

### Important message to institutions:

Due to exceptional circumstances linked to COVID19, processing of HRS4R applications might suffer additional delays. Moreover, in the context of extraordinary measures taken at national level (e.g. universities or other institutions closed), all self-assessment deadlines between 15 March and 30 May can be extended by one or two months, depending on your needs. You only need to apply for an extension electronically in your dashboard or, if you need more than one month extension, send an email to the functional mailbox: [RTD-CHARTER@ec.europa.eu](mailto:RTD-CHARTER@ec.europa.eu).

**Site Visits:** All in house audits planned for April through June (and possibly July and August - depending on how the pandemic situation evolves) are cancelled. HRS4R experts and/or EC will contact you in due course to arrange additional dates. No site visits dates will be set before the situation both at EU and national level stabilises. Meanwhile, you can continue using the HR Excellence in research award.

**Remote assessments:** We will continue processing remote evaluations within the limits of HRS4R experts' availability and the special circumstances of EC staff being on mandatory teleworking. Please note that evaluation and communication of outcome might incur further delays.

## GAP Analysis (Charter and Code Checklist)

**Case number:** 2019PL437070

**Name Organisation under review:** Institute of Pharmacology Polish Academy of Sciences

**Organisation's contact details:** Smetna street 12, Cracow, PL31343

**Date endorsement charter and code:** 16/08/2019

## GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

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

- **Status** : to what extent does this organisation meet the following principles?
- **Implementation (++, +/-, -/+, --)** :
  - 🔍 ++ fully implemented
  - 🔍 +/- almost but not fully implemented
  - 🔍 -/+ partially implemented
  - 🔍 -- insufficiently implemented
- **GAP** : In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation.
- **Implementation impediments** : If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- **Initiatives undertaken/new proposals** : If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

### Status

### Ethical and Professional Aspects

#### 1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	In general, researchers at Maj Institute of Pharmacology, Polish Academy of Sciences (IP PAS) enjoy the research freedom within the scope corresponding to their interests. Free selection of research methods and practices in their research is acknowledged. This opinion was confirmed by approximately 78% of the survey respondents. Identified limitations arise mainly as a result of budgetary reasons.	No action required, however there will be continued periodical meetings organized at IP PAS with grant funding agencies showing the opportunity of various funding programs existing in Poland and EU.

#### 2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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++ fully implemented	96.4% respondents declared familiarity and compliance with the ethical principles. Ethical Code for Researchers is available at the website of IP PAS. Ethical Committee of the Polish Academy of Sciences exists in headquarters in Warsaw.	No action required.
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### 3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	98.7% respondents declared following the rules of professional responsibility. There is implemented the Ethical Code for Researchers at IP PAS.	No action required.

### 4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Individual commitments of researchers regarding, among others conducting research, dissemination of results, are included in the scope of obligations that form part of the employment contract. The issue of originality and standards of conducting research is regulated by Polish law, included in Law on copyright and related rights. Moreover, the in-house journal (Pharmacological Reports) checks all the manuscripts for potential plagiarism during the submission process.	No action required.

### 5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	80.4% respondents declared that are familiar with the national and institutional regulations governing training and working conditions. Internal regulations regarding the management of intellectual property rights exists. Establishment of the Technology Transfer Center at IP PAS supports employees intending to commercialize the results of their research.	No special action required, however the national and internal regulations will be gathered on IP PAS website in order to provide better, more clear access to them.

### 6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	94.0% respondents declared that the data are open to internal and external scrutiny, whenever necessary and if requested by the appropriate authorities. Nevertheless, there is no open research data repository available at the Institute.	The host institution (IP PAS) is going to introduce (2022) the Open Research Data Repository available for all researchers employed at IP PAS. No access restriction is planned if only not interfering with other regulations (i.e. publication copyrights). It is planned that the data will be stored in the repository up to 10 years. Data in the repository will be stored in their original, raw format. In case this will be the unique format not readable for commonly used software, the data will be additionally converted into the common file formats (i.e. txt, xlsx, docx, pptx, tiff, jpg, pdf).

