access to research training and continuous development.</i></p> <p><i>Providing formal guidelines for the opportunities for professional development in the IO PAN (through trainings, workshops, conferences, e-learning etc.)</i></p>	<i>June 2017.</i>	<i>Research Coordination Office Management.</i>	<i>E-mails with relevant information are sent regularly to the interested persons.</i>	<i>Ongoing process.</i>

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles:

The implementation of the OTM-R recruitment principles is an ongoing process in the IO PAN. This is related to a number of issues. Firstly, Polish Research and Academia system is undergoing fundamental changes, and thus new regulations appear frequently and/or are planned for the future.

Secondly, the IO PAN, as of 1 January 2018, has a new team of directors, who are keen on implementing the OTM-R principles, however, the IO PAN internal regulations need to be adjusted to the HR policy. These changes must be confirmed by the decision of the Scientific Council of the IO PAN, and such assemblies happen three times a year, in February, June and October/November, which limits the speed of changes.

The HR team of the IO PAN is currently working on the changes of the internal regulations and match their points with the OTM-R requirements. We have mapped the areas for changes/improvement and made a plan for their transformation to match the OTM-R requirements. We do plan, that our final OTM-R Recruitment principles document will be ready by the end of the year, the latest.

Meanwhile, we implement certain aspects of the OTM-R principles, such as e.g. increase openness to foreign students, through the preparation of all recruitment regulations in English. All job openings are advertised Europe-wide, e.g. through the EURAXESS. We also provide consultations with the IO PAN employees regarding the recruitment policy changes in the institute.

III. IMPLEMENTATION

The IO PAN has established a HR team, which consists of members from different organizational areas. Over a course of implementation process the IO PAN HR team has worked on the HR issues during the entire 24 months. Members of all research groups were involved in the review process. As a result a map of proper actions and regulations and those which need improvement and/or changes has been made. These are described in this internal review. The same team carries out regular progress monitoring and is directly involved in the process of the HR issues, including the OTM-R Recruitment principles.

The result of the internal review is such, that we have full knowledge and thus awareness regarding the necessary changes and adjustments to be made between our own organisational policies with the HRS4R.

The IO PAN research community is a key partner for the HR team in preparations of the HR policies. New regulations on the recruitment and career development are discussed with members of the research community of the IO PAN. We carry on such discussions in a form of consultation meetings. The new regulations are accepted by the director of the IO PAN and then presented at the assembly of the Scientific Council of the IO PAN. The first set of such changed regulations, including the Ph.D. program rules, has been accepted in February 2018. From the moment of their acceptance by the Scientific Council, they are directly implemented in the organisation.

We plan to have vast majority of necessary regulations and policies meet the HR requirements and fully implemented throughout the IO PAN by the end of the year. These will be communicated to all IO PAN employees and posted on the company webpage, which is also under reconstruction. At this point we will be ready for the external review. The rest of the regulations, especially those which change with time will be updated on the regular basis.