



**THE HUMAN RESOURCES STRATEGY  
FOR RESEARCHERS OF THE NEW  
CHEMICAL SYNTHESSES INSTITUTE**

The European Charter for Researchers  
and the Code of Conduct for the Recruitment of Researchers

Internal Gap Analysis and Action Plan

Puławy, September 2016

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## 1. Introduction

Instytut Nowych Syntez Chemicznych (INS) / New Chemical Syntheses Institute is research unit with many years of tradition. It originates (1935) from the Research Laboratory of the United Nitrogen Works in Mościce and Chorzów. From 1958 to 2014 the Institute bore the name of Fertilizer Research Institute. In 1968, its registered seat was moved to Puławy. In 2010, the Institute of Inorganic Chemistry in Gliwice was incorporated to INS.

INS belongs to the leading Polish Institutes. It is a firm with a well know brand and renown – INS logo is distinguishable both in Poland and abroad. Our strategic objective is the provision of services for chemical industry, fertilizer and inorganic industry mainly, which facilitates the innovation growth and competitiveness. This activity is carried out through R&D works conducted by highly qualified research staff and with maintaining the latest scientific standards and with close cooperation with industry. INS has close cooperation with all fertilizer producers in Poland and with numerous foreign fertilizer companies. Our unique advantage is the possibility of carrying out research in pilot scale and directly in industrial plants. Over the last 10 years, INS concluded more than 100 domestic contracts and over 70 contracts on sale of technology, license and products to 15 countries in Europe, North and South America and Asia. In the years 2011-2015, six projects co-financed with the European funds were completed (European Regional Development Fund and European Social Fund).

Within the Operational Programme: the Development of Eastern Poland, the only Polish research center of Supercritical Extraction with the use of CO<sub>2</sub> was founded and within the same programme, High Pressure Techniques Laboratory was equipped with modern research infrastructure and the new Fertilizer Research Centre was founded. The project co-financed with the Regional Operational Programme of Lubelskie voivodeship allowed for modernization of laboratory base for the workroom for catalyst preparation and quality supervision and Fertilizer Research Laboratory. Within the project: „Inorganic waste from Chemical Industry – technological foresight” co-financed with Operational Programme Innovative Economy and realized by the division of Inorganic Chemistry in Gliwice, the forecast and analysis of trends for development of chemical sector by 2030, regarding the quantity and quality of inorganic waste generated in production process of chemicals were prepared. The other project “Safe chemicals – the project for the Silesian voivodship” was completed with the creation of knowledge platform – a forum for discussions on producing and launching chemicals onto the market, in compliance with domestic and European law including REACH and CLP.

Moreover, in the years 2011-2015, within two modernization projects co-financed with the Ministry of Science and Higher Education, the pilot plant for research on obtaining and forming catalytic masses and other ceramic masses as well as co-precipitated catalysts was modernized in two stages. Thanks to finalizing these projects, INS research facilities and infrastructure regarding catalysts, supercritical extraction and mineral fertilizers were significantly improved and modernized.

### RESEARCH ACTIVITIES OF INS

Major research activities of INS include:

- a) basic and applied research as well as implementation works in the domain of the production and purification of synthesis gases, nitric acid technology, mineral fertilizers, catalysts, sorbents and biodegradable plastics, CO<sub>2</sub> supercritical extraction;

- b) research services;
- c) works in the interest of state administration and self-government (resulting from the Act on Fertilizers and Fertilization, REACH and CLP regulation, preparing opinions and expertise, etc.);
- d) experimental production.

Our outstanding achievements involve revamping and upgrading of ammonia plants and nitric acid plants (revamping of all domestic plants and many foreign ones including plants in Russia, France, Germany, Columbia, Chile, Belarus, Ukraine and Hungary). Our offer, as far as catalysts are concerned, involves the technology, preparation and testing of catalysts and sorbents as well as inert alumina materials. Despite a very strong market competition, the Institute has held a significant position as the catalyst producer and our catalysts are not only delivered to domestic users but they are also exported. Our latest achievement is the development of a cheap catalyst for nitrous oxide decomposition which allows for a significant reduction of N<sub>2</sub>O emissions from nitric acid plant. This solution, which was awarded by the Minister of Environment, is implemented in both domestic and foreign nitric acid plants. INS is also the national and European leader in the scope of supercritical extraction with the use of carbon dioxide. It has a unique research infrastructure at its disposal allowing for investigation and tracking the processes from the laboratory scale to the fully industrial scale. INS has also developed technologies for extraction of plant raw materials (including extraction of hop, paprika, berries seeds) which are the source of valuable products for many branches of industry including: food industry, pharmaceutical and cosmetic industry. What is of a crucial importance as far as supercritical extraction is concerned, is the fact that the raw materials used for the process are waste materials from processing of fruit and vegetables, whereas the technology itself is one of eco-friendly so called “green chemistry” technologies. The Institute is also a leading research centre in the scope of mineral fertilizers production, cooperating both with recognized companies and other research institutions.

## 2. Methodology

The Institute appointed a Working Group (WG) for obtaining HR Excellence in Research in April 2016, consisting of the following panel:

- Professor Janusz Igras eng. – INS Scientific Deputy Director,
- Marcin Konkol Ph. D – Scientific Secretary,
- Józef Sas Ph. D eng. – Director’s Plenipotentiary for Contacts and Relations with External Partners,
- Jolanta Kobus – the head of Planning and Analyses Department,
- Waldemar Wawer – the head of Administrative & Law Department,
- Leszek Kalisz – the head of Human Resources Department,
- Anna Czarnecka-Staszyńska – Translator ,
- Marcin Wójcik – IT specialist,
- Jolanta Starzak-Furdal – Administrative employee.

The WG assumed the strategy to carry out the gap analysis of the provisions and recommendations provided in the European Charter for Researchers and the Code of Conduct for Recruitment of Researchers (the Charter and Code in short) and current practices and legal documents in force in INS. The WG also prepared the Action Plan based on the identified discrepancies.

## AN INTERNAL ANALYSIS OF LEGAL ACTS

The WG for obtaining HR logo Excellence in Research in INS analyzed the provisions of the Charter and Code with binding acts in law in INS and internal documents such as:

- The development strategy of INS for 2016-2020;
- INS Statute;
- The Collective Bargaining Agreement (ZUZP);
- The Labour Code of the Republic of Poland;
- Rules of Management of Copyrights and Related rights and Industrial Property Rights as well as Principles of R&D Commercialization in INS;
- Rules of Periodical Assessment of Scientific and Technical Achievements of Researchers and Research and Technical Employees carried out by the Scientific Board at INS
- Rules for Recruitment Procedure for the Post of Researchers in INS;
- The INS Internal Operating Procedures.

