



# MOSSAKOWSKI MEDICAL RESEARCH CENTRE OF THE POLISH ACADEMY OF SCIENCES

## HUMAN RESSOURCES STRATEGY FOR RESEARCHERS

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### INTERNAL GAP ANALYSIS AND ACTION PLAN

WARSZAWA, 2016

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# 1. INTRODUCTION

Mossakowski Medical Research Centre is the only institute of the Polish Academy of Sciences conducting research in the fields of both medical biology and clinical medicine. It has also received the status of Leading National Research Centre (KNOW) for the period 2012-2017.

Established in 1967, MMRC consists of 20 departments including seven clinical research units directly collaborating with hospitals and seven core facilities laboratories.

Main subjects of interest are: basic and clinical neurophysiology; neurochemistry; neuropathology; clinical pathophysiology; neurosurgery; applied physiology; renal physiology; transplantation; immunology; experimental pharmacology; and biotechnology and bioinformatics.

Principal areas of study: Rare diseases; Regenerative medicine, including stem cells; Civilizational diseases, especially: metabolic, neoplastic, neurological and vascular, as well as ageing and age-related diseases; Brain diseases and disorders, including brain ischemia, degenerative disorders of the central nervous system (Alzheimer's disease in particular), hepatic encephalopathy, neuromuscular diseases, and trauma of the central nervous system; New diagnostic methods for tumors, the synthesis of new biologically active compounds, and umbilical cord stem cells that can be converted into brain cells; and Biotechnology and bioinformatics.

MMRC has a range of well-equipped laboratories for cell cultures and organotypic slice cultures, an operating theatre with six operating rooms and a number of laboratories for molecular biology. An integral part of the MMRC is the (NIH-certified) Animal House, where many species of small rodent are bred under specific pathogen free conditions.

MMRC has extensive experience in the realization of national and international research and R&D projects. Currently MMRC is involved in the following international programmes: e.g. ERA-NET NEURON 2011 programme "European Research Projects on Cerebrovascular Diseases" – "MRI Navigated Enhancement of Mesenchymal Stem Cell (MSC) Homing Toward Stroke Lesion – Evaluating an Impact on Animal Recovery with Behavioral Testing and Imaging"; EEA and Norway Grants "Contribution of glutamine transport to brain edema and dysfunction of the glutamatergic synapse associated with hepatic encephalopathy (Hepentrans)"; Joint Programming Neurodegenerative Disease (JPND) "Biomarkers for Alzheimer's and Parkinson's diseases". MMRC scientist and PhD students conduct many project funding from the National Science Centre grants.

MMRC is a member of the Centre for Preclinical Research and Technology Consortium (CePT). It is also running a Translational Platform for Regenerative Medicine dedicated to basic

research, developmental projects (within the preclinical ones) and clinical trials concerning the application of adipose derived regenerative cells in regenerative medicine.

MMRC co-ordinates co-operative connections that increase the chances of commercialization research such as Mazovian Peptide Cluster, Alice Med (Advanced Laboratories in Centre of Excellence) and Pain Relief Scientific Cluster. MMRC has its own spin-off company focused on technology transfer to business.

MMRC publishes about 140 annual indexes by JRC articles. In 2014, MMRC had a Hirsch Index of 62, with 3,016 citations.

## **2. METHODOLOGY**

In order to define appropriate Action Plan on the basis of current level of implementation of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (C&C principles) in the MMRC there were few tools applied, as mentioned below:

- Working group
- Internal analysis
- Survey
- Summary – establishment of action plan

### **2.1 Working group**

The Working Group (WG) was established of representatives of MMRC staff (scientific and administrative position):

1. Coordinator:
  - Prof. Barbara Zablocka – Deputy Director for Scientific Affairs
2. Professors:
  - Prof. Andrzej Ziemba, PhD - Deputy Director for Scientific Affairs
  - Prof. Joanna Sypecka, PhD – Head of Doctoral Study
3. PhD students representatives:
  - Karolina Zajdel – President of the Council of the Students’ Government
4. Administration:
  - Katarzyna Wyszowska – Financial Director
  - Katarzyna Szeliga Radwańska – Research Organisation Unit Director
  - Renata Zwolska - HR Unit Director
  - Agnieszka Czupryniak – Project and development Manager

Working Group was the key source of data that allowed to conduct internal analyses and finally to define Action Plan. There were three meetings of working group organised during which participants were analysing the C&C principles and existing in-house procedures. Results from the WG meetings shown that there is a space for a few HR processes improvement.

### **2.2 Internal analysis of MMRC documentation and practices**

Under internal gap analysis a comparison of principles indicated in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers and the existing rules and practices of the MMRC was made. The analysis was conducted on the basis of the following documents:

- a. national law, including:
  - Act on the Polish Academy of Sciences
  - Law on Higher Education
  - Law on Academic Degrees and Title and Degrees and Title in the Arts
  - Act on the Principles of Financing Science
  - Act on the National Science Centre
  - Labour Code

- Public procurement Law
- implementing regulations for the above acts
- b. Polish Academy of Sciences Regulations, including:
  - Charter of the Polish Academy of Sciences
  - PAN ethical code
- c. MMRC regulations, including:
  - Charter of the Mossakowski Medical Research Centre of the Polish Academy of Sciences
  - Organizational Regulations
  - Scientific Board Regulations
  - Committee for Science Regulations
  - Committee for Scientific Staff Regulations
  - Committee for PhD courses and students Regulations
  - PhD course and PhD representation Regulations
  - Regulations on requirements for applicants applying for a scientific position
  - Terms of periodic evaluation of scientific employees
  - Remuneration policy Regulations with attachments
  - MMRC Director grants and payment of additional annual remuneration Regulations
  - Social policy Regulations
  - Regulation on terms of intellectual property rights and the principles of commercialization of the results of research and development activities of MMRC
  - Terms and conditions of functioning of Units and Laboratories of the MMRC

### **2.3. SURVEY**

The survey was carried out between 23 April and 6 May 2016. After the information meeting, survey was sent to all employees and PhD students of MMRC. The survey was prepared in Polish. The reference to the Polish and English version of the Charter & Code was indicated. The survey covered all 40 principles of C&C and consisted of 35 questions and 4 general questions to define profile of respondents. There was also one question in which all respondents were asked to express their opinion and propose any action to implement or improve at the MMRC C&C principles realisation. The 35 questions covering 40 principles were divided into four dimensions in line with the C&C principles:

- I. Ethical and professional aspects
- II. Recruitment
- III. Working conditions and social security
- IV. Training

For each of the 35 items covering 40 principles, the participants were asked to evaluate the level of implementation at MMRC of each item for an individual:

LEVEL OF IMPLEMENTATION: What is your knowledge and opinion related to the level of implementation of the principle in MMRC at the date of survey:

- 1 – I totally disagree
- 2 – I disagree
- 3 – neither agree, nor disagree
- 4 – I rather agree
- 5 – I totally agree

40 responses have been obtained. The total group of respondents was representative enough in all sub-group of staff employed and PhD students to define general conclusion and further recommendation to the Action Plan.

