

## EURAXESS

### GAP Analysis (Charter and Code Checklist)

**Case number**

2022PL738284

**Name Organisation under review**

Center for Theoretical Physics PAS

**Organisation's contact details**

Al. Lotników 32/46, Warsaw, 02-668, Poland

**Date endorsement charter and code**

03/02/2022

**Submission date to the European Commission**

10/07/2023

#### GAP Analysis overview

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

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

- **Status** : to what extent does this organisation meet the following principles?
- **Implementation** (++, +/-, -/+, --) :

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

## Status

### Ethical and Professional Aspects

#### 1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap. CTP PAS was funded in 1980 with the purpose to create a place with a minimal amount of restriction concerning research freedom. Researchers are free to identify scientific questions, propose research methods, and propose (annually) their research tasks. A culture of scientific freedom is incorporated into the existing regulations and statutes of CTP PAS.	

#### 2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The Institute has not been experiencing substantial issues concerning ethical principles in its history. On the other hand, the institute is growing, new group leaders have been hired during the last 8 years. The survey performed in April -June 2022, indicated that in some groups tensions are appearing. The successful researchers, receiving big research projects, are often not sufficiently trained to manage the group.	CTP PAS implemented a policy to fulfil the EU Whistleblower Protection Directive. CTP PAS published the Gender Equality Plan (GEP). There are needed workshops to improve effective communications and learn more about the current ethical standards. GEP needs improvements. June 26 , 2023 CTP PAS Director established the new team for the Gender Equality Plan, led by prof. Agnieszka Janiuk. The new team is writing the annual report, prepare a survey and updating the Gender Equality Plan. Actions from the Action Plan related to the Ethical Principles: Trainings 1, 2, 3, and Actions 5, 16, 24

**Status****3. Professional responsibility**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The issue is well regulated in existing documents that cover both the principles (Statute, the Ethical Code of Conduct) and precisely describe the practice (regulations and other guidelines). There were cases of delegating hard tasks to R1-R2 researchers.	We plan to organize a training series to improve managerial skills, time organization and soft skills. Actions from the Action Plan related to Professional responsibility: Trainings 1, 2, 3, and Actions 11, 12, 13, 18, 20.

**4. Professional attitude**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap. The issue is precisely regulated by normative regulations and supported by the existing institutional culture. The cases are discussed on an ongoing basis. Young researchers are obliged to inform supervisors about potential delays and obstacles. Supervisors must provide young researchers with support and feedback to assist with compliance.	-

**5. Contractual and legal obligations**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	No systemic support in terms of healthcare and legalisation for non-Polish-speaking employees. Onboarding needs improvement in this respect.	CTP PAS signed an agreement with a private medical centre to have all personnel speak in English. CTP PAS hired a company representing foreigners in the Office for Foreigners to legalise their stay in Poland. CTP PAS plan to create online resources for newcomers. Actions from the Action Plan related to Contractual and legal obligations: Action 5 Action 12 Action 14 Action 16 Action 22

**Status****6. Accountability**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
+/- almost but not fully i...	The webpage and social media are not sufficiently used—lack of information about results for all projects. Not all rules concerning purchases are clear.	CTP PAS manages a youtube channel. Typically seminars are recorded and published. <a href="https://www.youtube.com/channel/UCBmbEBj4eybdApFesQCcc2w">https://www.youtube.com/channel/UCBmbEBj4eybdApFesQCcc2w</a> Needed: - More up-to-date, visible and precise data regarding projects, expected results and financing on the CTP website (Polish and English) - Simple, clear regulations for purchases. Related Actions: Action 13 Action 14 Action 20 Action 21

**7. Good practice in research**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	No gap. The institute employs only theoreticians - no serious risks are related to their work. Under the existing Polish Labour Code, employers are responsible for securing safe and adequate working conditions. The CTP PAS organizes required training for new researchers and employees. CTP PAS moved to Cloud solutions. As a result, all data are automatically back-up. The specific details of work are precisely regulated in dedicated regulations and sets of guidelines. The issue of data protection is also regulated in a dedicated set of regulations as well. There is the Data Protection Officer.	Related Actions: Action 3 Action 20 Action 21

