

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review: **Institute of Metallurgy and Materials Science of Polish Academy of Sciences (IMMS PAS).**

Organisation's contact details: **30-059 Kraków, 25 Reymonta Street, Poland**

Web link to published version of organisation's HR Strategy and Action Plan: www.imim.pl.

SUBMISSION DATE: 19-01-2018.

1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

| STAFF & STUDENTS | FTE |
|--|------------|
| Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research | 60+23 |
| Of whom are international (i.e. foreign nationality) | 1 |
| Of whom are externally funded (i.e. for whom the organisation is host organisation) | 1 |
| Of whom are women | 23 |
| Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. | 14 |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level | 25 |
| Of whom are stage R1 = in most organisations corresponding with doctoral level | 23 |
| Total number of students (if relevant) | |
| Total number of staff (including management, administrative, teaching and research staff) | 86 |
| RESEARCH FUNDING (figures for most recent fiscal year) | € |
| Total annual organisational budget | |
| Annual organisational direct government funding (designated for research) | |
| Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) | |
| Annual funding from private, non-government sources, designated for research | |
| ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words) | |
| <p>IMMS PAS is a scientific unit operating on the basis of legal acts in force in Poland, regulations of the Ministry of Science and Higher Education and the Ministry of Interior and Administration, Polish Academy of Sciences, Labor Code, internal regulations, and directives of the Institute Director. The institute has 7 laboratories and 9 research laboratories with an accreditation certificate of the Polish Center for Accreditation. Research conducted at the Institute pertains to:</p> <ul style="list-style-type: none"> • Environmentally friendly technologies and Materials, • Amorphous nano- and microcrystalline materials, | |

- Knowledge-based functional materials,
- Development of research tools and diagnostic techniques.

Research subjects are available at www.imim.pl.

2. NARRATIVE (MAX. 2 PAGES)

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current policy and practice under the four thematic headings of the Charter and Code at your organization.

In order to indicate the strengths and weaknesses of the Institute's current practice and policy, a review (analysis) of all points contained in the C&C has been carried out regarding compliance and non-compliance with the law in force in Poland. As a result of such action, the "Internal analysis of compatibility and divergences" (CompDiver) document was created, in which the Institute's practice was described against the recommendations in the C&C.

As the CompDiver shows, the vast majority of principles and recommendations contained in the C&C have been in use for many years at the Institute as they are compatible with legal acts in force in Poland, to which all activities of the Institute must be adapted. These are the following legal acts: Code of Ethics Scientist, Act of Degrees and Academic Title, Act of the Polish Academy of Sciences, Act of Higher Education, Provisions of Occupational Health and Safety, Labor Code, Statute of the Institute, Principles of Financing Science Act, Polish and International Law, Regulation of the Minister of Internal Affairs and Administration, Public Finance Act and Internal rules of IMMS PAS.

Observed deficiencies or non-conformities were removed during the course of 2017 by modifying the Institute's statute, recruitment rules, and directors' orders. Since modifications to the Institute's statute must be accepted by the President of the Polish Academy of Sciences and the regulations in force at the Institute must be accepted by the Scientific Board, which has meetings 3-4 times a year, modification of some documents lasted until December 2017 (14/12/2017 - last meeting of the Scientific Board in 2017). The current state of the review, including strengths and weaknesses, is presented in the further part of the text. Strengths are compliance of the rules applied at the Institute with those in C&C and weaknesses are those that need to be supplemented (modified).

1. Ethical and Professional Aspects

Total compliance of the rules currently in force at the institute with those contained in the C&C currently applies to all rules from points 1-11 (Research Freedom, Ethical principle, professional accountability, practice, contractual and legal obligations, accountability, good practice in research, dissemination, exploration of results, public engagement, nondiscrimination, evaluation / appraisal system). In order to achieve such a level in 2017, actions were taken at those points where there was a need. Namely:

- scientists have been notified about placing the C&C and the Code of Ethics on the website of www.imim.pl,
- 2 seminars were held on the subject of intellectual property. In 2018, two additional seminars will be held,
- the director issued a regulation on the protection (storage) of data.