#### **2.4 Summary – the action plan**

Next, the survey results were summarised by Working Group. Survey results and internal gap analysis based on MMRC documents and practices results served for action plan formulation. A proposal of Action plan was prepared by WG and submitted to MMRC Board of Directors for acceptance.

## 3. RESULTS OF INTERNAL ANALYSIS

### 3.1. General Principles and Requirements applicable to Researchers

#### 3.1.1. Research freedom

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

The principle of research freedom and its limitation is indicated in Act on the Polish Academy of Sciences art. 94 and well-established at MMRC internal regulations. Researchers are free to express their ideas, identify scientific questions, and propose methods of research. Researchers may conduct research on their own initiative after obtaining the consent of the Director within the scientific unit at which they are employed. Researchers are mainly aware of the regulations of limitations, both the national and international law and the internal regulations: the Intellectual Propriety Rights (IPR) regulation, limitations, the laboratory regulations and the contracts conditions.

**Actions required:** none

#### 3.1.2. Ethical principles

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

The Act on the Polish Academy of Sciences at art. 39 indicate ethics regulations. According to the article, the Scientific Ethics Committee shall deliver opinions on matters concerning breaches of scientific ethics by an employee of a higher education institution, scientific unit of the Academy, particularly in proceedings instituted by disciplinary committees. In 2012, on the basis of The European Code of Conduct for Research Integrity, the Scientific Ethics Committee has published The Code of Ethics, which is available in electronic version on the webpage of PAS.

The staff and PhD students of MMRC observe the provisions of the Code of Ethics. Scientists are responsible for enforcing in their environments either personally or through the scientific institutions and organizations, the principles of good scientific work, counteract scientific dishonesty and breaches of good manners. A disciplinary commission oversees compliance with these provisions.

**Actions required:** none

### 3.1.3. Professional responsibility

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

Essential obligations of scientific staff are specified in the Charter of MMRC, Organizational Regulations and IPR Regulations. Moreover, individual obligations of each scientist are defined in terms of the employee's duties under the employment contract. MMRC scientific staff and PhD students recognize and acknowledge intellectual property rights to the results of scientific research conducted by others. They make sure to acknowledge the actual originators and authors of scientific achievements.

**Actions required:** none

### 3.1.4. Professional attitude

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

A list of scientific priorities is published and accessible on MMRC website. All projects realised in MMRC as well as subject of PhD study are published and accessible on MMRC web site. In accordance to a.o the Organisational and PhD study Regulations, all researchers are obliged

to inform their supervisors about any any changes in the original schedule, such as delays, redefinitions, suspension or earlier termination. However, there were observed a problem with information concerning project submission under different grants.

**Actions required:**

- Preparation and publishing information related to grants for research projects (Research Organisation Unit Director; September 2016, update)

**3.1.5. Contractual and legal obligations**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC researchers at all levels are familiar with the national, sectoral or institutional regulations governing training and/or working conditions. Before signing the employment contract, the HR Specialist explains the rights and responsibilities of the employee.

Research Organisation Unit of MMRC delivers all necessary information about the structural and other external funds, e.g. Horizon 2020, the EEA and Norway Grants etc., the provision elongates to national and Community law, and Community policies, including regulations concerning competition, public procurement, environmental protection and gender equality.

**Action required:**

- Regular workshops dedicated to the IPR regulations (IPR Advisor; annually )
- Open meetings on external funds for research (Research Organisation Unit; annually)

**3.1.6. Accountability**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

The accountability principle is established e.g in labour law, the Act on the Polish Academy of Sciences art. 107, Public Procurement Law, Organizational and Remuneration Regulations of MMRC; accountability towards funders or other related public or private bodies is established in contracts. As the scientific unit of the Polish Academy of Sciences, MMRC is obliged to 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.

**Action required:** none.

### **3.1.7. Good practice in research**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC as an employer is obliged to secure safe and healthy working conditions. According to labour provisions, employees of MMRC are obliged participate in two types of trainings concerning security and hygiene of work : initial training for new employees; periodic training depending on a post.

The scientist staff and PhD students of MMRC are familiarised with polish law and regulations in medical research field on data protection.

However, there is no particular strategies concerning technical aspect of electronic data record.

**Action required:**

- Workshop on technical aspects of data protection and confidentiality protection (IT Specialist; annually)

### **3.1.8. Dissemination, exploitation of results**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

Essential obligations of scientific staff are specified e.g. in the Act on Polish Academy of Sciences, Charter of MMRC and Organizational Regulations. These obligations include conducting research and development work, announcing, disseminating and exploiting their research results, and participating in the educational tasks undertaken by the unit. The Polish Academy of Sciences rules and MMRC IPR Regulation indicate conditions of IPR protection and commercialization process.

Information concerning selected past and ongoing projects, publication can be find at MMRC website.

**Action required:**

- To improve the web page (Polish and English version) (Research Organisation Unit specialist and IT Specialist; monthly)

### **3.1.9. Public engagement**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC is actively involved in awareness raising activities regarding the importance of innovative science for the society through publications and organization of events such as: open days, science festival, and open lectures.

**Actions required:**

- Active promotion of scientists' public engagement (Deputy Director for Scientific Affairs; each half year)

### **3.1.10. Relation with supervisors**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

The Organisational and PhD study Regulations indicated in general relation with supervisor whose duties are the following: assisting in research, consulting on a regular basis and evaluating progress of doctoral research, delivering lectures in a series of lectures organized by the doctoral program.

**Actions required:** none

### **3.1.11. Supervision and managerial duties**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

Role of supervisors are indicated in general in the Organisational and PhD study Regulation.