## A SURVEY

The next stage of internal analysis was to carry out an anonymous survey among researchers and research-technical employees. The respondents were asked to fill in the questionnaire composed of 40 rules which are to be fulfilled in order to obtain HR Excellence in Research. The respondents' task was to specify to what extent the particular provisions are met, having the following scale:

- 0 – not at all,
- 1 – to a very low extent,
- 2 – to low extent,
- 3 – to a moderate extent, neither agree or disagree,
- 4 – to a great extent, the rule was provided but not observed systematically,
- 5 – to a very great extent/ completely observed.

The respondents were also able to specify the actions which could be taken to improve the implementation of the provisions of the Charter and Code. The questionnaire contained the detailed definitions of particular rules provided in the Charter and Code to enable respondents to fully understand and learn about these rules. Moreover, the respondents were asked to specify the five most important rules. 132 researchers at all career stages were requested to participate in the survey. The participation indicator was 60.6% which means that 80 employees filled in the questionnaire.

## RESULT ANALYSIS AND ACTION PLANNING

Result analysis of legal acts and the survey were summed up by the WG and presented and discussed during the meeting with the participation of directors, heads of research departments as well as key administrative employees. The outcome of the meeting was development of the actions to be undertaken in order to reduce discrepancies between the current practices as well as legal documents in INS and the provisions of the Charter and Code.

### 3. Results of internal analysis

Analysis of internal documentation showed that provisions contained in the Charter and Code are generally observed in INS, however, some of the provisions of internal documents need to be adjusted to the provisions of the Charter and Code. Moreover, researchers' knowledge regarding particular legal regulations needs to be increased. Therefore, the internal base of regulations is planned to be created on the intranet. It was also noted that fragmented regulations concerning ethical issues need to be integrated into the Code of Ethics. What is more, the following issues still remain unsolved:

- a. organizing the training on the IPR for researchers in order to improve the knowledge and raise awareness of intellectual property protection;
- b. implementation of the procedure concerning the confidentiality of documents and personal data protection as well as organizing the training on personal data protection;
- c. inclusion of provisions on non-discrimination and equal treatment in the existing work rules;
- d. uploading the rules of recruitment process in the Polish and English language on the website;
- e. appointing the person responsible for ensuring efficient recruitment procedure and contacts with candidates;
- f. specifying and clarifying the evaluation criteria in the existing rules of recruitment for researchers;
- g. appointment of "Employee Relations Representative" for examining and handling complaints made by researchers including issues related to conflicts between heads of departments/scientific supervisors and subordinate employees/early stage researcher;
- h. implementation of systemic solutions improving the transfer of knowledge from senior researchers to junior researchers.

The Institute intends to ensure an active participation in creating rules and regulations by providing a possibility of forwarding modifications and amendments of existing legal acts by researchers.

The survey proved that both researchers and scientific employees evaluated the current fulfilment of the particular provisions of the Charter and Code by the Institute. Results showed that in the opinion of employees, the Institute observes the provisions of the Charter and Code to a large extent. The majority of scores in the scale of 0-5 was very high with more than 4 (vide figure 1) specified as the most frequent mark and 3,83 as the lowest (teaching). The lower score in this question can be attributed to the fact that unlike universities, the Institute does not carry out academic activity due to its specificity and legal circumstances. The survey showed the following strengths of the Institute:

- Working Conditions (4,68),
- Non-discrimination (4,68),
- Accountability (4,66),
- Career Development, Intellectual Property Rights (4,61),
- Stability and Permanence of Employment (4,59),
- Good Practice in Research (4,56).

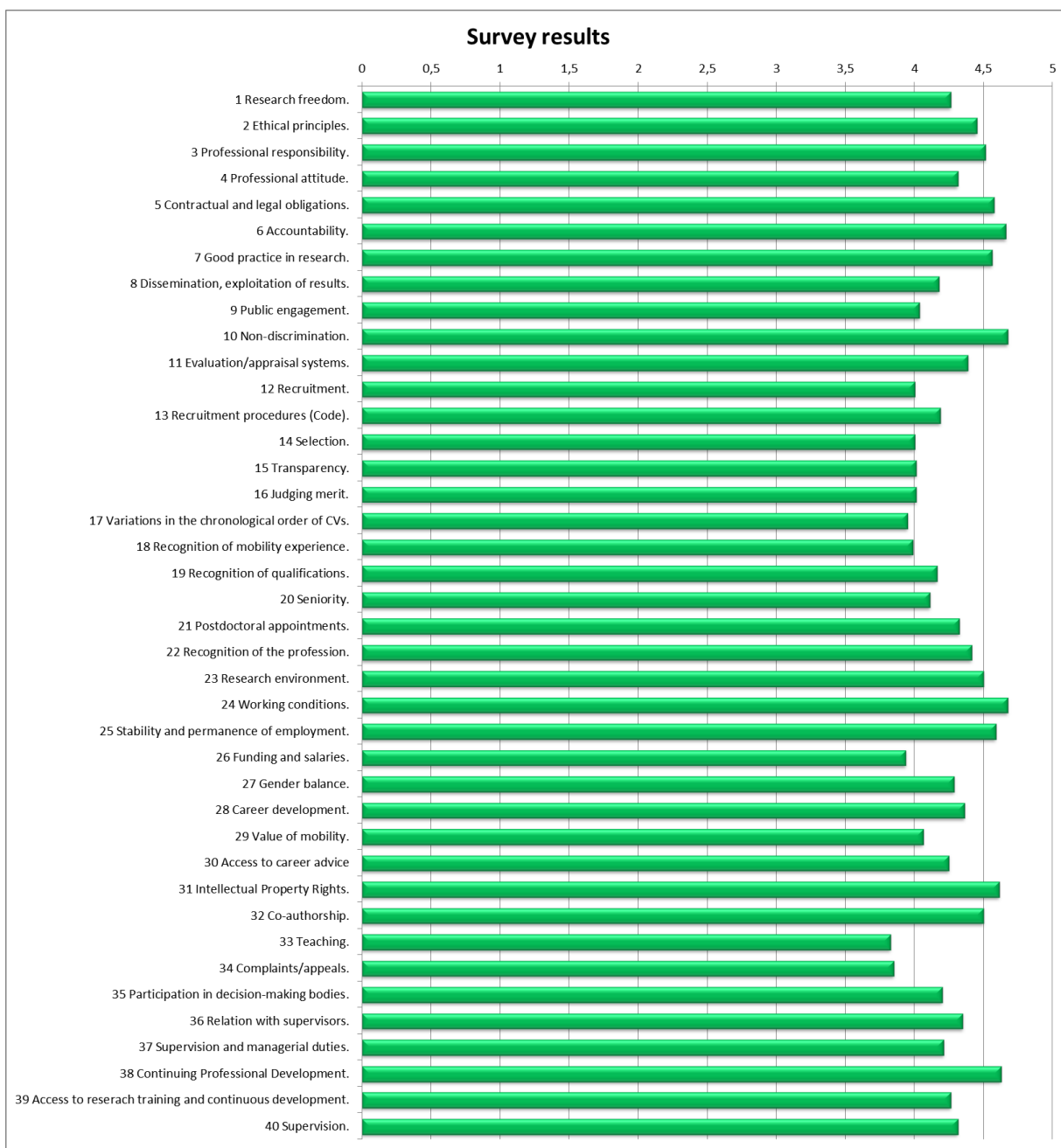
However, the following rules of the Charter and Code appeared to be challenging for the Institute:

