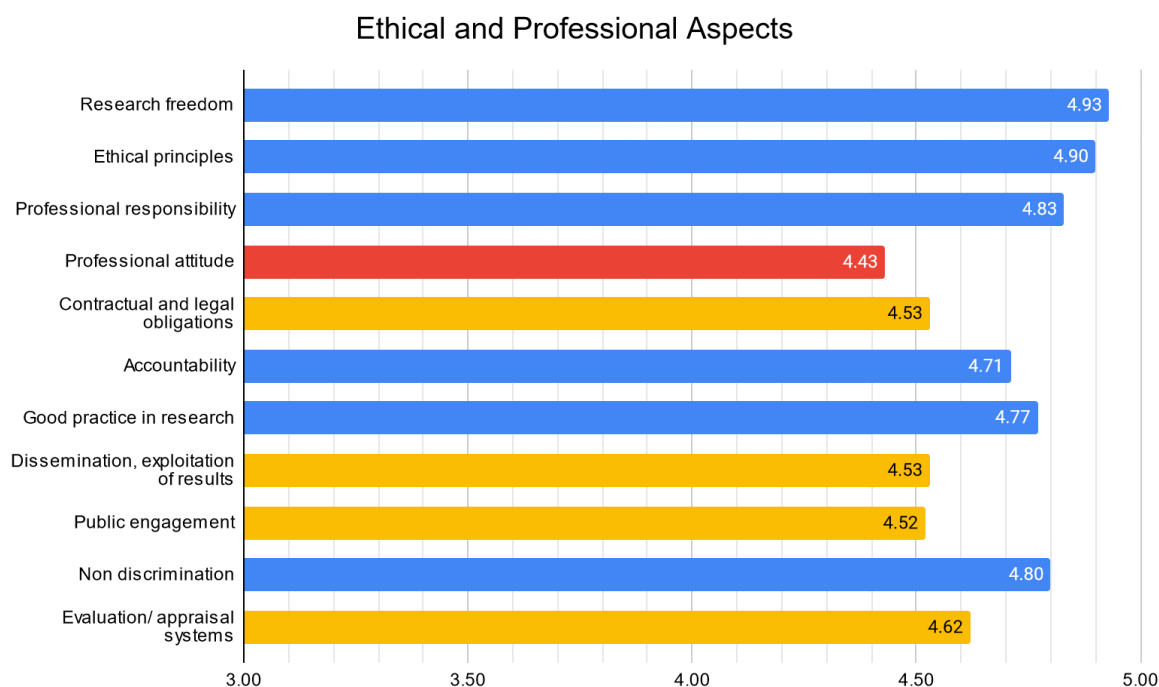


HRS4R Survey Results and GAP Analysis – IHN PAN

Survey results

The survey's results are divided into four sections, corresponding to four big categories of rules and principles from the Code and the Charter. As explained in the introduction, we do not adopt any arbitrary threshold for evaluating whether the result is good or bad (for example 4.5 or 4.0) due to a huge variance of results between different sections. For each section, we try to adopt an individual approach and understand the relevant concerns and challenges. Not only that, our assessment of every section is based on written feedback of the survey's participants, which play a crucial role in our action plan. The general average of results from the entire survey is **4.45**.