Examples of scientific tutor duties:

- familiarizing PhD students with the methodology of scientific research,
- assisting in the preparation of research projects,
- consulting on regular basis and evaluation process of doctoral research,
- delivering lectures in a series of lectures organized by the doctoral programme,
- encouraging PhD students to participate in other activities (e.g. scientific meetings, seminars, conferences, training)

**Action required:**

- Professional training courses on HR management and mentoring, internal evaluations of multifaceted role as supervisors (Deputy Director for Scientific Affairs; bi-annually)

### **2.1.12. Continuing Professional Development**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

The scientists are provided with opportunities for continuous development through participation in conferences, training courses, workshops, seminars and other courses. The Organisational and Remuneration MMRC Regulation taken into account this opportunities and obligation for scientists.

**Actions required:** none

## **3.2. General Principles and Requirements applicable to Employers and Funders**

### **3.2.1. Recognition of the profession**

**C&C principles:**

*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).*

**Existing MMRC rules and/or practices:**

Recognition of research as professionals can be find in different act a.o in the Act on Polish Academy of Sciences, Act on Academic Degrees and Academic Title. MMRC different staff and PhD students are recognized and treated as professionals and required to recognize the importance of scientific works and independence of other scientists, especially young researchers, regardless of their position, title, or legal status.

**Actions required:** none

### **3.2.2. Non discrimination**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

In accordance with labour Law, the Act on Polish Academy of Sciences and MMRC Regulations, MMRC 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 condition. There is no evidence of any discrimination against researchers on any other basis.

**Actions required:**

- Information on non-discrimination rules (HR Director, PhD students - during annually recruitment; for research position – during each contract signing)

**3.2.3. Research environment**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC strives to create the most stimulating environment for conducting research and undergoing scientific training by providing appropriate equipment, facilities and opportunities as well as work safety rules and regulations.

**Actions required:** none

**3.2.4. Working conditions**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

Provisions concerning working condition can be find in e.g. Labour Law, the Act on Polish Academy of Sciences, Act on Academic Degrees and Academic Title, and in MMRC Regulations (Organisational, Remuneration, and Social Benefits Regulations).

MMRC provides researchers, including disabled scientists with flexible working conditions essential for effective research performance in accordance with national legislation. MMRC

also provides, as far as possible, such working conditions which allow to reconcile family and work, children and professional careers.

**Actions required:** none

### **3.2.5. Stability and permanence of employment**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

Conditions of employment are regulated by a.o Labour Law, the Act on Polish Academy of Sciences, Act on Academic Degrees and Academic Title, and MMRC Regulations (Organisational and Remuneration Regulations). MMRC respect those regulations.

**Actions required:** none

### **3.2.6. Funding and salaries**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC provides scientists with compensation and appropriate social security provisions with respect to social insurance in compliance with existing national legislation. Criteria and level of remuneration depending on type of staff and work condition as well as criteria for social benefits are transparent, indicated in MMRC Organisational, Remuneration Regulations.

**Actions required:** none

### 3.2.7. Gender balance

#### C&C principles:

*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.*

#### Existing MMRC rules and/or practices:

MMRC respect equal opportunity policy. However recruitment and employment decisions are based on competition and merit criteria. The choice of reviewers and panelists responsible for assessing applications is based on their expertise, experience and non-partiality. Gender balance is not a priority. MMRC supports the proposed aim for a representative gender balance, but without that taking precedence over criteria of quality, competence or conflict of interest.

**Actions required:** none

### 3.2.8. Career development

#### C&C principles:

*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.*

#### Existing MMRC rules and/or practices:

Labour law specifies necessary conditions that have to be fulfilled in order to the carrier development. In MMRC the specific area of career development is not formalized.

#### Action required:

- Update on the professional career development strategy for researchers at all stages of their careers, regardless of their contractual situation (Deputy Director for Scientific Affairs and HR Director; annually)

### 3.2.9. Value of mobility

#### **C&C principles:**

*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.*

#### **Existing MMRC rules and/or practices:**

MMRC recognizes the value of geographic, intersectorial, inter- and trans-disciplinary and virtual mobility, as well as mobility between the public and private sectors as an important means of enhancing scientific knowledge and professional development at all stages of researchers' careers. MMRC encourages researchers to participate in national and international internships and to be professionally mobile. MMRC is involved in MCS Programmes, realises Erasmus Programme. The recruitment procedures in MMRC recognize rule of mobility of experience.

**Actions required:** none

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

#### **C&C principles:**

*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.*

#### **Existing MMRC rules and/or practices:**

MMRC provides researchers at all stages of their professional careers with an opportunity for professional development and improving their employability through access to measures for continuing development of skills and competencies.

**Actions required:**

- Information on access to research training and continuous development (Deputy Director for Scientific Affairs and HR Director - PhD students - during annually recruitment; for research position – during each contract signing)

### 3.2.11. Access to career advice

#### C&C principles:

*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*

#### Existing MMRC rules and/or practices:

There is no Career Office in MMRC. However Research Organisation Unit send regular email informing about possible internships, twinning, international opportunities.

#### Actions required:

- Creation of post "Career Advisor" (October 2016)
- Introduction of links redirecting to web portals concerning job opportunities, e. g. EURAXESS (HR Specialist, IT Specialist; monthly)

### 3.2.12. Intellectual Property Rights

#### C&C principles:

*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.*

#### Existing MMRC rules and/or practices:

MMRC has developed "Regulations for benefitting from the results of intellectual work created at the Institute". These Regulations govern procedures for establishing the protection of intellectual property rights binding at the Institute and for division of possible benefits from exploiting the right to inventions and other products of intellectual work.

#### Action required:

- Training on IPR (IPR Specialist; annually)

### 3.2.13. Co-authorship

**C&C principle:**

*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).*

**Existing MMRC rules and/or practices:**

MMRC implements procedures enabling scientists, including scientists at the early stage of their careers to use the right to have their actual contribution recognised as co-authors of papers and patents. Researchers must act in accordance to the principle of respect of intellectual property rights and shared ownership in the case of research conducted in cooperation with their students, other scientists, or supervisors or they can publish independently of their supervisors.

However there is a small number of individual publications (without a supervisor), what may limit opportunities for ERC grants participation for MMRC researchers.