- Teaching (3,82),
- Complaints (3,85),

- Funding and Salaries (3,94),
- Variation in the chronological Order of CVs (3,95),
- Recognition of Mobility Experience (3,99).

Respondents selected the most important criteria: Professional Attitude, Career Development, Stability and Permanence of Employment, Funding and Salary.

The further part of the report contains details of current practices, solutions and legal acts as well as the action plan in order to remove any gaps and adjust operational rules of INS to the requirements stipulated in the Charter and Code.



**Figure 1.** Results of survey conducted anonymously amongst 80 researchers (response scale: 0 – not at all, 1 – to a very low extent, 2 – to low extent, 3 – to a moderate extent/neither agree or disagree, 4 – to a great extent systematically, 5 – to a very great extent).

### 3.1. Research freedom (A = 4,26)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Freedom of research is guaranteed by the *Act on Higher Education* and it is regarded as a top priority. There is a provision of INS Strategy saying that INS mission is to actively participate in a balanced development of chemical industry in Poland and Europe contributing to the increase in the national economy growth and its development based on the knowledge through carrying out innovative R&D and implementation works. Researchers are free to express their own opinions and beliefs and they have influence on carrying our research through the selection of research topics and the methodology adequate to the problem being solved. Researchers can carry out independent research activity in research departments where they are employed, after having obtained the permission from the Director and based on the presented research work, purchase plan and cost estimation. Such research should be compliant with the strategy, internal rules and financial possibilities of particular research departments. Generally, INS employees are aware of existing rules and limitations both domestic and European ones.

**Actions to be taken:** none.

### 3.2. Ethical principles (A = 4,45)

#### *Definition provided in the European Charter for Researchers*

*Researchers should adhere to the recognized 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.*

#### CURRENT PRACTICES IN INS

The Institute observes universality of such values as diligence in presenting objectives of the conducted research, impartiality of the approach taken to the problem examined and scientific independence from external factors affecting research. The Institute is covered by the *Act on Research Institutes of the 30<sup>th</sup> of April 2010* which specifies the prohibited and unethical practices research activity such as:

- a) appropriation of authorship or providing misleading information as regards authorship of another person's complete work or part of work;
- b) dissemination of another person's original work or derivative of this work without indicating the name of the author;
- c) infringement of another person's copyrights or related rights in other way;

- d) falsifying research or research results or committing any other scientific fraud or misconduct;
- e) accepting pecuniary or any personal benefits in connection with the function or position held;
- f) claiming to have influence in the Institute or any other state or administrative institution to arouse a belief in another person about such influence in order to settle a matter in exchange of a material or personal benefit or of a promise thereof;
- g) Providing or promising to provide a material or personal benefit in return for mediation in settling a matter by influencing on person holding a position to take a decision, undertake action or refrain from action in connection with holding such position.

There is the Disciplinary Proceedings Representative appointed in the Institute whose role is to guard and ensure that ethical rules are obeyed and observed. The Disciplinary Proceedings Representative commences ex-officio procedure if a researcher or scientific-technical employee is accused to have committed one of the above mentioned acts.

**Actions to be taken:** Despite a relatively high score received in the internal survey, we believe it is necessary to prepare the Internal Code of Ethics for Researchers which would consolidate the fragmented rules regarding ethical issues (Administrative and Law Department in consultation with the Secretary for Scientific Purposes, IIQ 2017).

### 3.3. Professional responsibility (A = 4,51)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

As stated in our Strategy, INS mission is to participate actively in developing chemical industry in Poland and Europe and to contribute to the growth and development of the national economy by carrying out innovative R&D and implementation works as well as to ensure the development of our Institute. The research carried out in the Institute is mainly of applied nature and has an influence on different economic sectors.

The INS activity is based on 3 pillars:

- 1) applied research and development works carried out in cooperation with industrial partners and to meet the needs of industry and agriculture,
- 2) material production based on our own technologies or technologies developed with business partners,
- 3) commercialization of research results or state-of -the art products and solutions.

Researchers' individual obligations regarding conducting scientific activity and dissemination of research results are specified in the scope of duties and obligations constituting the part of Employment Agreement with a researcher.

The issue of originality and standards of research conducted is governed by the Polish Act on Copy Rights and Related Rights. In order to raise awareness and improve knowledge about respecting researcher's knowledge, in 2013, 10 researchers employed in managerial positions participated in the in the training (40 hours of duration): *8.2.1 Protection of intellectual property* within the project of OP Human Capital "Industrial Property Rights, S&T capacity building through the implementation of developed technologies into industrial practice.

Actions to be taken: none.

### **3.4. Professional attitude (A = 4,31)**

#### *Definition provided in the European Charter for Researchers*

*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.*

#### **CURRENT PRACTICES IN INS**

There is a Department of Planning and Analyses in INS – an administrative unit, the aim of which is to provide ongoing support for Researchers in implementation and settlement of projects. Project managers receive support during submitting applications and implementation and completion of the project. The main assignments of a Department of Planning and analyses is to provide information about current national and international research projects as well as sources of funding research activity. This department supervises an efficient and effective use of budget planned for implementation of research activity financed with internal and external sources as well as the correctness of reporting process pursuant to requirements specified by founding institutions. All of the employees are obliged to inform their superiors about any delays and problems affecting the course and timeliness of research projects.

Actions to be taken: none.

### **3.5. Contractual and Legal Obligations (A = 4,58)**

#### *Definition provided in the European Charter for Researchers*

*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.*

#### **CURRENT PRACTICES IN INS**

Before signing an employment contract, employees are informed about their rights and obligations. Each of new employees confirms that they got familiarized with his rights and obligations by signing appropriate documentation. Researchers fully respect provisions of employment contract by delivering PhD thesis, publishing scientific papers and writing research reports. All of the employees are familiarized with *the Rules of management of copy rights, related rights and industrial property rights as well as commercialization of R&D* in the Institute. Moreover, employees are obliged to get familiarized with binding national provisions of law and external regulations during seminars and trainings organized in the Institute. In 2013 and 2014, within the project of OP Human Capital, 20 researchers employed in managerial positions took part in training: “The Research Manager and Obtaining External Funding for Research”. In 2015, training dedicated to the principles of implementing projects financed with public funds was organized for researchers.