### 7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Almost all respondents (94.0%) declared that they are 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. GDPR officer was recently engaged in the process of data protection. All staff of the IP PAS is trained regarding safety conditions of working place every 2 years. Safety officer is employed by IP PAS and available on site. Risk analysis was issued by the Director of IP PAS recently and announced to the researchers. In general we follow the "Code of National Science Centre on Research Reliability and Applying for Research Financing"	No action required.

**8. Dissemination, exploitation of results**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	There were identified some problems with commercialization of scientific research as identified by 76.8% respondents (with only 3.7% declaring the engagement in commercialization). No engagement of scientific staff in R&D projects, however there are existing collaborations with R&D companies and pharmaceutical industry. The accessibility of the results to the public was considered on the moderate level.	1. Implementation of R&D PhD program at IP PAS (following the rules established recently by the Ministry of Science and Higher Education: <a href="http://www.bip.nauka.gov.pl/doktorat-wdrozeniowy/komunikat-ministra-nauki-i-szkolnictwa-wyzszego-z-dnia-29-maja-2019-r-o-ustanowieniu-programu-doktorat-wdrozeniowy-i-naborze-wnioskow.html">http://www.bip.nauka.gov.pl/doktorat-wdrozeniowy/komunikat-ministra-nauki-i-szkolnictwa-wyzszego-z-dnia-29-maja-2019-r-o-ustanowieniu-programu-doktorat-wdrozeniowy-i-naborze-wnioskow.html</a> ). 2. Participation of IP PAS in the Life Science Cluster. 3. Further development and activation of the Technology Transfer Center at IP PAS (meetings, courses, R&D application possibilities). 4. Dissemination of R&D projects principles and results as well as projects with development potential on a regular basis on scientific meetings and progress reports at IP PAS. 5. Support in R&D grant applications by the Institute.

**9. Public engagement**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Relatively low interest in public engagement was identified. Only 56% of responders declared such activity.	1. Promotion of Science Festival organized by IP PAS. 2. Internal competition for popular science articles (awarded articles published on IP PAS web page). 3. Promotion of the Polish popular scientific journal "Wszechswiat" on IP PAS website. 4. Promotion of popular scientific events among PhD students i.e. FameLab. 5. Taking into account the public engagement activity into periodic scientific staff evaluation criteria.

**10. Non discrimination**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	Although 71.9% respondents did not recognize discrimination as a problem, there were 14.7% respondents which declared to be involved in such situations. It is crucial to emphasize that the optimal value in such category should be 0%. In the descriptive part of the survey there were complains regarding the work under pressure and cases of interpersonal conflicts. As for now no single mobbing situation was identified. It should be emphasized that employees at IP PAS are not discriminated 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.	Since 2018 the function of ombudsman was created and anti-mobbing procedures were officially introduced. Recently there were implemented regular trainings regarding personal relationships, anti-mobbing, leading competences. The situation will be carefully monitored and the trainings will be continued.

**11. Evaluation/ appraisal systems**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Only 39% respondents were satisfied by current evaluation criteria. Only 39.1% respondents appreciated bibliometrics as an important issue in measurement of scientific activity.	Committee for Evaluation of the Scientific Staff will elaborate the changes of periodic evaluation system of researchers which besides bibliometrics will emphasize other activities related to science as well (i.e. popular results dissemination, R&D projects, membership in Ethical Commissions, Scientific Council, membership in grant panels).

**Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.**

## 12. Recruitment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The recruitment procedure is based on national legislation and internal regulations at IP PAS. 71.8% respondents recognized the current procedures as clear and working well. There is no discrimination by any means in the recruitment process and the criteria follow OTM-R procedure.	No action required.

## 13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The recruitment procedures existing at IP PAS contains sufficient details regarding description of working conditions, entitlements, professional development perspectives and planned employment period.	No action required.

## 14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	Although 82.9 % respondents identified the competences of recruitment committee members as high, so far there is no engagement of international and intersectoral members in the selection committees.	Engagement of international and intersectoral members in the selection committees were not applied so far, however it is possible to engage foreign reviewers in PhD process. Due to the plans of introducing COFUND PhD program, in case of implementation there will be foreign and intersectoral members of selection committee from cooperating institutions involved.