**Actions required:**

- Training on IPR (IPR Specialist; October 2016, annually)
- Professional training courses on HR management and mentoring, internal evaluations of multifaceted role as supervisors (Deputy Director for Scientific Affairs and HR Director; annually)

**3.2.14. Supervision****C&C principles:**

*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*

**Existing MMRC rules and/or practices:**

MMRC is aware of the importance of appropriate supervision for the development of early-stage researchers. MMRC appoints a person to whom early-stage researchers can refer in matters related to the performance of their professional duties. Role of supervisors is indicated in general in the Organisational and PhD study MMRC Regulations.

**Actions required:** none

### 3.2.15. Teaching

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

Essential duties of scientific and research staff are indicated in Organisational and PhD Training Regulations in accordance to the Act on Polish Academy of Science. The staff shall conduct research and development work, announcing and disseminating their results and participating in the performance of the educational tasks.

**Actions required:** none

### 3.2.16. Evaluation/ appraisal systems

**C&C principle:**

*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. Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.*

**Existing MMRC rules and/or practices:**

In accordance to Organizational Regulation, Scientific Board Duties Regulation, The Scientific Board of MMRC conducts periodic evaluation of all researchers, including senior researchers. Evaluation rules for adjuncts and assistants are indicated in Evaluation of non-independent research Regulation. The evaluations form is a parametric tool and encompasses the following

activities of the employee: scientific and creative achievements, scientific development, - patents, results commercialisations, management of research projects and other forms of activity. Scientific staff in accordance to the Polish Academy of Sciences regulations has the right to appeal against the evaluation of their professional activities, and, in particular, the evaluation of their work.

**Actions required:** none

### **3.2.17. Complains/ appeals**

**C&C principles:**

*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.*

**Existing MMRC rules and/or practices:**

Disputes/appeals are solved individually by supervisor, leader or Director. Only in cases referring to disciplinary responsibility of scientific employees there is a disciplinary spokesman and committee appointed in MMRC to investigate complaints of researchers, including conflicts between scientific supervisors and early stage researchers.

**Actions required:**

- Information on complains/appeals procedures (Deputy Director for Scientific Affairs and HR Director, PhD students during annually recruitment; for research position – during each contract signing)

### **3.2.18. Participation in decision-making bodies**

**C&C principles:**

*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.*

**Existing Institutional rules and/or practices:**

In accordance to the Act on Polish Academy of Sciences and internal MMRC regulations, in MMRC there are two decision-making bodies: Director and the Scientific Board. The Director

manages the Institute and is supported by the Scientific Board which performs a current supervision over the activities of the Institute. The Scientific Board consists of members representing the entire research community of the Institute, including PhD students, which ensures the protection and representation of individual and collective interests of researchers. PhD students are allowed to present also their opinion and suggestions through self-governmental body (PhD Students Council) directly to the Director or supervisors.

**Actions required:** none

### **3.2.19. Recruitment**

**C&C principles:**

*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*

**Existing MMRC rules and/or practices:**

MMRC respects clear and transparent conditions of recruitments indicated at Labour Law, Act on Polish Academy of Sciences and others laws. Moreover, recruitment conditions have been introduced into MMRC internal regulations i.a. Organisational Regulation, Ordonnance on methods and procedures for scientific posts recruitment, or Procedures for PhD training Recruitment. Information on MMRC support for the principles set out in the Code of Conduct for the Recruitment of Researchers is available on MMRC web site.

Actions required:

- Information on MMRC support for the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Deputy Director for Scientific Affairs and HR Director; PhD students - during annually recruitment; for research position – during each contract signing)

## **3.3. The Code of Conduct for the Recruitment of Researchers**

### **3.3.1. Recruitment (Code)**

**C&C principle:**

*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.*

**Existing IMMRC rules and/or practices:**

MMRC follows open, efficient and transparent recruitment procedures, supportive and internationally comparable as well as tailored to the position offered. Position advertisements describes the required knowledge and qualifications and specify the working conditions. The advertisements are large diffused i.a. on the webpage of MMRC, other public national et European (EURAXESS) portals.

**Actions required:** none

### **3.3.2. Selection (Code)**

**C&C principles:**

*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 should be realistic.*

**Existing MMRC rules and/or practices:**

In MMRC, applicants for the vacancy are selected on the basis of submitted documentation and a successful interview. Members of the selection committees represent various expertise and qualifications. Usually the qualification interview is conducted on-site at MMRC. However, there is possibility to conduct a qualification interviews via Internet. Compositions of selection committees is indicated in internal MMRC regulations i.a Ordonnance on methods and procedures for scientific posts recruitment, Scientific staff Committee Regulation, Procedures for PhD study Recruitment.

**Actions required:** none

### **3.3.3. Transparency (Code)**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC informs the candidates about the recruitment process, the selection criteria and the number of available positions. The feedback about the strengths and weaknesses of candidates and evaluation chart of the candidate is presented in email information sanded to not selected candidates.

**Actions required:**

- Information on the strengths and weaknesses of candidates presented in the end of recruitment interview (President of recruitment commission; PhD students during annually recruitment ;for research position – during each recruitments process)

**3.3.4. Judging merit (Code)**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

In the recruitment process, MMRC considers the candidates' overall experience not only bibliometric indices. The Acts on Polish Academy of Sciences and internal MMRC regulations (Scientific Staff Committee Regulations) indicated methods, procedures including criteria taken into consideration for recruitment process.

**Action required:** none

**3.3.5. Variations in the chronological order of CVs (Code)**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

MMRC does not have a special regulation related to the form of CV. MMRC allows candidates to submit evidence-based CVs, which reflect all achievements and qualifications possibly relevant to the position applied for.

**Actions required:** none

**3.3.6. 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.*

**Existing MMRC rules and/or practices:**

All experience in mobility, such as a stay in another country/region or another research environment or virtual mobility experience is viewed by MMRC as valuable contribution to professional development of the researcher.

**Actions required:**

- Information on recognition of mobility experience and qualification (President of recruitment commission; PhD students during annually recruitment; for research position – during each recruitments process)

**3.3.7. Recognition of qualifications (Code)**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

The Act on Academic Degrees and Academic Title, and on Degrees and Title in Art; Regulation of the Minister of Science and Higher Education on criteria for assessing the achievements of the person applying for postdoctoral appointment provide indication for appropriate assessment and evaluation of the academic and professional qualifications.