**Actions to be taken:** none.

### 3.6. Accountability (A = 4,66)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Accountability of an employee to employer results from internal regulations of the Institute contained in Regulation No. 17/2012 made by Director of the Institute of 18<sup>th</sup> of December 2012, whereas accountability towards sponsors, funders and other entities is governed in agreements and contract. The Department of Planning and Analyses coordinates and supervises correctness of implementation of contracts and agreements as well as reporting activity as required by founding institutions. As research unit, the Institute is obliged to observe and obey principles of transparent and efficient finance management. Therefore, in order to check the correctness of spending funds awarded for research, the independent audits are conducted pursuant to agreements made on financing projects. The post-audit reports are submitted to the competent financing institutions and they are archived. Moreover, expert auditor examines the financial statement as provided in binding provisions of law. Furthermore, the process of controlling the financial and human management is supported with IT system: Simple ERP.

**Actions to be taken:** none.

### 3.7. Good practice in Research (A = 4,56)

#### *Definition provided in the European Charter for Researchers*

*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.*

### CURRENT PRACTICES IN INS

The Employer is obliged to ensure the provisions of vocational safety and hygiene are observed in the workplace. Therefore, two types of training are organized for employees:

- a) initial training and on-site instructing prior commencement of work or after changing the position,
- b) periodic training on OHS conducted not less frequently than once in 5 years.

The OHS Inspector is responsible for conducting trainings and observing OHS rules in the Institute. However, there are no consolidated rules regarding the protection of personal data.

**Actions to be taken:** Introduction of the procedure governing confidentiality of documentation and protection of personal data (IIIQ 2017, Administrative & Law Department and IT Department), trainings for employees on personal data protection (IVQ 2017, HR Department).

## 3.8. Dissemination, Exploitation of Results (4,18)

### *Definition provided in the European charter for Researchers*

*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.*

### CURRENT PRACTICES IN INS

Researchers' primary responsibility is to disseminate results of their results in forms of patents, publications, and papers presented at conferences. This is favoured by the system of rules of incentive bonuses which rewards active researchers for patents awarded and patents applications, papers published in scored journals, monographs etc. Information about all of scientific achievements (projects being implemented, publications, patents, conferences) are posted both in Polish and partially in English on website: [www.ins.pulawy.pl](http://www.ins.pulawy.pl). In 2015, researchers published 33 articles in journals of Journal Citation reports, 16 articles in other reviewed journals and popular science and scientific magazines, 5 chapters in monographs, they took part in 148 conferences and national and international symposiums. In 2015, 16 patent applications were made by researchers of the Institute as authors and co-authors and 2 patents were awarded. The Institute prepared the presentation of its achievements in the domain of innovation (patents) to be presented at domestic and international fairs and exhibitions shows (Archimedes 2015, iENA 2015, Technomart 2015).

Moreover, research is disseminated in the Institute through:

- a) publications in publishing houses and occasional prints (Rzeczpospolita Techniczna, the Book of Achievements of Research Institutes, sectoral guides and general-technical guides);
- b) own publishing house – Quarterly *Przemysł Nawozowy* (PL ISSN 0239-3050);
- c) promoting INS achievements in media (Radio and TV, internet, press) and in brochures and advertising booklets;

- d) creating bibliographic data for nitrogen industry and fertilizer industry (PAINS);
- e) organizing visits of departments and pilot plants for students, cooperation with universities in the scope of basic research and post-graduate studies and PhD studies.

Actions to be taken: none.

### 3.9. Public engagement (A = 4,04)

*Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Institute is actively involved in cooperating with social and business environment using its potential and contributing to the improvement of knowledge and its practical application in economic growth. The Institute contributes to raising awareness regarding the importance of innovative science through cooperation with Puławy Science and Technology Park (PPNT) in organization of festivals of science and science shows for children and promoting chemistry and exact sciences:

- 10<sup>th</sup> National Granulation Symposium *Granulation 2015 The state of art and new applications of processes and equipment for granulation*, Nałęczów, 6-8.05.2015;
- 8<sup>th</sup> National Symposium *Science and Industry – spectroscopic methods in practice, new challenges and possibilities* Lublin, 9-11.06.2015 (with UMCS and Polish Chemical Society);
- Conference for Catalysts Producers and Producers, Ustrzyki Dolne, 15-17.09.2015 (with Grupa Azoty);
- Scientific Seminar *Extraction and separation of plant raw materials*, Puławy, 7.10.2015 (with PPNT);
- 40<sup>th</sup> International Scientific-Technical Seminar *Chemistry for Agriculture*, Karpacz, 29.11-02.12.2015 (with Wrocław University of Technology, AGROPHOS, PTCh).

Action to be taken: none.

### 3.10. Non-discrimination (A = 4,68)

*Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Until now, there have been no cases of discrimination on the basis of gender, age, ethnic, national and social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition. This fact is confirmed by a very high score regarding this issue. The Institute

obeys rules of non-discrimination resulting from binding legal provisions of Labour Law and expressed in Chapter IIa of the Labour Code INS “*Equal treatment in employment*”.

All the employees in the Institute including researchers are equally treated in the scope of commencement and termination of employment relationship, employment conditions, promotion and access to trainings in order to upgrade professional qualifications regardless of age, gender, disability, race, nationality, political beliefs, trade union membership and regardless of the nature of employment agreement and working time. A special emphasis is put on the supporting female employees by allowing them to return to work after maternity leave and parental leave. The same rule is applied to male employees taking paternity leave.

**Actions to be taken:** Incorporation of rules regarding non-discrimination and equal treatment in employment contained in the Charter and Code (IQ 2017, Administrative & Law Department).

### 3.11. Evaluation/Appraisal Systems (A = 4,39)

*Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The periodical assessment of researchers’ and scientific and technical achievements is governed by the Act on Research Institutes of the 30<sup>th</sup> of April 2010 and Director’s Regulation No.7/2016 regarding the Rules of Periodical Assessment of Scientific and Technical Achievements. Employees at the positions of Associate Professors and Professors undergo the evaluation process not less frequently than once in 4 years, whereas research scientists and assistants are evaluated not less frequently than once in 2 years. The evaluation pertains to both scientific aspects and technical implementation ones. The Scientific Board takes the following evaluation criteria into account: the number and quality of:

- a) patents, implementations, licenses and rights on utility models;
- b) scientific publications in recognized journals and scientific monographs;
- c) R&D including technological works and designing;
- d) the new technologies, materials, systems and services developed;
- e) scientific studies carried out for research and economic institutions including expertise, reports, simulation programs, opinions, forecasts and computer programming;
- f) obtaining professor’s or associate professor’s or doctoral degree,
- g) being an advisor or reviewer of scientific thesis;
- h) lectures, posters, presentations, statements made during congresses, conferences and symposiums.