2. Recruitment

In this part of the Rules indicated in the C&C (paragraphs 12-21), only 3 cases were found to be incomplete in principle, being 15, 16, and 17. They concern the communication with candidates about their strengths and weaknesses (15), merit evaluation (16), and extra-scientific achievements (17). These rules were included in the regulations of employment, which was modified by introducing additional conditions for candidate assessment. The last modification of the employment regulations was accepted by the Scientific Board on December 14, 2017. The following criteria and modifications have been introduced to the regulations:

- In paragraph 4 (evaluation criteria), paragraph 1/9 was added: "Mobility experience" and the following point 2 was added: "In the selection process, the whole range of their experience should be taken into account. In addition to assessing their overall potential as a researcher, their creativity and level of independence should also be taken into account."
- In paragraph 5: The competition notice must contain at least: "The following information about the position and the documents required to assess the candidate". In addition, in the same paragraph, point 13 was added: "Other experiences and achievements related or not to the job for which efforts are being made".
- Paragraph 6, which reads: "The selection board draws up the ranking of candidates and presents it to the Director of the Institute in the form of a protocol, which includes: a score and weaknesses and strengths of each candidate. After the competition, the candidates are notified of the results and their strengths and weaknesses by e-mail and in the absence of an e-mail address, by letter. The notification should take place within 2 weeks of the end of the competition."

3. Working conditions and social security.

In this C&C section, 4 comments (reservations) have been noticed. They concern working conditions, namely, flexible working time (24), gender balance (27), intellectual property (31), and complaints and appeals (34). They have been partially liquidated as a result of the modification of the Statute and some supplementary activities are proposed for 2018.

- Regarding flexible working time (24), it was noted that the institute statute does not include such an option, although at the Institute such a solution is applied with the consent of the Director. It is considered possible to solve this problem by introducing the appropriate provision in the Statute of the Institute. However, it must be discussed in advance taking into account applicable law. Hence the proposal to amend the Statute in 2018.
- The problem of gender balance (27) is not always feasible due to, for example, the low number of women in the Scientific Board. For this recommendation to be implemented, point 3 in Chapter III was added in the Statutes, paragraph 12: "The committees appointed by the Institute Director should represent a variety of experiences and qualifications and, if possible, demonstrate a gender balance".
- To bring the topic of intellectual property to the attention of researchers (31) in 2017, 2 seminars were organized on this topic. In 2018, 2 more are planned.
- In the case of complaints and appeals: in 2018, the complaints and cancellations procedure will be developed and posted on the Institute's website. All employees will be notified.

4. Training

All recommendations in this area are guaranteed in the following acts: Act of the Polish Academy of Sciences, Act of Higher Education, in the Statute of the Institute, and in the regulations of doctoral studies.

3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

| Title action | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|--|---|-------------------------|--|
| <i>2 seminars on intellectual property will be conducted.</i> | <i>2018 (most probably in I and II quarter)</i> | <i>Grupa robocza</i> | <i>Development of knowledge on intellectual property rights.</i> |
| <i>Discussion on the possibility to introduce in the Statute of Institute information on flexible time and tele-working.</i> | <i>December 2018</i> | <i>Grupa robocza</i> | <i>New paragraph in the Statute of Institute on the possibility of tele-working and flexible working time.</i> |
| <i>A complaints and cancellations procedure will be developed and posted on the Institute's website. All employees will be notified.</i> | <i>December 2018</i> | <i>Grupa robocza</i> | <i>Reminding employees about the possibility of applying penalties in the event of misconduct and the possibility of appeal.</i> |

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

The principles presented in Scheme 1-Annex OTM-R are applied in full or in part by the recruitment committee at the Institute (www.imim.pl). The observed additions are indicated in the Annex and are presented below for making the Institute's policy consistent with the preferred policy in the OTM-R principles. The proposed modifications concern the following annex entries, which are given in brackets:

1. (p. 3) Recruitment Commission will be informed by e-mail about the rules regarding the recruitment policy (OTM-R) recommended in the C&C.
2. (p. 4) Other activities will be analyzed and additional links explaining some points of the Employment Regulations will be added.
3. (p. 5) The quality control system for OTM-R will be developed in 2018.