MMRC in accordance to internal rules concerning recruitment procedures publish vacancy announce with all criteria for the selection and information to be presented by candidates.

**Action required:** None.

### **3.3.8. Seniority (Code)**

**C&C principle:**

*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.*

**Existing MMRC rules and/or practices:**

At MMRC the required level of qualifications corresponds to the requirements of the position. When recognizing and evaluating candidates' qualifications the Institute focuses more on assessing the candidates' achievements than their circumstances or reputation of the institution where the qualifications were gained.

**Actions required:** none

### **3.3.9. Postdoctoral appointments (Code)**

**C&C principle:**

*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*

**Existing MMRC rules and/or practices:**

The Act on Polish Academy of Sciences, Act on Academic Degrees and Academic Title, and on Degrees and Title in Art; Regulation of the Minister of Science and Higher Education on criteria for assessing the achievements of the person applying for postdoctoral appointment regulate detailed conditions under which postdoctoral appointments are made. MMRC respect those regulations.

**Action required:** none.

# 4. SURVEY FINDINGS

## 4.1 Characteristics of survey respondents

The survey was conducted among researchers at the turn of April and May 2016. As a result we have obtained 40 responses from 183 researchers of MMRC (Professor – 30, Associate professor – 30, Postdoctoral fellow (PhD) – 76, Phd student – 47).

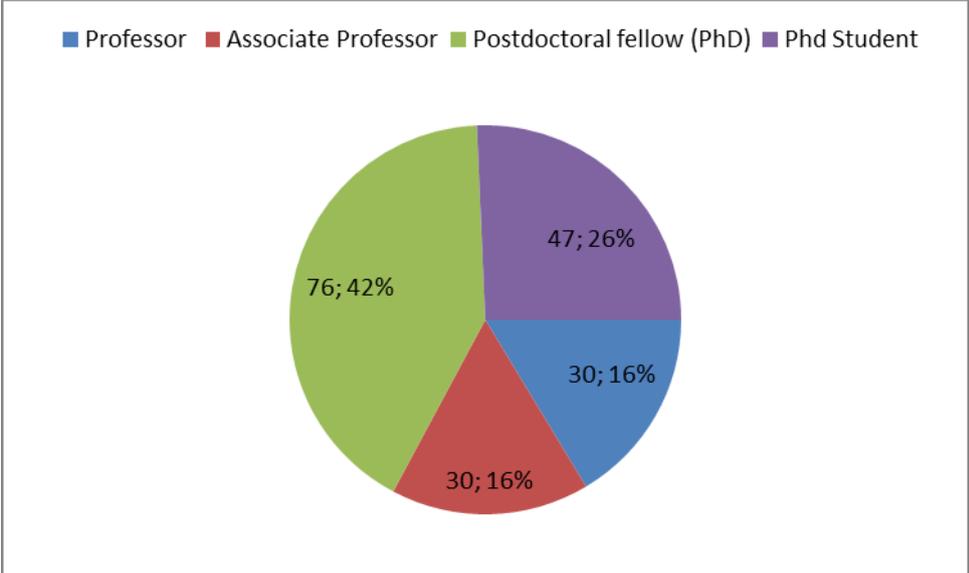


Fig. 1 Work position of surveyed research staff

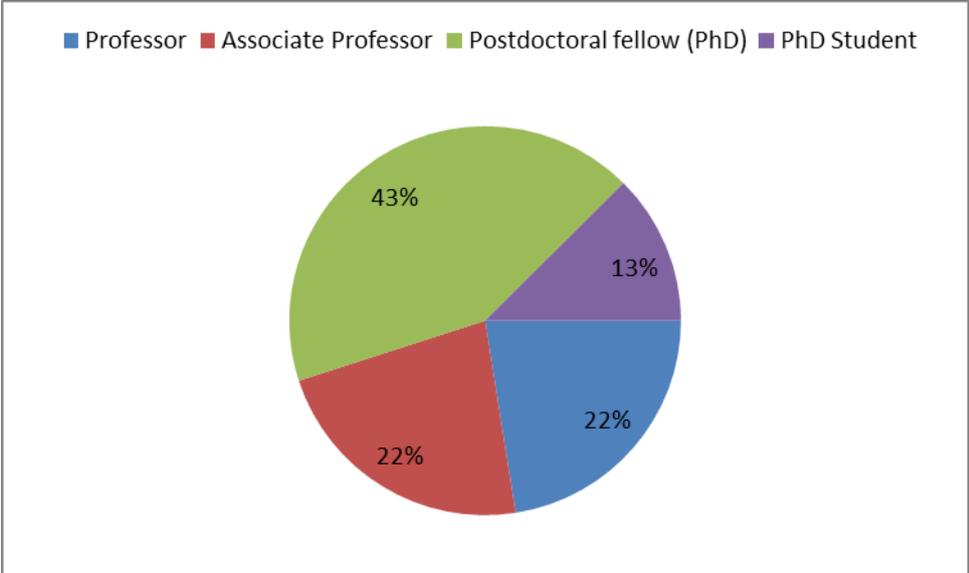
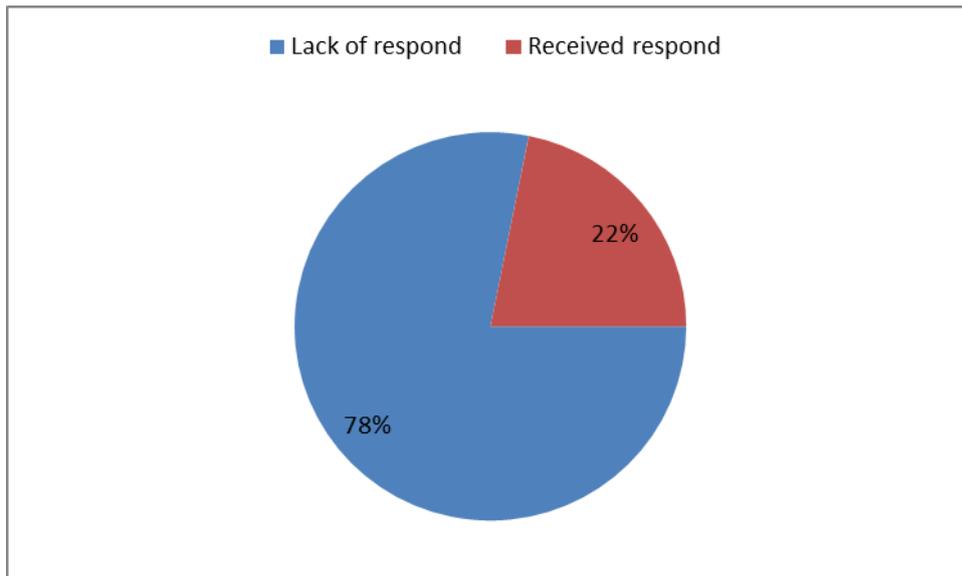
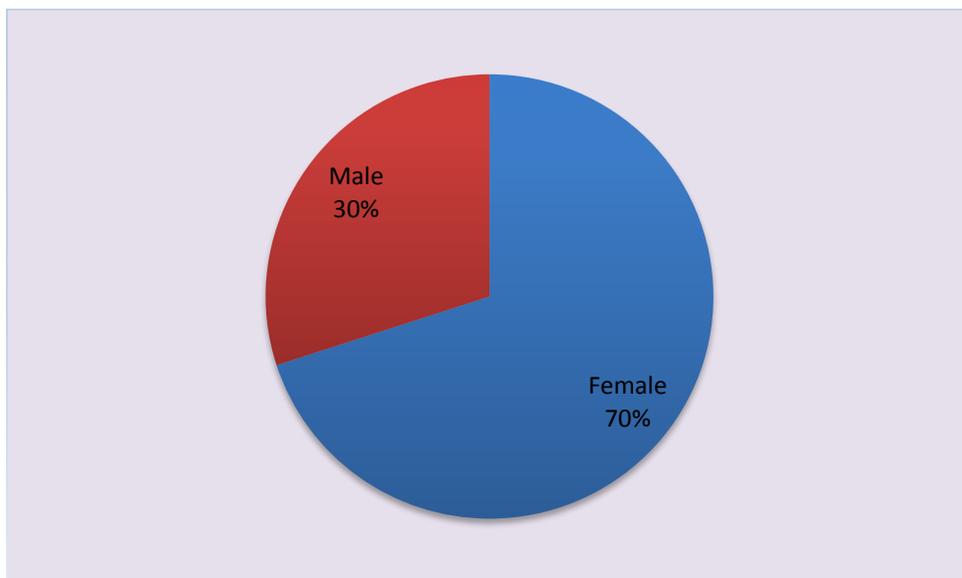