1. Ethical and Professional Aspects

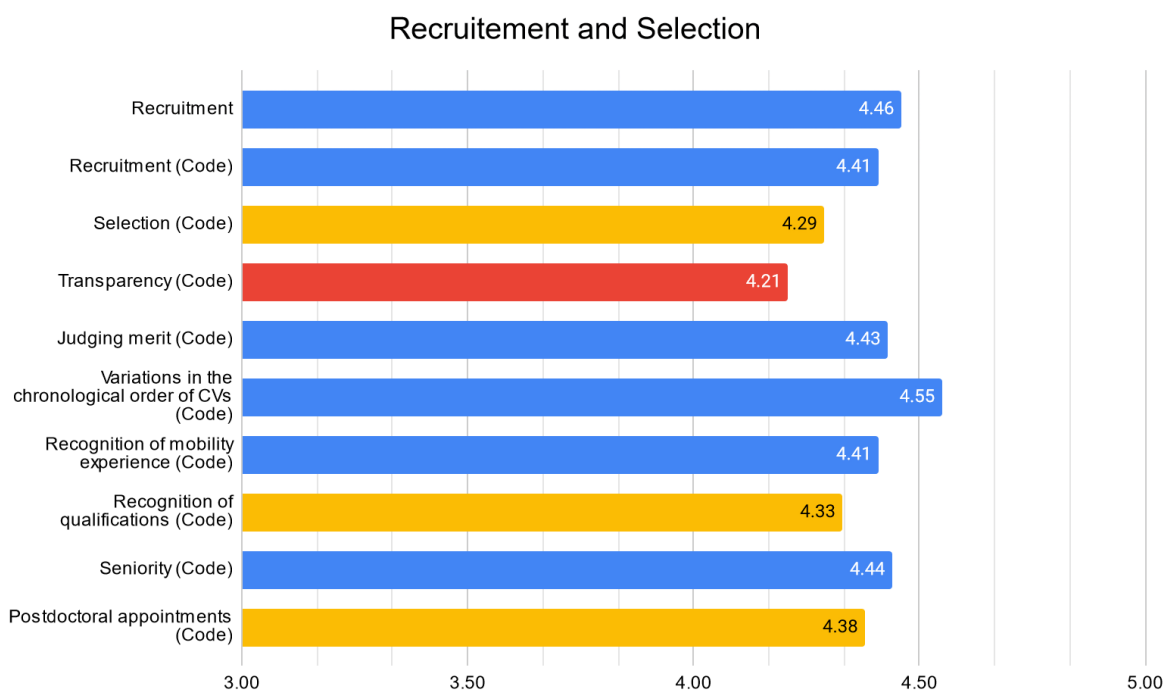


The “Ethical and Professional Aspects” section was overall the most positively evaluated section of the GAP Analysis (based on the internal survey) with an average grade of 4.69/5. “Research Freedom” is, in fact, the highest-ranked question in the entire survey (4.93). Many other principles from this section also stand on a very high level (Ethical Principles, Professional Responsibility, Good Practice in Research, and Non-Discrimination) and they do not require any action. At the same time, we feel at the Institute that, precisely because of these good results, the principles should be enshrined in the Institute’s mission statement and its long-term development strategy; these would become the Institute’s core values so to speak.

Four principles are slightly below the section’s average: “Contractual and legal obligations”, “Dissemination, exploitation of results”, “Public engagement” and “Evaluation/appraisal systems”. They all deserve monitoring, further discussions, and can be addressed through small corrections in the periodic assessment policy. However, we do not consider them a top priority in our action plan due to a good overall result of the section; all of these stand above the survey’s general average (4.45).

The exception is the question on “Professional Attitude”, which is the lowest-ranked question in this section (4.43), as it stands below the survey’s general average (4.45) and is substantially worse ranked than the most successful question (4.93). According to the feedback, frequent revisions of regulations may be the cause of this poor result, which may be also behind the lower grade of the “Contractual and legal obligations” question. It appears that some researchers are not fully familiar with funding mechanisms and strategic goals governing the Institute’s research environment and that these strategic goals are not clearly formulated; a topic that should be explicitly addressed in the Action Plan. Notably, the Action Plan will propose measures to train employees in relevant areas and prepare a mission statement to better anchor its activities.

2. Recruitment and Selection



The second section, Recruitment and Selection, is considerably lower rated than the first one, with an average grade of 4.39. All the feedback from this section concerned the fact that many people were not familiar with recruitment procedures at all, and therefore they did not answer relevant questions.