The detailed principles and criteria of evaluation are included in the appendix to Director’s Regulation No. 7/2016. Researchers who are dissatisfied and disagree with the evaluation made are allowed to submit petition to the Scientific Board for re-evaluation of their scientific and technical achievements.

Employees who are managers of projects realized under statutory activity and within INS own works are obliged to submit the final report which is subject to review or dissemination through presentation of the achieved results during the annual seminar in INS.

Actions to be taken: none.

### 3.12. Recruitment (A = 4,0)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Researchers are employed in INS only through open recruitment procedure which ensures a careful selection of research staff in terms of scientific achievements and professional qualifications. Recruitment is conducted pursuant to the *Rules of Recruiting Researchers in New Chemical Syntheses Institute* as per Director's Regulation No 15/2015.

Actions to be taken : none.

### 3.13. Recruitment Procedure (A = 4,19)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The commencement of recruitment procedure is advertised by public notification on website of the Institute and on the website of Minister of Science and Higher Education and in the Public Information Bulletin and on website of European Commission in the Euraxess dedicated for posting vacancies for researchers. Pursuant to rules applicable in INS, advertisements include the following information: the name of the position, place of work, necessary criteria and qualifications, the list of required documents, deadline for submission of applications and the place and form of submission. Requirements and qualifications depend on the type of position and the nature of research work. Applicants for the position of assistant and research scientist are obliged to submit the following documentation:

- 1) application for the particular position;
- 2) personal questionnaire;
- 3) CV;
- 4) cover letter;

- 5) a certified copy of diploma or scientific degree;
- 6) a copy of post graduate diploma (if required);
- 7) the list of publications, patents;
- 8) documents confirming the command of English on the required level;
- 9) copies confirming the required qualifications;
- 10) declaration that the Institute will be the place of primary employment .

Deadline for submission of documentation cannot be shorter than 14 calendar days calculated of the date of posting the advertisement about recruitment. Documents can be submitted personally in the Institute or sent by post. The procedure consists of two stages:

1. Formal assessment of submitted documents;
2. Job interview with each of the candidates who successfully passed the formal assessment.

Pursuant to the scores obtained during recruitment procedure.

**Actions to be taken:** posting the Rules of Recruitment Procedure in Polish and English on the website (IQ 2017, Department of Research Support).

### 3.14. Selection (A = 4,0)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Institute puts a great emphasis on employing researchers who represent diverse experience and qualifications. The candidates are selected by recruitment committee appointed by the Scientific Director and pursuant to the *Rules of Recruitment Procedure*, consisting of the following panel: Scientific Director, Head of HR Department and the Head of department who is applying for recruitment of a new employee, and 3 additional employees, the one of whom is an independent employee.

**Actions to be taken:** none.

### 3.15. Transparency (A = 4,01)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The first information about selection criteria is given in the advertisement about recruitment. During recruitment process, candidates are informed about available positions and possibilities of their

professional development. When recruitment is finished, candidates receive feedback about recruitment results with indication of their strengths and weaknesses.

**Actions to be taken:** appointing the person responsible for ensuring the proper conduct of the recruitment procedure. (IQ 2017, Scientific Director).

### 3.16. Judging merit (A = 4,01)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The evaluation process takes into consideration both scientific achievements and practical ones. Publications, patents, licenses, implementations, new technologies and their transfer to industrial practices, participating in domestic and foreign grants as the manager or project executor as well as active participation in national and international conferences are of a special importance.

**Actions to be taken:** development of precise evaluation criteria in *Rules for Recruitment Procedure for Positions of Researchers in New Chemical Syntheses Institute* (IQ 2017, Scientific Secretary).

### 3.17. Variations in the chronological order of CVs (A = 3,95)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

There is no internal regulation governing chronological order of CVs while applying for vacant posts. Nevertheless, breaks in scientific career taken in order to gain practical skills are regarded as example of multidimensional approach and valuable contribution to the professional development. Applicants are allowed to describe their achievements and plans for research as well as experience gained while working in other research institutions. There are examples of reemploying employees who decided to change their scientific environment and work for other institutions. There is a general and common acceptance for career breaks due to maternity leave and parental leave.

**Actions to be taken:** introducing provisions about variations regarding chronological order of CVs to in *Rules for Recruitment Procedure for Positions of Researchers in New Chemical Syntheses Institute* (IQ 2017, Administrative & Law Department).

### 3.18. Recognition of mobility experience (A = 3,99)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Mobility experience is a very important and valuable contribution in professional development. The Institute recognizes experience resulting from international scholarship, stays in another country during selection of candidates and promotion of employees. However, due to industrial/applicable nature of research conducted in the Institute and issues connected with protection of intellectual property regarding research activity, the international exchange with universities is not so intense as in case of academic units.

The Institute encourages employees to participate in international fairs, shows, exhibitions and conferences. Annually, the Institute is represented on the international conference and fairs Nitrogen&Syngas – the most important event for global production industry of ammonia, methanol and syngas.

**Actions to be taken:** introducing provisions related to recognition of mobility experience to *Rules for Recruitment Procedure for Positions of Researchers in New Chemical Syntheses Institute* (IQ 2017, Administrative & Law Department).

### 3.19. Recognition of qualifications (A = 4,16)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Recruitment Committee analyses candidates' qualifications and experience with regard to professional mobility and international one. In the Polish legislation, the issue of qualification on vacant positions and recognition of qualifications in the scope of diploma nostrification is governed by the Act of the 18<sup>th</sup> of March 2011 on Higher Education and Regulation of Minister of Science and

Higher Education regarding detailed procedures of awarding scientific degrees (*the Official Journal of the Republic of Poland DZ. U. No. 204*).

Actions to be taken: none.

### 3.20. Seniority (A = 4,11)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Institute employs researchers at all stages of careers, the large group of which constitutes young scientists. During recruitment procedure, the committee takes into account mainly the professional achievements and lifelong professional development (vide p. 16). The required qualifications depend on the vacant post and the nature of research to be carried out.

Actions to be taken: none.