Fig. 2 Rate of responses by work position of surveyed research staff



*Fig. 3 Response rate to the survey*

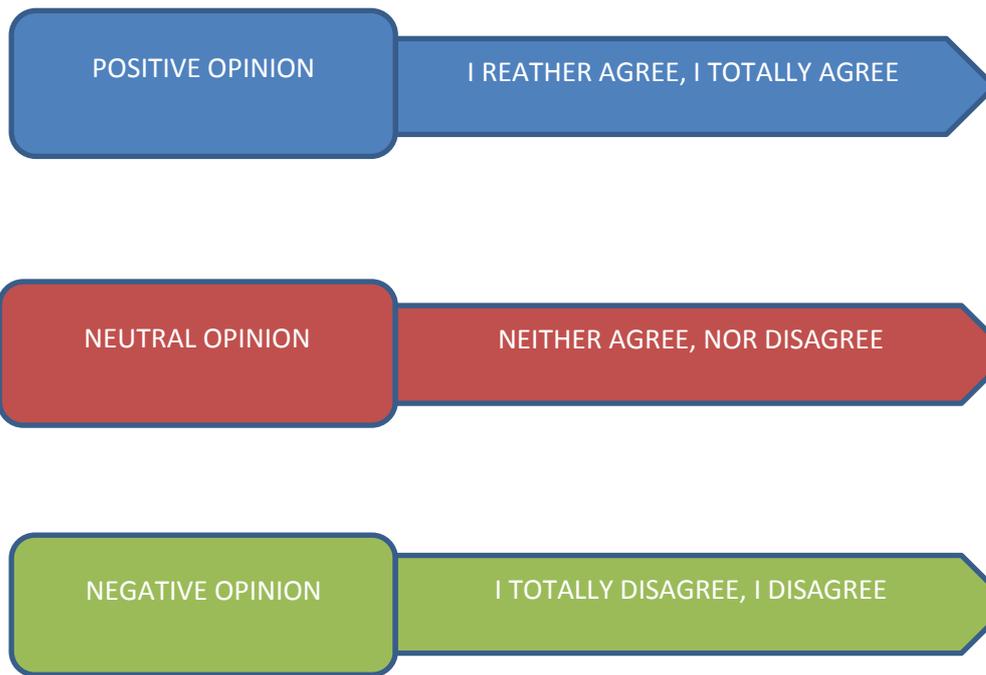


*Fig. 4 Gender of respondents*

## 4.2. Survey results

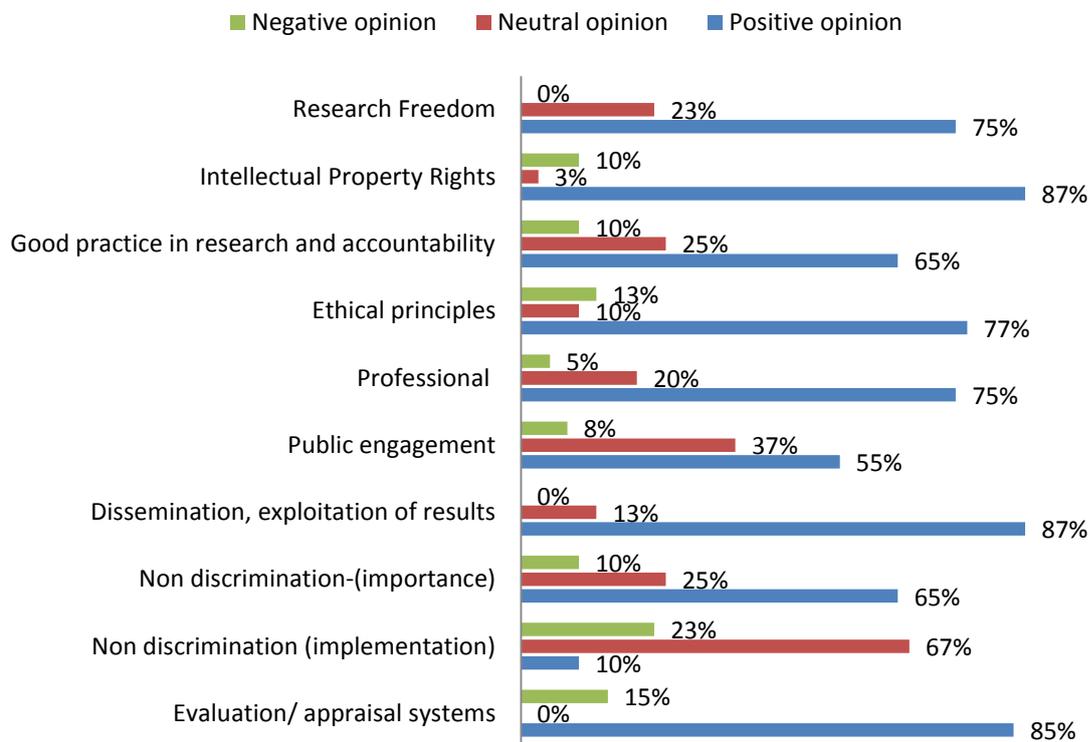
HR Excellence Research logo is the improvement of working conditions for researchers, those already working at the Institute and future colleagues. The respondents have evaluated the level of implementation of the rules included in the Charter and Code.