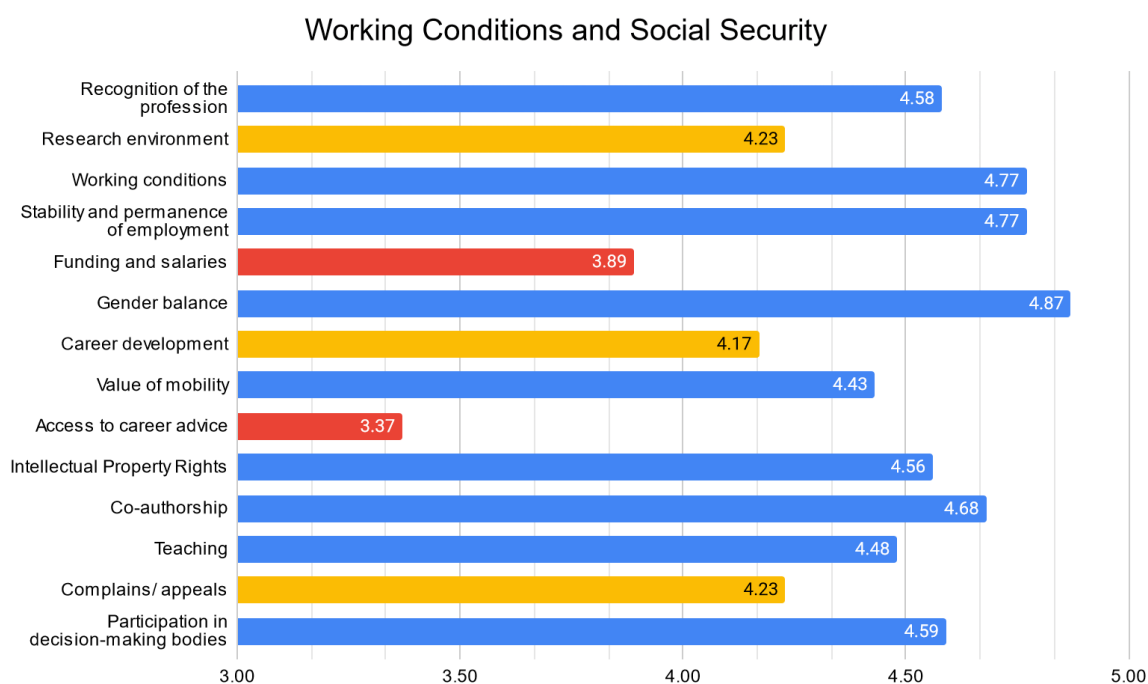
Some principles fare well enough (Recruitment, Recruitment (Code), Judging Merit (Code), Recognition of mobility experience (Code), Seniority (Code), and in particular Variation in the chronological order of Cvs (Code)) and will require only minor amendments to the existing practices to address them through the OTM-R policy, the periodic assessment policy, and the Institute’s mission statement.

The below-average questions include “Selection (Code)”, “Recognition of qualifications (Code)”, and “Post-doctoral appointments (Code)”. All of these deserve monitoring. It appears that postdoctoral positions are a rare occurrence among the Institute’s employees, which may explain the low score, since people are simply not familiar with this type of employment. As for the problem of the composition of the selection committees and their familiarity with various qualifications, it should go under closer inspection in the action plan.

However, it was the “Transparency (Code)” that was the lowest-rated question of all in this section (4.21), suggesting that the candidates may not be, prior to the selection, sufficiently informed about the selection criteria and that the Institute does not have a clear information policy on career development.

Overall, since the average grade of this section is low and the problems interrelated, the action plan should include a comprehensive strategy concerning the recruitment and selection of candidates, in line with the results of the OTM-R.

3. Working Conditions and Social Security



The average note of the section “Working Conditions and Social Security” is 4.4, so slightly higher than the previous one. It is, however, characterized by a much bigger variance of results. On a positive note, “Gender Balance” (4.87) is the highest-rated question in the section and the third highest in the entire survey. Many other questions are also highly ranked, such as “Working Conditions” (4.77) and “Stability of Employment” (4.77), indicating that the Institute is a friendly workspace; a feature that will make part of the Institute’s core identity in the new mission statement.

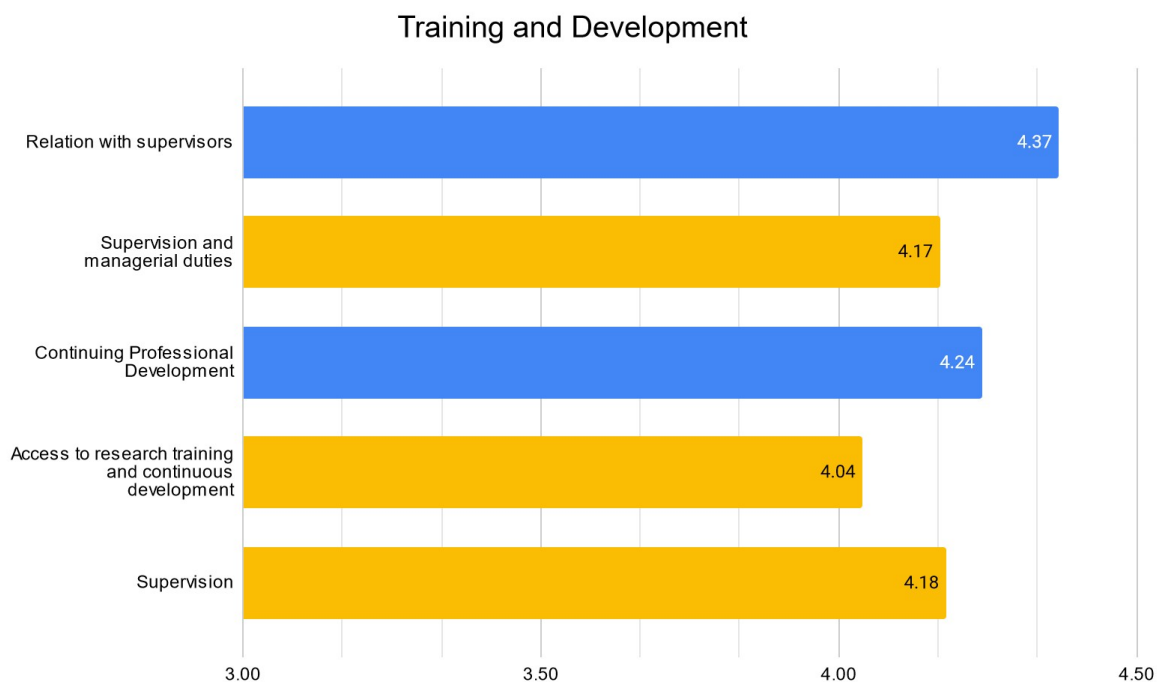
As for shortcomings, they can be divided into three categories. First of all, the question “Complaints/appeals” is a category apart (4.23). Not only did it have a rather poor result, but one commentator indicated he or she was not familiar with such procedures at all,