**Status****8. Dissemination, exploitation of results**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The CTP PAS does not have enough personnel. The funding is not sufficient. Additional duties related to the social media are usually given to PhD students or to the Deputy Director for General Affairs.	CTP PAS manages a youtube channel. Typically seminars are recorded and published. <a href="https://www.youtube.com/channel/UCBmbEBj4eybdApFesQCcc2w">https://www.youtube.com/channel/UCBmbEBj4eybdApFesQCcc2w</a> We are going to set up a Twitter account and improve Facebook managed by CTP PAS. Related Actions: Action 13 Action 20 Action 21

**9. Public engagement**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	During the pandemic some outreach activities were stopped and not retaken.	Staff and faculty members are active in popularizing and promoting public understanding of science. Prof. Łukasz Turski initiated two successful ideas in this area. The first one is the Scientific Picnic – the largest science communication event in Europe with 100 000 participants. The idea and its execution have been commended by the European Commission as one of ten exemplary European popularization projects and honoured with the Gold Medal of the European Physical Society. The second is the Copernicus Science Center, created and financed by the City of Warsaw, Ministry of Science and Education. We plan to continue open lectures opened for the general public on Khan Academy, and the CTP PAS youtube channel. Related Actions: Action 12 Action 20 Action 21

**Status****10. Non discrimination**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Domination of men in theoretical physics, already at the PhD level.	Plan to apply for a project dedicated to women in Science to create a nice opportunity for work. Related Actions: Action 1 Action 2 Action 3 Action 15 Action 24

**11. Evaluation/ appraisal systems**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Lack of a clear and transparent appraisal system.	The former director appointed a committee to propose a clear appraisal system. Consideration should be given to ways of developing the regular evaluation system that would cover both scientific, public engagement and professional development criteria. Related Actions: Action 5 Action 11 Action 12 Action 14 Action 16

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

**12. Recruitment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The recruitment system for PhD students is regulated by the PhD School and works well. The recruitment for post-doc positions is regulated by many different regulations, specific for different financing agencies. There is no coherent system for recruitment.	It is planned to create the OTM-R policy, and publish it on the CTP PAS website. To include clear selection criteria and common rules into the existing practices. Related Actions: Action 4 Action 5 Action 8 Action 9 Action 11 Action 16 Action 22

**Status****13. Recruitment (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Selection criteria are not well specified for post-doc positions. No clear rules for a tenure track.	To describe the recruitment procedure in a way to make the process more predictable to potential candidates (criteria of the decision). If there are requirements other than scientific achievement (like public engagement activities), these must be presented as criteria as well. There is also a need to provide potential candidates with more precise information about the working conditions. Related Actions: Action 5 Action 8 Action 9 Action 15 Action 16 Action 22

**14. Selection (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	External evaluators not involved in all types of selection.	To discuss potential changes to the existing practices using more diverse selection practices – such as external expert assessment. Related Actions: Action 8 Action 9 Action 15 Action 16

**15. Transparency (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Missing coherent document with recruitment policy.	There is a need to create a recruitment policy document and practice that describes the criteria by which recruitment decisions are made, formulated and announced. The good practice of providing candidates with feedback about their potential strengths and weaknesses is to be considered as a policy element. Related Actions: Action 8 Action 9 Action 15 Action 16 Action 22

**Status****16. Judging merit (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	No gap. In physics this requirements are relatively easy to fulfill during interviews. The Selection Committees are always composed from experts in the field. The selection process takes into consideration the whole range of experience of the candidates.	Related Actions: Action 9 (published coherent document with the OTM-R policy) Action 15 (satisfaction survey to candidates)

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

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	No gap. There is a freedom of form in terms of the CV format while applying to CTP PAS. here is a need to discuss and establish a long term policy and criteria that would constructively include the non-chronological order of the CV.	Related Actions: Action 9 Action 15

**18. Recognition of mobility experience (Code)**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
++ fully implemented	No gap. CTP PAS well recognizes the value of mobility. Mobility is required for the habilitation degree by Poland's Act of Law of the Higher Education System. Practically all PhD students are taking part in internships abroad. In average, 50% of PhD students and more than 70% of post-docs comes from abroad.	Related Actions: Action 9 Action 15



**Status****19. Recognition of qualifications (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap. The issue is well regulated (in the internal regulations and regulations of the agencies financing science), and implemented in the every-day practice.	Related Actions: Action 9 Action 15

**20. Seniority (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	High barrier to enter for "senior post-docs" - regulations of the agencies financing science in Poland set, a practically, upper limit for applicants.	Indicating the problem via representatives in the agencies financing science. Related Actions: Action 9 Action 15

**21. Postdoctoral appointments (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Missing clear guidelines. Not sufficient training for post-doctoral researchers.	Polish laws as well as the CTP PAS regulations, precisely describe the rules and guidelines for the recruitment and appointment of postdoctoral researchers. The evaluated institutional practice is positive according to these criteria. Related Actions: Action 9 Action 15 Action 22

**Working Conditions and Social Security****22. Recognition of the profession**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap.	