### 3.21. Postdoctoral appointments (A = 4,32)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Institutes employs researchers at the following positions: assistant (with MA or MSc), Research Scientist (PhD) and Associate Professor (senior PhD). PhDs who come from other institutions are employed at the post of research scientist. It is researchers' duty to develop and upgrade their skills and competences. Researchers have opportunities of promotion provided in the Institute. The Institute cooperates with academic centres (UMCS, Wrocław University of Technology, Warsaw University of Technology, Rzeszów University of Technology etc.) in the scope of appointing doctoral and postdoctoral degree.

Actions to be taken: none.

### 3.22. Recognition of the profession (A = 4,33)

*Definition provided in the European Charter for Researchers*

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).

#### CURRENT PRACTICES IN INS

The Institute provides support for researchers at all stages of their professional career, however, a special support is provided for young PhDs and PhD students. PhD students receive substantive and financial support (doctoral scholarships) during doctoral studies. Financing the participation in national and international conferences is also provided.

Actions to be taken: none.

### 3.23. The Research Environment (A = 4,50)

*Definition provided in the European Charter for Researchers*

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.

#### CURRENT PRACTICES IN INS

Over the last years, the Institute has developed its research infrastructure and now researchers are provided with modern apparatuses for carrying out research and design works. The Institute modernizes buildings and laboratories using both its own funds as well as state and European funding and improves the quality of research and provides comfortable working conditions.

The following departments and units were modernized and equipped with modern research infrastructure:

- Laboratory of High Pressure Techniques;
- Analytical Department and workshop for catalyst preparation and catalyst quality;
- Experimental Production Department;

Moreover, the following new laboratories were built:

- Laboratory of Bioactive Compounds and Biodegradable Plastics;
- Fertilizer Research Centre.

The visible effect of investments made is the growth in researchers' scientific activity measured with number of publications in JCR journals, presentations given at conferences and patents awarded.

Apart from development of scientific infrastructure, the Institute creates optimal working conditions and ensures research stimulating environment by supporting researcher's development and financing training and post graduate studies. The Institute and the Faculty of Chemical and Process

Engineering organize cyclical post graduate studies 'Chemical and Process Engineering' (2007/2008 and 2015/2016). The objective of these studies is to enable INS employees to gain new knowledge and improve qualifications in the scope of chemical and process engineering.

Actions to be taken: none.

### 3.24. Working conditions (A = 4,68)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Institute ensures flexibility of working conditions allowing for achieving outstanding scientific achievements. Researchers perform their obligations specified in contracts of employment and their own scope of obligations with a regard to provisions of Statute and Organizational Rules of INS. Due to research carried out in INS, the Institute provides flexible hours ensuring rational and effective use of time depending on the type of research. Flexible working hours allow young parents to combine family and work especially after their maternity, paternity or parental leaves are finished. The above mentioned solution as well as the possibility of decreasing working time allows for maintaining a proper balance between professional life and private life. The Institute creates favorable conditions for young employees who want to settle in Poland by providing subsidies to rents.

Actions to be taken: none.

### 3.25. Stability and Permanence of Employment (A = 4,59)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

It is in the interest of the Institute to provide permanence of employment for its employees. This objective is achieved by concluding employment contracts for indefinite period and by precise specification of further professional development as well as providing organizational and financial support in training and further education. Rules of employment and remuneration are specified in the Act of 30<sup>th</sup> of April 2010 on Research Institutions, INS Statute and Collective-Bargaining Agreement. Housing conditions have a great influence on stability of employment. The Institutes

provides help in renting flats and covers partial costs of rent. Moreover, low-interest loans for purchase of flats are provided within social fund.

**Actions to be taken:** none.

### 3.26. Funding and salaries (A = 3,94)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Researchers are employed in the Institute under contract of Employment and with benefits resulting from these contracts: (social insurance, paid parental leaves, social benefits). Moreover, employees are provided with numerous bonuses:

- 1) Researchers with PhD and research-technical specialist are entitled to benefit (Article 27 of Collective-Bargaining Agreement).
- 2) Authors of patents and scientific works are entitled to:
  - a) remuneration and award for implementation and scientific works (Appendix No. 10 to Collective Bargaining Agreement);
  - b) incentive bonuses (Appendix No. 12 to Collective Bargaining Agreement).

Within Director's Fund of Awards, (Appendix No.6 § 3 to Collective-Bargaining Agreement) awards are given for employees for: PhD degrees, patents and utility models. Moreover, the Institute encourages and provides the administrative support to employees in applying for grants and realization of research projects.

**Actions to be taken:** none.

### 3.27. Gender Balance (A = 4,29)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

The Institute supports gender balance by providing equal opportunities during recruitment process and promotion. Researchers are employed and promoted due to their professional qualifications, scientific achievements, organizational skills and not gender.

Actions to be taken: none.

### 3.28. Career Development (A = 4,36)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Researchers' professional development is based on the *Act on Scientific Degrees and Titles of 14.03.2003 (with further amendments)* and *Act on Research Institutes of 30.04.2010* and internal documents (Statute, Collective-Bargaining Agreement). Pursuant to the *Act on Scientific Degrees and Titles*, there are following stages of professional development: assistant, research scientists, senior PhDs, associate professor, full professor. Due to the specific nature of research institutes, there are following positions available: specialist, senior scientific-technical specialist and chief scientific-technical specialist. Researchers can be promoted (for higher positions: research scientists, associate professors, full professors) in the area of exact sciences (publications, inventions, utility and industrial models) or in the area of technical achievements (publications, patents, original designs or constructions or technological solutions, utility or industrial models). The Institute ensures opportunities of professional development for researchers who have organizational skills in the scope of team management appointing them on the positions of heads and deputy heads of scientific departments.

Actions to be taken: none.

### 3.29. Value of mobility (A = 4,06)

#### *Definition provided in the European Charter for Researchers*

*Employers and/or funders must recognize the value of geographical, intersectoral, 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.*

#### CURRENT PRACTICES IN INS

Due to its specificity of scientific activity, the Institute puts a greater emphasis on cooperation with industrial partners than with academic partner as far as staff exchange and sharing the experience are concerned. It encourages mobility as one of the most important aspects in development of professional career. Despite its industrial nature, the Institute commenced cooperation with RWTH Aachen in 2013 and since then it has been carrying joint research activity. The Institute is interested

in having contacts and cooperation with renowned research centers both in the country and abroad, in order to increase the level of research and to ensure the participation in joint research activity and professional development by gaining new experience and sharing knowledge. In 2014, within the project financed with European funds, INS researchers visited the University in Belgrade and Cardiff Catalysis Institute whereas scientists from Belgrade spent a week in INS.