which may suggest the necessity of formalizing them more explicitly in the Institute's internal regulations, alongside anti-discrimination and anti-mobbing policies.

The second category includes questions on "Research environment" (4.23) and "Funding and salaries" (3.89). They can be grouped together because they refer to the same problem: underfunding. One of the respondents indicated that the financial situation of the Institute is "dramatically bad", and the vast majority of feedback in this section concerned very low salaries as well as the fact that the Institute is unable to provide even basic equipment. These issues are, of course, outside the Institute's competence as such and concern the employees and the directorship equally. However, the action plan envisages implementing measures that would alleviate them, at least to some extent.

The final category concerns the problem of careers. Employees feel that the Institute's "Career Development" (4.17) strategy is not robust enough and, more importantly, that they lack "Access to Career Advice" (3.37). The latter question is the lowest-ranked in the entire survey indicating that immediate action is needed to address the problem. Interestingly, some feedback from the respondents appears to suggest that such professional advice is outside of the Institute's competence, which only reinforces the conclusion that a culture shift is necessary in this respect.

4. Training and Development



The last section, "Training and Development" has the lowest average score out of all (4.2) even if none of the areas stands out as particularly bad as the variance of results is very low. The results point out that there are clearly problems concerning supervision and professional development in the Institute and "Access to research training and to continuous development" is particularly limited. Many of these challenges were already somewhat expressed in the previous section concerning career development.

The feedback from the respondents justly points out that some of these problems stem from the lack of funding and the Institute has limited space for maneuver in this respect.

Still, some of them can be at least partly solved internally through better resource management, and are therefore discussed in the action plan. Overall the entire section deserves to be monitored and regularly evaluated in the coming years.

Gap Analysis

	Implementation	GAP/Implementation Impediments	Initiatives undertaken/new proposals
1. Research Freedom	++	4.93/5. Research freedom was the highest-rated answer in our Gap Analysis.	While no action is necessary, research freedom will be enshrined as the Institute's core value in the Institute's future development strategy and mission statement.
2. Ethical Principles	++	4.9/5. This was one of the highest-rated answers. The Institute follows the Code of Ethics for Researchers established by the Polish Academy of Sciences (https://instytucja.pan.pl/images/2021/CodeofEthicsForResearchersThirdEdition.pdf). Ethical Committee of the Polish Academy of Sciences operates within the headquarters in Warsaw.	No action required
3. Professional responsibility	++	4.83/5.	No action required
4. Professional attitude	+/-	4.43/5. This was the worst-rated principle in the first section of the Gap Analysis (<i>Ethical and Professional Aspects</i>). Researchers are not fully familiar with funding mechanisms and strategic goals governing the Institute's research environment, or the strategic goals are not clearly formulated.	The Institute will 1) develop a mission statement to better outline its long-term strategy, 2) host a series of seminars/communication initiatives to better inform its employees about the place of the Institute in the research panorama.
5. Contractual and legal obligations	+/-	4.53/5. A few employees declared they were unfamiliar with the legal landscape of their research activities, including in the field of IP.	As above, measures will be taken to introduce these issues to scientists through guides or seminars.
6. Accountability	++	4.71/5. The Institute has a full-time financial officer taking care of the transparency in funding. The question of open data is rarely raised due to the nature of the research conducted in the Institute.	No action required
7. Good	++	4.77/5. There are no issues	Appropriate actions will be taken to