**Status****23. Research environment**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	No gap.	CTP PAS holds a weekly Colloquium, a gathering where all employees are in attendance. Numerous research groups in Warsaw align their topics with CTP PAS, fostering an environment conducive to scientific discussions and opportunities for collaboration.

**24. Working conditions**

<b>Implementation</b>	<b>GAP / Implementation impediments</b>	<b>Initiatives undertaken/new proposals</b>
-/+ partially implemented	CTP PAS ensures the working conditions for all researchers that support successful research performance. The practice described in existing regulations includes: -flexible working hours -flexible solutions that help to combine family and work, children and career -sabbatical leave possibility -distance work - regulations related to training leaves The main problems are: - the lack of proper office space. The building in which CTP PAS resides is old and not fully suitable for disabled people. - communication problems. The administration needs additional courses in English. - The most active R3 and R4 researchers are overloaded with work. Impediment: - No more space inside the current building and financing. - More administration needed, especially in the Project Department.	CTP PAS is a modern and well-equipped Institute that creates a friendly research environment. The existing regulations and the national law precisely describe employer responsibility regarding employees' safety and health. No additional regulations are necessary. CTP PAS has also applied for infrastructure funds from the Polish government to support this initiative. Director of CTP PAS indicated the problem to the President of the Polish Academy of Science, who offered support in the institute actions. CTP PAS has taken proactive steps to improve accessibility by planning renovations for its offices, rearranging the space. The administration will take part in English courses. CTP PAS has future plans to expand its project department. The new person can be financed from the indirect cost of the new projects. Related Actions: Action 2 Action 3 Action 5 Action 6 Action 7 Action 10 Action 11 Action 12 Action 16 Action 17 Action 18 Action 19 Action 24

**Status****25. Stability and permanence of employment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The existing practice supports the stability issue. All researchers are employed on the salary base, 40% with an open-ended contracts. There are however no clear rules for a tenure track for post-docs. Impediment: Limited space and financing.	The new policy - opening an open position every four years. There are planned workshops on the current programmes offering continuation of research. Related Action: Action 24

**26. Funding and salaries**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap	CTP PAS ensures 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. The salary is good compared to other Polish research institutes. It has increased by 24% during the last four years. Related Actions: Action 5 Action 16

**27. Gender balance**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	CTP PAS is dominated by men (88 % among professors). However, the imbalance tendency is changing among the youngest generation of researchers: female scientists are 28% of the staff.	CTP PAS established the Gender Equality Plan (published - in June 2022), with the whole Plan of improving the situation. In between - gender balance in the selection committees and applying for projects dedicated to women. We are implementing GEP. All 12 actions are gathered within the Gender Equality Plan, which is summarized as the action 24 in the Action Plan.

**Status****28. Career development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	More than 50 young researchers obtained their doctoral degrees under the supervision of faculty members of CTP PAS. Most continue their scientific careers in Polish and foreign research institutes and universities. Over one-third of all PhD graduates of CTP PAS achieved full professorships in various institutions in Poland, other European countries and the United States. PhD students and post-docs complained about the lack of clear rules and helped from the institutes. On the other hand, as stated above, the supervisors effectively found appropriate positions for their PhD students.	Development of the HR and Project Offices. One of the Project Officers will have to look for funds for young researchers and support them in preparing their applications. HR Manager will develop regular bulletins about posts/ fellowships/training and workshop opportunities. Related Action: Action 24

**29. Value of mobility**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The value of mobility is generally accepted, but sometimes it is difficult (especially for young parents). CTP PAS encourages but does not enforce mobility.	Over 40% of employees are foreigners. The mobility is supported by CTP PAS and the agencies financing science in Poland. Since 2019 mobility has been a formal requirement in Poland for researchers applying for the habilitation degree.