For all of the 40 principles, survey participants were asked to evaluate the level of implementation at the Institute by scoring the level of agreement or disagreement:

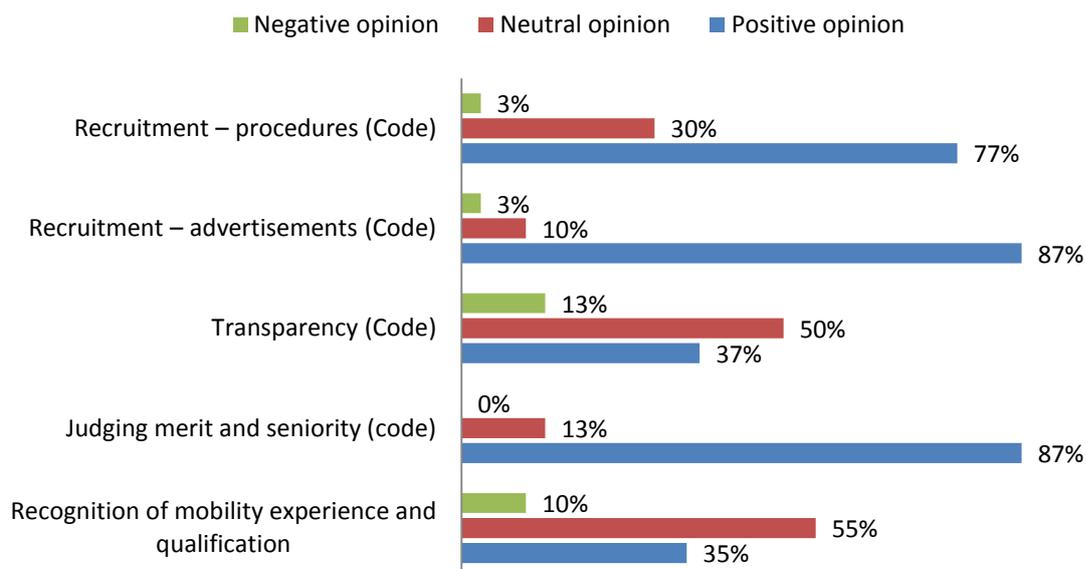


The following graphs present detailed answers grouped as positive and negative dedicated to each principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