**Actions to be taken:** none.

### 3.30. Intellectual Property Rights (A = 4,61)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Management of intellectual property as well as commercialization of R&D by research units are governed by the Act of 27<sup>th</sup> of July Law on Higher Education and its amendment of the 1<sup>st</sup> of October 2014. The obligatory regulations regarding this issue is specified in the Act on Research Institutes in Article 24 item 1a. In 2015, Director's regulation regarding Rules of Management of Copyrights and Industrial Property Rights as well as Rules of Commercialization of R&D came into force. Researchers are provided with legal counseling regarding intellectual property rights.

**Actions to be taken:** training for researchers regarding intellectual property rights (Research Support Department, IIQ 2017).

### 3.31. Co-authorship (A = 4,50)

#### *Definition provided in the European Charter for Researchers*

*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).*

#### CURRENT PRACTICES IN INS

In periodic evaluation of researchers, scores for publications and monographs are divided into all authors proportionally to their contribution. Rules of good practices are applied for specification of co-authorship (Commission for Ethics in Science at the Ministry of Science and Higher Education). Pursuant to the above, the minimum criteria of co-authorship constitute such contribution in R&D or in publications which allows the co-author to take public responsibility for this contribution.

Moreover, any actions undertaken to obtain funding, to deliver materials, and authors' education as well as collecting data or managing the institution shall not be regarded co-authorship rights.

Action to be taken: none.

### 3.32. Teaching (A = 3,82)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Due to its nature and pursuant to the Polish legislative system, the Institute does not carry out didactic and academic activity. However, employees are engaged in teaching duties regarding tutorial supervision over trainees and scholarship holders from universities and research centers. Moreover, employees help other researchers at writing MA, MSc or doctoral thesis as being advisors or reviewers of those thesis.

Employees of the Institute are also employed under contract of employment or contract for specific work as lecturer at other institutions e.g. Maria Curie Skłodowska University especially at its faculty in Puławy.

Actions to be taken: none.

### 3.33. Complaints (A = 3,85)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

There is open communication policy in the Institute and all the employees are allowed to appeal to Director of the Institute regarding work-related conflicts. Rules for periodic evaluation of scientific and technical achievements provide for submission of application for re-evaluation should the employee disagree with the evaluation made. Moreover, information related to financial issues is notified to employees who are allowed to submit appeals to Director of the Institute.

**Actions to be taken:** appointment of Employee Relations Representative for examining and handling complaints made by researchers including issues related to conflicts between heads of departments/scientific supervisors and subordinate employees/early stage researcher (IIQ 2017, INS Director).

### **3.34. Participation in Decision-Making Bodies (A = 4,20)**

*Definition provided in the European Charter for Researchers*

*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.*

#### **CURRENT PRACTICES IN INS**

Pursuant to the *Act on Research Institutes*, the Institute has Scientific Board. Researchers of Institute are represented in the Scientific Board. The panel of this Board is specified in the Statute and at least 50% of this panel constitute researchers and scientific-technical employees of the Institute.

**Actions to be taken:** none.

### **3.35. Relation with mentors (A = 4,35)**

*Definition provided in the European Charter for Researchers*

*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.*

#### **CURRENT PRACTICES IN INS**

The Institute cooperates with renowned scientific centres in Poland in the scope of educating its scientific staff (PhD studies, postdoctoral studies). There are structured and regular relationship established with supervisors and advisors during PhD studies and postdoctoral studies). These relationship includes keeping records of research findings and specifying timeline for research. Due to the fact that the Institute is not authorized to award scientific degrees and that these supervisors, mentors and advisors are employees from other research centers, INS employees have possibility of having consultations outside the Institute and they have travel expenses covered by the Institute.

**Actions to be taken:** none.

### **3.36. Mentorship (Supervision) and Managerial Duties (A = 4,21)**

*Definition provided in the European Charter for Researchers*

*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.

#### CURRENT PRACTICES IN INS

Transfer of knowledge and experience is very significant for maintaining the continuity of research activity and high level of services offered. The model of taking over duties and responsibilities of senior researchers is being structured and established in the Institute. However, this model needs improving. It is senior researchers' duty and their role as supervisors, mentors, advisors to help early-stage researchers at development of their professional career.

**Actions to be taken:** introduction of systemic solutions improving the transfer of knowledge – obligatory engagement of early-stage researchers in R&D projects, publications, participation in patents (IVQ 2017, Director/Administrative & Law Department).

### 3.37. Continuing professional development (A = 4,62)

#### *Definition provided in the European Charter for Researchers*

*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.*

#### CURRENT PRACTICES IN INS

Highly qualified staff is the most important and valuable capital and potential of Institute which ensures maintaining high level of research and services offered. INS activity is focused on updating and enhancing skills and competencies. Annually, the Institute allocates some funds for research activity and incentive bonuses for employees for their achievements and obtaining external funding. The Institute supports all actions undertaken by employees to enhance their professional skills and update and expand their competences by:

- financing (co-financing) evening and weekend studies, postgraduate studies, doctoral studies, post-doctoral studies),
- enabling employees to participate in conferences and scientific symposiums,
- setting up teams for carrying out research within grants obtained and contract with industry.

In 2015, the internal competition for projects for young researchers was organized in the Institute.

**Actions to be taken:** none.

### 3.38. Access to Research Training and Continuous Development (A = 4,26)

#### *Definition provided in the European Charter for Researchers*

*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.*

## CURRENT PRACTICES IN INS

The Institute provides all researchers at any stage with access to trainings and seminars. In 2015, 327 employees were trained (including 111 at seminars, symposiums and conferences; 96 at individual trainings and specialist training; 102 at OHS and first medical aid training; 14 employees had English courses co-financed).

Actions to be taken: none.

### 3.39. Supervision (A = 4,31)

#### *Definition provided in the European Charter for Researchers*

*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.*

## CURRENT PRACTICES IN INS

Researchers plan their professional development with their immediate superior – heads of research departments. The selection of research objectives is adjusted to the stage of career and it is incorporated into research strategy of particular departments. The head of department is obliged to ensure support and supervise work progress. Early-stage researchers have their advisors identified, to whom they can refer to and who offer their time, knowledge and expertise and present the scope of obligation and research to early-stage researchers until they become fully independent researchers.

Actions to be taken: none.

### 3.40. Access to career advice

#### *Definition Provided in the European Charter for Researchers*

*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 situations.*

## CURRENT PRACTICES IN INS

INS ensures that researchers receive career advice and job placement assistance. Collaboration with other academic institutions, research institutes and industrial companies is offered. Moreover, INS has the policy of re-employing researchers who due to their own reasons decided to leave to other units and want to be re-employed.

Actions to be taken: none.