## 15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	Lack of information regarding the reason of rejection in recruitment procedure.	The information will be given to rejected candidates upon direct request.

## 16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	The role of bibliometrics is considered as too important in the current recruitment process.	The bibliometrics will be regarded only as a supportive factor, not obligatory criterion. Other factors will be emphasized in judging criteria i.e. creativity, independence, success in grants application, mobility factor.

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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	In general, career breaks or variations in the chronological order of CVs are not intentionally penalised, however 39.1% respondents pointed out the problem of career breaks (i.e. maternity leave) as negative factor in recruitment process.	The candidates will be informed that this is not taken into consideration neither affects the result of candidate's evaluation in the recruitment process. This information will be clearly included into the position announcements.

## 18. Recognition of mobility experience (Code)

Initiatives

Implementation	GAP / Implementation impediments	undertaken/new proposals
++ fully implemented	Mobility experience was always considered at IP PAS as an important, valuable contribution to the professional development of a researcher. This issue was acknowledged by 85.3% of respondents.	No action required.
<b>19. Recognition of qualifications (Code)</b>		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	90.3% respondents considered the recognition of their qualifications as sufficient.	No action required.
<b>20. Seniority (Code)</b>		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The levels of qualifications required are in line with the needs of the position and are never set as a barrier to entry.	No action required.
<b>21. Postdoctoral appointments (Code)</b>		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	Only 48.7% respondents recognized that there are clear existing rules and guidelines for the recruitment and appointment of postdoctoral researchers providing additional professional development opportunities for a research career.	Clear rules were recently implemented at IF PAS for postdoctoral candidates to be employed on the following positions: research assistant, research associate, IP PAS professor. No other positions will be offered to postdoctoral candidates who want to pursue scientific career. Employment time will be clearly indicated in each position's description.
<b>Working Conditions and Social Security</b>		
<b>22. Recognition of the profession</b>		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	All researchers engaged in a research career are recognized as professionals and are treated accordingly.	No action required.
<b>23. Research environment</b>		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	Some respondents (in commentaries to the survey) pointed out problems with access to the infrastructure of the Institute.	Available crucial scientific equipment list will be published on IP PAS website. There will be implemented (under preparation) new internal regulation regarding the open access to the scientific infrastructure.
<b>24. Working conditions</b>		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	42.6% of respondents identified difficulties with flexibility and balance between private life and work.	New regulations allowing the task system of work has already been implemented at IP PAS. This allows employees for own regulation of working time adjusted to private life. No further action required.

## 25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	43.9% of respondents identified problem of instability based on temporal employment contracts, no tenure positions available.	Regarding the temporary positions it is not possible to change the rules which apply of grants funded by external institutions (i.e. National Science Center, National Center of Research and Development). According to Polish new law regulations (as for 2019) all new contracts for the first 36 (incl. 3 months of trial period) months should be temporary only, the next one has to be a tenure position. Therefore, there is no room to change this issue. Nevertheless, the HR Department will introduce a new rule of officially informing both supervisor and employee 3 months prior to contract termination with 14 days left for decision what next. As we believe, this should improve the recognition of employment stability among employees.

## 26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	73.1% respondents considered salaries as not attractive and unfair according to their qualifications.	According to the employment national regulations, all social security provisions are included and fully supported. However, it is true that since in general the science in Poland is underfunded, there is no possibility to raise salaries taking into account the financial status of the Institute. Nevertheless, there is an opportunity to take advantage of attractive externally funded positions available in NCN and NCBR grants. These will be highly promoted in the career model and fully supported by IP PAS. Additionally, researchers employed at the Institute can be extra paid from grant funds. The management of the Institute will recommend the PI's to take this advantage when placing the grant applications and support opening the PhD student and postdoc new positions covered by attractive grant funds.