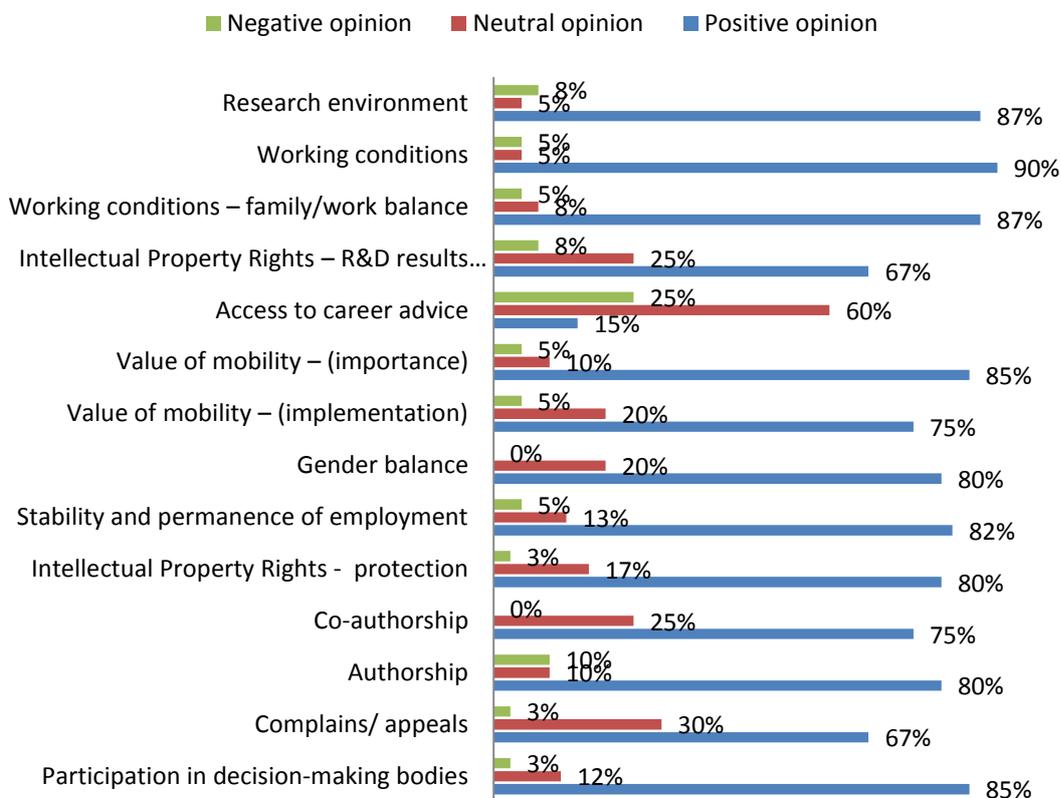
## I. Ethical and Professional Aspects



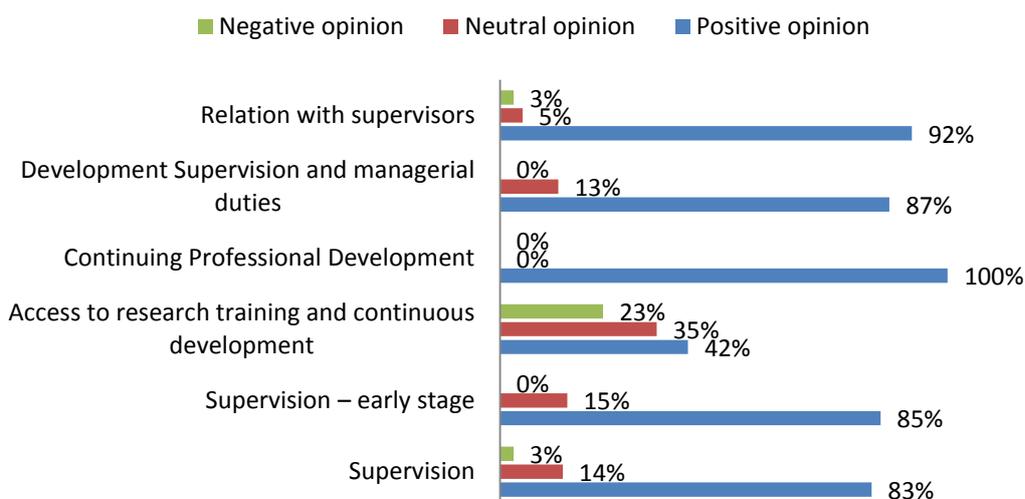
## II. Recruitment



### III. Working Conditions and Social Security



### IV. Teaching



### **4.3 Key recommendation to Action Plan**

Internal survey results have confirmed findings of the analysis of convergences to and deviations from the C & C principles and existing in-house procedures.

Based on the aforementioned results of the internal study were defined strengths and weaknesses It describes the state of human resources management at MMRC.

#### **STRENGTHS:**

- knowledge of existence of IPR rules
- support of scientific and researchers staff by MMRC in publication and dissemination of its results
- vacancy announces are clear and detailed concerning criteria of selection
- in the recruitment process, MMRC take into consideration candidates' overall experience needed for a post
- MMRC assure stability and performance of employment
- PhD students and scientific staff are well represented in decision bodies of MMRC
- relations between supervisor and research are well established in MMRC
- MMRC support continuing professional development

#### **WEAKNESSES:**

- scientific staff and PhD students are not able to judge if there is any discrimination in MMRC
- scientific staff and PhD students are not able to judge if there is public engagement
- scientific staff and PhD students are not able to judge if MMRC recognize mobility experience and qualification
- several representatives of scientific staff and PhD students are not able to judge if complains/appeals procedure in MMRC is respected
- several representatives of scientific staff and PhD students are not able to judge if co-authorship rules are respected in MMRC
- several representatives of scientific staff and PhD students are not able to judge if there is IPR protection for research results

- there is no in MMRC any access to career advice
- during recruitment interview candidates don't receive information about the strengths and weaknesses of candidates

## 5. ACTION PLAN

C&C principle	Area	Actions	Responsible	Deadline/frequency
3.1.4	Professional attitude	Preparation and publishing information related to grants for research projects	Research Organisation Unit Director	September 2016
3.1.5	Contractual and legal obligation	Regular workshops dedicated to the IPR regulations	IPR Advisor	annually
		Open meetings on external funds for research	Research Organisation Unit	annually
3.1.7	Good practice in research	Workshop on technical aspects of data protection and confidentiality protection	IT Specialist	annually
3.1.8	Dissemination, exploitation of results	Update of the web page	Research Organisation Unit specialist and IT Specialist	monthly
3.1.9	Public engagement	Active promotion of scientists' public engagement	Deputy Director for Scientific Affairs	each half year
3.1.11	Supervision and managerial duties	Professional training courses on HR management and mentoring, internal evaluations of multifaceted role as supervisors	Deputy Director for Scientific Affairs and HR Director	biannually
3.2.2	Non-discrimination	Information on non-discrimination rules	HR Director	PhD students - during annually recruitment; for research position – during each contract signing
3.2.8	Career development	Update on the professional career development strategy for researchers at all stages of their careers, regardless of their contractual situation	Deputy Director for Scientific Affairs and HR Director	annually
3.2.10	Access to research training and continuous development	Information on access to research training and continuous development	Deputy Director for Scientific Affairs and HR Director	PhD students - during annually recruitment; for research position – during each contract signing
3.2.11	Access to career advice	Creation of post "Career Advisor"	MMRC Director	October 2016
		Introduction of links redirecting to web portals concerning job opportunities, e. g. EURAXESS	IT Specialist and HR Specialist	monthly
3.2.12	Intellectual Property Rights	Training on IPR	IPR Specialist	annually
3.2.13	Co-authorship	Training on IPR	IPR Specialist	annually

		Professional training courses on HR management and mentoring, internal evaluations of multifaceted role as supervisors	Deputy Director for Scientific Affairs and HR Director	biannually
3.2.17	Complains/ appeals	Information on complains/appeals procedures	Deputy Director for Scientific Affairs and HR Director	PhD students during annually recruitment; for research position – during each contract signing
3.2.19	Recruitment	Information on support for the European Charter for Researchers and the Code of Conduct for the Recruitment	Deputy Director for Scientific Affairs and HR Director	Researchers PhD students - during annually recruitment; for research position – during each contract signing
3.3.3	Transparency	Information on the strengths and weaknesses of candidates presented in the end of recruitment interview	President of recruitment commission	PhD students during annually recruitment ; for research position – during each recruitments process
3.3.6	Recognition of mobility experience and qualification	Information on recognition of mobility experience and qualification	President of recruitment commission	PhD students during annually recruitment ; for research position – during each recruitments process

Established MMRC Action Plan will be subject to ongoing monitoring by the Board of Directors of the MMRC. Periodically (at least once every 12 months) overview of the status of work on the implementation of planned activities will be organized with the team worked on the identification of gaps. The survey will be made each 2 years. The report of the review will be forwarded to the information of the Board of Directors.