Practice in research		regarding confidentiality protection in the Institute's research. There is also no need for specific training in safety conditions (no dangerous laboratories). However, there may be difficulties regarding new challenges within the academia, such as the proliferation of predatory publishers and the use of AI in scientific publishing.	raise awareness of new challenges in research practice.
8. Dissemination, exploitation of results	+/-	4.53/5. According to some employees, the Institute's research dissemination policy is not fully satisfactory. While many researchers engage in popularization, the Institute lacks a coherent policy on the topic. Due to the character of the Institute's research, the issue of commercialization of results was not raised.	The issue of public engagement will be raised in a series of actions aiming to encourage researchers to engage the wider public. As of now, the Institute's researchers undertook a collaboration with the public broadcaster to produce short history of science articles on a regular basis. Moreover, many of our scholars are already very active in the field of popularization (e.g. the collaboration within Robert Szaj's Nicolaus Copernicus Foundation) and publish blog posts and press articles on their personal websites and social media. Overall, public engagement/dissemination will be incorporated into the annual evaluation of researchers and better promoted on the Institute's website and in its newsletter to highlight the vast range of popularization activities from the Institute's scholars.
9. Public engagement	+/-	4.52/5. The Institute's public engagement policy is not fully satisfactory.	An appropriate strategy (or at least a working group) on the place of public engagement in the Institute's activities will be established.
10. Non-discrimination	++	4.8/5.	No action required. In order to strengthen the anti-discrimination policy, the Equality Commission will be established in the Institute, which will include in its statutes the appropriate anti-mobbing procedures.
11. Evaluation/appraisal system	+/+	4.62/5. While the appraisal system is generally viewed positively, it is linked to the national evaluation system that is exclusively bibliometric-based.	In principle, no action is required, but the public engagement activities will be more highlighted in periodic assessments.

12. Recruitment	+/-	4.46/5. The recruitment procedure is based on national legislation and internal regulations of the Institute. However, some employees are not fully aware of the existing procedures.	While there is an internal regulation on recruitment, it is not published on the Institute's website. The regulation, along with the new OTM-R policy, will be published on the Institute's website.
13. Recruitment (Code)	+/-	4.41/5. The Institute does not have a full-fledged OTM-R policy, even if many of its principles are followed implicitly during the recruitment.	The OTM-R policy will be published on the Institute's website.
14. Selection (Code)	-/+	4.29/5. The mode of functioning and the composition of selection committees are not clearly specified. The recruitment does not involve international and intersectoral representatives.	The selection committee members will have to familiarize themselves with OTM-R rules, and the composition of the committees will become formalized, with a special focus on engaging recruiters from outside the Institute.
15. Transparency (Code)	-/+	4.21/5. This was the worst-rated principle in the Recruitment and Selection section. 1) Candidates are not sufficiently informed about recruitment procedures 2) applicants are not informed about the strengths and weaknesses of their applications.	-OTM-R policy will specify the information that must be communicated to applicants prior to application. -The rejected candidates will receive appropriate feedback.
16. Judging Merit (Code)	+/-	4.43/5. The applications should be judged against a set of explicit criteria, and especially not exclusively against bibliometric criteria.	The selection committees will be trained in appropriate OTM-R rules, and the Institute will develop a comprehensive recruitment strategy (part of the mission statement)
17. Variations in the chronological order of CVs (Code)	+/+	4.55/5. Career breaks or variations in the chronological order of CVs are not intentionally penalised.	No action required
18. Recognition of mobility experience (Code)	+/-	4.41/5. The mobility is not sufficiently appreciated in the career paths of the already employed researchers.	Mobility (national, international, sectoral, professional) will take a more prominent place in the career development plans and will be more explicitly required in the recruitment of new candidates. The Institute will gather information and encourage the construction of mobility schemes in the framework of, for example, Erasmus +, CEEPUS and MOST.
19. Recognition	-/+	4.33/5. The Institute does not sufficiently recognise the variety of	The recruitment procedures will make use of tools such as, for