## 27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	It was identified that most of the researchers are females, leading positions are filled equally.	Regarding the specificity of work at IP PAS, most of the applicants are women. Therefore there is no need to introduce any regulations in this matter.

## 28. Career development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Only 48.7% respondents identified the career development strategy as clear.	The Position Description Card will be developed by the Human Resources Unit, which will gather all possibilities of career development for all positions.

## 29. Value of mobility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Research staff of IP PAS is composed of employees originated from different academic institutions and background. However, only 6.9 % respondents identified the value of intersectoral mobility as beneficial at IP PAS	The requirements included to the Positions Description Card will address this issue, it will be incorporated to the new appraisal system of scientific evaluation of employees as well.

## 30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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-/+ partially implemented	Only 20.8% respondents identified that there is a sufficient support of the IP PAS in access to career advice.	The webpage of IP PAS will be opened for external job advertisements. There will be a mentoring program implemented during the PhD study at IP PAS. Job opportunities will be presented regularly on scientific meetings. The IP PAS Alumni association will be launched.
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### 31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	The survey revealed that there is no sufficient awareness that such regulations exists (24.4% of respondents gave an answer "I don't know"). Nevertheless, there are existing rules and procedures for proceeding with copyrights to the results of conducted research.	The website will be reorganized in order to increase content clarity and there will be organized a short briefing for all researchers regarding this issue. Additionally organisation of regular trainings for employees and doctoral students in the field of professional liability, intellectual property protection and commercialisation of research is foreseen.

### 32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	68.3% of respondents declared that such regulations should be created. The strict regulations regarding co-authorship are included in existing Ethical Code for Researchers available on the IP PAS website.	This particular content of Ethical Code for Researchers will be disseminated among the researchers.

### 33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Only 50% responders identified such activity as beneficial and taken into account in employees appraisal system.	Teaching duties will be taken into account in the new employees appraisal system, apart from bibliometrics. However, it has to be emphasized that due to the research profile of the institute (no undergraduate students) there is little room for such activity. IP PAS supports teaching activity of its employees outside of the Institute. IP PAS is the main organizer of scientific activities (like Winter School, Pain School) as well as PhD programme where the employees of IP PAS are engaged as lecturers.

### 34. Complains/ appeals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	At IP PAS, there are existing procedures and mechanisms providing the opportunity to appeal against the results of periodic assessment or to submit complaints. However, according to the survey, not all responders were aware of anti-mobbing procedures at IP PAS.	Ombudsman person was appointed on Jan 16, 2018. The contact informations will be provided on IP PAS webpage as well as appropriate links to anti-mobbing regulations will be clearly stated.

### 35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	47.2% of respondents declared that there is not enough participation in decision making	The employees of the IP PAS have the guaranteed right to be represented in the decision-making bodies and collective bodies. Representatives of young researchers at the Scientific Council as well as PI's in grants of budget >500 000 PLN will be invited to internal meetings of senior researchers (collective body) at IP PAS. Regular organization of such meetings is recommended. The summary of

bodies by young researchers. meetings will be announced to all employees.

## Training and Development

### 36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully ...	Some of the employees pointed out in the survey the improper personal relationship between the supervisors and PhD students and co-workers.	Implementation of a mentoring system in the PhD program by organization of meetings with selected independent researchers and opportunity to discuss various aspects of scientific career. Periodic HR courses will be implemented focusing on interpersonal relationship.

### 37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Senior researchers are recognized as providing sufficient attention to their role as supervisors, project coordinators and science communicators.	No action required.

### 38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	There is a variety of opportunities supported currently by two programs (PROM, Erasmus+) where the researchers regardless of their career stages can improve their skills and competencies by participating in trainings, workshops, conferences. There are other options for professional development as participation in scientific meetings, trainings, schools financed by the Institute or grant projects.	No action required.

### 39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Recently two exchange programs were implemented (PROM and Erasmus+) allowing for training in foreign laboratories as well as participation in conferences.	No action required but such opportunities will be better advertised among researchers on the IP PAS webpage.

### 40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Respondents gave a positive assessment of the academic support organised by the Institute.	No action required.