4. (p. 11) From 2018, EURAXESS templates will also be used as information about employment will also be located on EURAXESS.
5. (p. 12) Links explaining the employment regulations will be developed to facilitate the submission and completion of documents, in accordance with the remarks contained in Chapter 4.4.1a) of the OTM-R expert report.
6. (p. 13) No information on employment on EURAXESS has been published so far. From 2018 it will be.
7. (p. 14) From 2018, announcements will also be sent to selected Institutes and faculties of universities.
8. (p. 15) In 2018, an additional analysis of documents required in the recruitment process for their limitation will be made.
9. (p. 18) Due to the small number of women on the Scientific Board (6/40), it is not always possible for women to attend all committees of the Scientific Board.
10. (p. 19) In 2018, an attempt will be made to develop a point scale for assessing the achievements of candidates.
11. (p. 23) The OTM-R evaluation system will be developed by the end of 2018.

4. IMPLEMENTATION (MAX. 1 PAGE)

Please provide an overview of the expected implementation process. You can use the following questions as a guideline in your description:

- Do you have an implementation committee and/or steering group regularly overseeing progress?
- How do you involve the research community, your main stakeholders, in the implementation process?
- How will your organisation ensure that the proposed actions will also be implemented?
- Is there evidence of any alignment of the HRS4R with organisational policies? For example, is the HRS4R recognized in organisation's research strategy, overarching HR policy?
- How will you monitor progress?
- How do you expect to prepare the internal and external review?

The implementation of the principles set out in the C&C and in the annex will make the policy of the Institute fully compliant with that proposed by the European Commission. The rules contained in the C&C have been used in the Institute for many years and result from the law in force in Poland and the European Union. Every employee of the Institute is also obliged to follow these rules.

The Working Group, which analyzed the application of the C&C rules at the Institute, also includes a person who is a member of the Recruitment Committee (employment). Therefore, the progress in implementing the proposed changes is and will be directly supervised by the Working Group.

The Institute's academic staff are informed on an ongoing basis about changes in the regulations in force at the Institute, as they take part directly in the meetings of the Scientific Board which gives its opinion and consent to changes proposed by the Director (modifications). Laboratory managers who are members of the Scientific Board are required to provide this information to younger researchers. In addition, amended regulations and other documents are available on the Institute's website.

The implementation of the proposed activities at the Institute is guaranteed by introducing them into the regulations and through the Director's regulations, which become obligatory in the institute from notification and notification of employees by e-mail, on the notice board and / or orally during seminars.

Activities aimed at establishing full compliance of the principles contained in the C&C and the OTM-R Annex with those at the Institute are known in the Institute's community as they were presented during the meetings of the Scientific Board and information about the C&C support by the Institute was given during a lecture on intellectual property ownership. The changes introduced in 2. Narrative are the next step towards obtaining full compatibility of the Institute's principles with those in the C&C. In 2018, during lectures on intellectual property (next round), information on the principles contained in the C&C and various documents made available on the Institute's website will also be provided.

Progress in the implementation of the proposed activities will be controlled through quarterly short summaries (reports) on the implementation of commitments undertaken in section 4. ACTIONS. Reports will be published on the Institute's website.

An internal review (review) will be prepared based on quarterly reports of changes introduced and reports of employment committees. All proposed changes and their implementation will be analyzed.

The external review will be based on the same documents as the internal ones, except that it will cover the period after all the changes have been introduced. There will also be a repeated analysis of compliance and discrepancy of the existing rules in the C&C with those in force at the Institute.