**30. Access to career advice**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	No formal system at CTP PAS would support access to external, professional career advice. However, the informal system of individual tutoring is well rooted in the CTP PAS practice and the Polish Research culture. Each research assistant and young researcher is supported by an individual tutor within the system.	Incorporating career advice into the onboarding procedure and in a mid-term evaluation. Meeting with Deputy Director for Science for people willing to continue their work in Science. Related Actions: Action 10 Action 12

**Status****31. Intellectual Property Rights**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Several regulations precisely describe the Intellectual Property Rights at CTP PAS. The policy is outdated and needs a new version. The existing practice should be developed in terms of training that raise the researchers' awareness. Impediment: The main Act of Law for the Polish Academy of Science is being proposed. Improvement of the documents will make sense once the new law is introduced.	Training/seminars in Intellectual Property Rights for the CTP PAS staff, particularly for the board of directors. The sources of information should be communicated well during onboarding - this can be monitored with checklists for employees and newcomers. Related Actions Action 5 Action 11 Action 12 Action 16

**32. Co-authorship**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap	

**33. Teaching**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap	According to the institution, Statutes CTP PAS does not provide regular academic teaching and formal didactic activities. On the other hand, CTP PAS is run in consortia of 17 other institutes, and two Doctoral Schools. Teaching at the schools is not obligatory, but recommended and well paid. Seminars respond to the principles declared in the Charter & Code for Researchers.

**Status****34. Complains/ appeals**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	According to the survey: researchers are not sufficiently well informed about the complaint system.	CTP PAS implemented the EU directives. Everyone can complain writing on <a href="mailto:naruszenia@cft.edu.pl">naruszenia@cft.edu.pl</a> . There is a single owner of this email. Now it is managed by prof. Bożena Czerny - a person with strong position in science, and experienced in similar bodies. There are paths to complain to appropriate body of the Polish Academy of Sciences, a level above the institute. In addition there are the Disciplinary Committee and the Appeal Committee at the CTP PAS. Information about the complaint system should be available online and communicated during onboarding about the methods of submitting complaints and appeals. Related Actions Action 1 Action 2 Action 3 Action 5 Action 12 Action 16 Action 22 Action 24

**35. Participation in decision-making bodies**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap	The Boards of Directors and the Scientific Council are two governing organs at CTP PAS. According to the existing Bylaws researchers, including PhD candidates are represented in the Council. They are also members of the Disciplinary Committee and the Board of Appeal.

**Training and Development**

**Status****36. Relation with supervisors**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The organization's culture and Employment Regulations strongly support the tutoring and supervision system to support researchers' professional development (system based on mentoring, with usually one or two PhD students per R3-R4 researcher). The feedback sessions initiated by a tutor – senior or early-stage researcher- are seen as everyday practice in the CTP PAS. According to the surveys, the situations need substantial improvements in two out of eight research groups working at CTP PAS.	Regular anonymized surveys. The survey results should be discussed and analyzed by the CTP PAS employees during a seminar or workshop. Training for supervisors. Related Actions: Action 1 Action 2

**37. Supervision and managerial duties**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Missing clear indications and rules for supervisors. Management selected from scientists, i.e. not always appropriately prepared for their role. There is a constructive and positive relation with R2-R3 and R4 researchers, confirmed by the structures of grants and project staffing.	We plan to organize a training series to improve managerial skills, time organization and soft skills. Related Actions: Action 1 Action 2

**38. Continuing Professional Development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The CTP PAS organizational culture supports the professional development. The Center supports participation in conferences and seminars both in Poland and abroad. There is however a need to provide more opportunities to develop competences in project management and managerial skills.	The professional development gaps assessment and development plan, especially for young researchers. To be considered: Individual support program for early-stage researchers. Related Actions: Action 1 Action 2 Action 23

**Status****39. Access to research training and continuous development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	CTP PAS co-finances training in languages, and participation in conferences, training and seminars. There is a need for a development plan that covers areas like management and commercialisation.	We plan to organize a training series to improve managerial skills, time organization and soft skills. Related Actions: Action 1 Action 2 Action 23

**40. Supervision**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap: Every semester early-stage researchers receive formal feedback from the supervisor and the PhD School coordinator. In addition the independent mid-term Evaluation Committee, consisting from also external researchers is evaluating and also giving feedback to PhD students.	No action required. Action 1 (Training in effective communication) can support the process of Supervision.