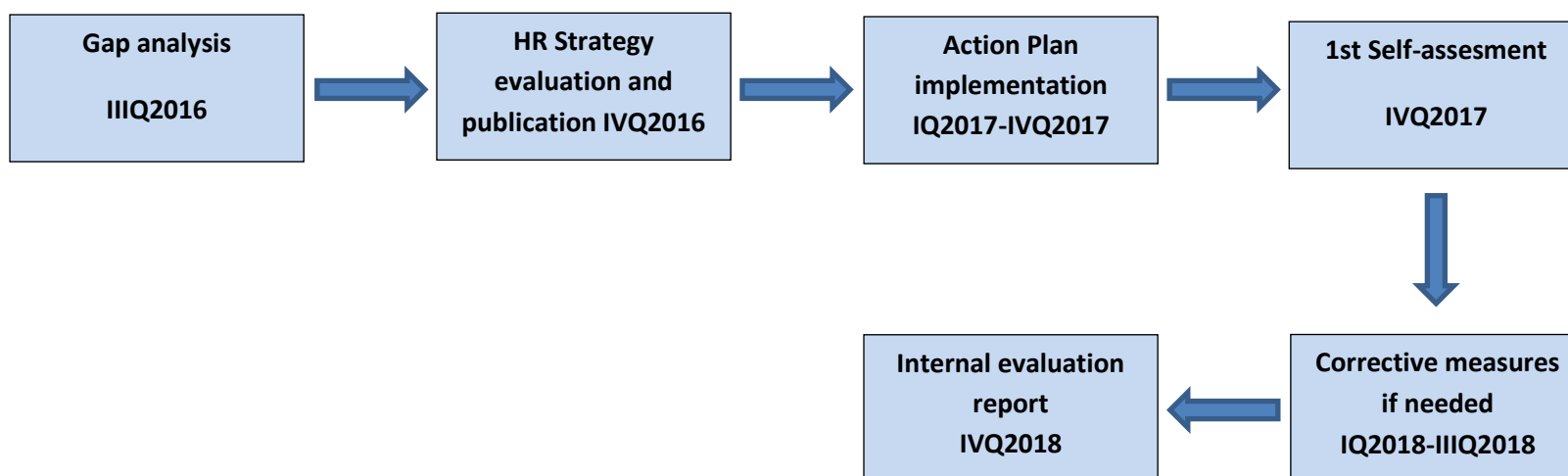
### **3.41. Conclusions**

As a result of analysis of internal documents (Rules, Regulations) of New Chemical Syntheses Institute and results of internal survey, the appointed WG for obtaining HR logo showed fulfilment of the majority of principles included in the Charter and Code. It also indicated the areas which need legislative measures to be undertaken in order to adjust internal procedures to provisions of the Charter and Code. A number of principles is governed by national legal acts such as the Labour Code or the Act on Research Institutes and other provisions of law, whereas the other principles are subject to internal regulations of INS. The Institute shay obey all the principles included in the Charter and Code and improve its actions, procedures and binding Rules.

## 4. Action Plan

The WG for obtaining HR logo presented the results of analysis of internal regulations and results of survey to Directors of the Institute and heads of departments. The Action Plan in order to eliminate existing gaps was also proposed. The Action Plan is as follows:

Principle	Actions to be taken	Time of implementation	Responsible person
<b>Ethical principles</b>	Development of internal Code of Ethics incorporating defragmented regulations regarding ethical issues	IIQ2017	Administrative & Law Department
<b>Good practice in research</b>	Introduction of the procedure regarding confidentiality of documentation and protection of personal data	IIIQ2017	Administrative & Law Department
	Training for employees in the scope of personal data protection	IVQ2017	HR Department
<b>Non-discrimination</b>	Including non-discrimination provisions included in the C&C into the existing Operational Rules	IQ2017	Administrative & Law Department
<b>Recruitment procedures</b>	Uploading Rules for Recruitment in Polish and English on website	IQ2017	Research Support Department
<b>Transparency</b>	Appointment of the person responsible for correct operation of recruitment procedure and contacts with candidates	IQ2017	Scientific Director
<b>Judging merit</b>	Provisions of specified and detailed judging merits for evaluation of candidates	IQ2017	Scientific Secretary
<b>Variations in the Chronological Order of CVs</b>	Including provisions of variations into the Chronological Order of CVs in Rules for Recruitment of Researchers	IQ2017	Administrative & Law Department
<b>The Value of Mobility</b>	Including provisions of recognition of the value of mobility into Rules for Recruitment of Researchers	IQ2017	Administrative & Law Department
<b>Intellectual Property Rights</b>	Training for Researchers related to intellectual property rights	IIQ2017	Research Support Department
<b>Complaints</b>	Appointing Employee Relations Commissioner to handle complaints/appeals	IIQ2017	INS Director
<b>Mentorship (Supervisions) and Managerial Duties</b>	Introduction of systemic solutions improving the transfer of knowledge from senior researchers to early-stage researchers	IVQ2017	Director, Administrative & Law Department

**Timeline for the first phase of the Human Resources Strategy for Researchers**

The Institute will implement the Action Plan within 1-year long period (2017). After the implementation of the Action Plan the Working Group will verify and evaluate the effectiveness of the strategy implementation and plan corrective measures if necessary. The corrective measures will be applied from IQ2018 to IIIQ2018. The WG will then prepare an internal implementation report showing the progress made towards the objectives of its HR Strategy for Researchers and its compliance with the principles of the Charter & Code.

## 5. Final conclusions

The analysis of internal documentation related to working environment, recruitment procedures and working conditions carried out by Working Group for obtaining HR logo Excellence in Research showed that INS obeys the rules and provisions included in the Charter and Code, however, some of the provisions need to be incorporated or specified in the existing internal legal acts. The report of internal analysis and survey constitute the outcome of works performed by WG. The conducted analysis enabled the WG to identify 11 out of 40 principles contained in the C&C where certain actions are to be taken in order to eliminate existing gaps. The WG proposed the Action Plan for 2017, the implementation of which will fully adjust INS regulations to the principles provided in the C&C. The strengths of the Institute cover working conditions, stability and permanence of employment and career development. Working on the project of HR Excellence in Research showed that INS should raise researchers' awareness in the scope of personal data protection and intellectual property rights which will be realized by workshops and trainings to be organized in the Institute.

The Development Strategy for the Institute involves the key role of both basic and applied research and implementation works in obtaining grants and funding. Therefore, INS will continue to create good conditions for development of scientific potential of both current and future employees.

**ACCEPTANCE**

The New Chemical Syntheses Institute represented by Director Cezary Możejński fully accepts the Human Resources Strategy for Researchers.

Puławy, 12<sup>th</sup> September 2016



Cezary Możejński Ph. D. Eng.  
Director of the New Chemical Syntheses Institute