of qualifications (Code)		qualifications, especially in career development paths.	example, https://www.enic-naric.net/
20. Seniority	+/-	4.44/5. There is a certain lack of clarity in terms of qualifications required for further positions in the career development path	The career development policy will clarify these issues.
21. Postdoctoral appointments (Code)	+/-	4.38/5. There is no specific procedure for postdoctoral appointments since there are no post-docs in the Institute.	The postdoctoral status will be explicitly introduced in the Institute's recruitment policy.
22. Recognition of the profession	+/+	4.58/5. All researchers pursuing a research career are recognized as professionals and are treated accordingly.	No action required
23. Research Environment	-/+	4.23/5. The equipment in the Institute is obsolete and insufficient for its employees due to extremely low-funding.	The space for manoeuvre is limited due to the small budget (state funds), but the Institute will provide additional trainings on grant and fellowship acquisition.
24. Working conditions	+/+	4.77/5. In principle, the Institute provides flexibility and work/life balance.	No action required
25. Stability and permanence of employment	+/+	4.77/5. The vast majority of the Institute's employees are on permanent contracts.	No action required
26. Funding and Salaries	-/-	3.89/5. The Institute is underfunded and does not provide adequate salaries	-The Institute will further support applications for external grants. -The Institute will organize appropriate trainings about the funding landscape. -The Institute will support collective actions for increasing salaries in academia.
27. Gender Balance	++	4.87/5. Gender Balance is the third highest-ranked question in the survey.	While no action is necessary, Gender Balance will be enshrined as the Institute's core value in the Institute's new development strategy and mission statement. The Equality Commission will further work on strengthening the Institute's commitment to equality and non-discrimination.
28. Career development	-/-	4.17/5. The Institute does not provide any career development plan and does not provide	The Institute should draw up a specific career development strategy for researchers at all stages of their

		mentorship for younger researchers.	career, regardless of their contractual situation, for researchers both on permanent and fixed-term contracts. It should comprise the availability of mentors involved in providing support and guidance for researchers' personal and professional development, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.
29. Value of mobility	+/-	4.43/5. The value of mobility could be more explicitly recognized in the evaluation of researchers.	Mobility will be included in the periodic assessment of researchers.
30. Access to career advice	-/-	3.37. This is the worst-rated question in the entire survey. There is no formal access to career advice and no clarity about the career development path.	As explained in point 28: The Institute should draw up a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, for researchers both on permanent and fixed-term contracts. It should comprise the availability of mentors involved in providing support and guidance for researchers' personal and professional development, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.
31. Intellectual Property Rights	+/-	4.56/5. There is no specific instruction concerning IP rights in the Institute.	In principle, no action is required, but the training on IP rights may be a part of the instructional seminars organized at the Institute, if the employees decide so in a survey.
32. Co-authorship	+/+	4.68/5	No action required
33. Teaching	+/-	4.48/5. The teaching activities are not sufficiently appreciated in periodic performance assessments.	Teaching activities will be explicitly recognized as valuable on par with research. It is important to highlight though that the Institute is a full-

			time research unit, and teaching activities are accessory to its main mission.
34. Complains/appeals	-/+	4.23/5. There is no procedure for solving internal conflicts at the Institute.	The Equality Commission, as well as the Complaints Commission (to be established), will prepare an appropriate framework against mobbing, negligence, and similar violations. A clear procedure will be published on the Institute's website to provide necessary information.
35. Participation in decision-making bodies.	++	4.59/5. There is a broad scientific council with members from all units and with different levels of professional experience.	No action required
36. Relation with supervisors	+/-	4.37/5. The relationship with the supervisors is not sufficiently explained.	The relations with the supervisors will be addressed in the regulations devoted to Ph.D. Candidates and separately, for researchers at the later career stages, in the career development plan.
37. Supervision and managerial duties	-/+	4.17/5. Senior researchers are providing insufficient attention to their role as supervisors and mentors.	The periodic performance assessment will include the evaluation of the supervision activities of senior researchers.
38. Continuing professional development	-/+	4.24/5. There is no career development plan at the Institute, and access to professional trainings is limited.	The career development plan will be established, and the Institute will support the organization of thematic seminars and trainings.
39. Access to research training and continuous development	-/+	4.04/5. Access to research and training is limited at the Institute.	The Institute will support the organization of theme seminars and trainings. A survey will be organized to consult the employees about the type of trainings they would be interested in.
40. Supervision	-/+	4.18/5. As stated above, the supervision is not sufficiently formalized, and the supervisor's obligations are unclear.	The relations with the supervisors will be addressed in the regulations devoted to Ph.D. Candidates and separately, for researchers at the later career stages, in the career development plan.