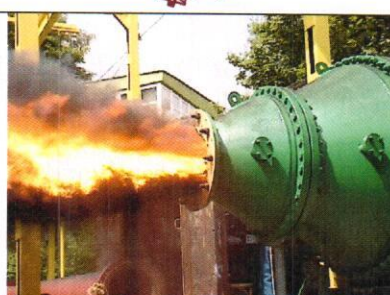
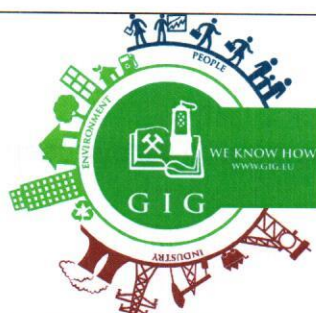




# Human Resources Strategy for Researchers Internal Gap Analysis and Action Plan



Katowice, May 2016 r.

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## List of acronyms and terms used in the text

GIG	– The Central Mining Institute
IMS	– Integrated Management System
the Charter and the Code	– the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers
NCBR	– The National Centre for Research and Development
NCN	– The National Science Centre
EC	– the European Commission



## I. Introduction

The Central Mining Institute (GIG), established on 16 April 1945 with the Regulation of the Council of Ministers of 11 April 1945, is a research institute pursuant to the Act of 30 April 2010 on research institutes (uniform text Dz. U. z 2016, poz.371). Barbara Experimental Mine located in Mikołów, established 20 years before, is a part of GIG.

GIG's research activities focus on solving problems associated with mining industry, especially underground (hard coal and ore) mining. The industry, due to its specific nature, generates a number of complex problems concerning work-related safety, technology, environment protection and the society. To deal with the research areas, GIG has highly qualified personnel and expertise, together with specialist laboratories, testing grounds and unique data bases.

Nowadays, GIG's research subjects, development works and research services focus on:

- mining and geoengineering,
- environmental engineering,
- work-related safety in the industry,
- material engineering,
- sustainable energy technologies (storing CO<sub>2</sub> in geological structures, renewable sources of energy, optimizing fuel selection, clean coal technologies, use of mine gas in power industry, combined heat and power generation in small scattered systems (CHP), energy audits and thermomodernisation solutions in construction of buildings, new and safe technologies of producing hydrogen fuel, new coal energy and chemical technologies),
- radiological protection and radioecology,
- economic and social research,
- conformity assessment (certifying and assessing products, management systems and personnel),
- education and training services (doctoral studies, post-graduate studies, specialist courses).

Services offered by GIG cover all stages of research and implementation activities: from research through a project to the feasibility analysis and implementation supervision. Most of research conducted at GIG end as *'fit for sale'* and lead to useable and implementable results.

GIG has implemented Integrated Management System (IMS) (quality, health and safety, environment). GIG obtained its first IMS certificate in 2002 (JBS-22/1/2002), yet as soon as in November 1998, the Polish Centre for Testing and Certification confirmed compliance of the implemented quality system with the requirements of standard PN ISO 9001:1996 (certificate no. 203/1/98); and in 2000, GIG obtained certificate no. JS – 30/1/2000 confirming compliance of the implemented quality system and environmental management system with the requirements of standards PN ISO 9001:1996 and PN-EN ISO 14001:1998. Current IMS certificate no. JBS-54/7/2015, issued by the Polish Centre for Testing and Certification on 5 June 2015, confirms compliance of the implemented management system with the requirements of standards: PN-EN ISO 9001:2009, PN-N-18001:2004 and PN-EN ISO 14001:2005. The certificate is valid through 4 June 2018. Within the structure of GIG there are 16 laboratories accredited by the Polish Centre for Accreditation, including 14 research



laboratories and two with accreditation by the Polish Centre for Accreditation as both research and calibration laboratories.

Within the framework of scientific and technical collaboration, joint research projects and exporting goods and services, GIG maintains extensive contacts with foreign enterprises and institutions. GIG realizes a number of international projects within the framework of: European Union Programmes, Research Fund for Coal and Steel, EU structural funds, European and Polish technological platforms, centres of advanced technologies.

The following parameters confirm high position of GIG in Polish science:

- category A, obtained after parametric assessment of academic units in 2009 – 2012,
- realizing numerous research projects (in 2015, 48 projects were realized, including 28 international research projects within the framework of European Union Programmes (FP7, Horizon 2020) and other programmes as well as 20 national projects,
- since 2004, GIG has had the status of a Notified Unit of the European Union (at present in the following directives: ATEX 94/9/WE, Machinery 2006/42/WE and Explosives for Civil Uses 93/15/EWG and Regulation of the European Parliament and of the European Council No. 305/2011 on marketing construction materials) and since 2011 it has had competences of a certifying unit within IECEx system,
- dynamic development of research personnel (in 2015, five of GIG employees were granted the degree of doctor and, after conducting the proceeding, one GIG employee was awarded the title of professor. A total of 116 people, in different ways, improved their competences),
- positive financial result.

GIG is a founder-member of the European Network of Environmental Research Organizations (ENERO) and Global Carbon Capture and Storage Institute (GCCSI) and a member of such organizations as the International Organization for the Study of Endurance of Ropes (OIPEEC) and the International Mine Water Association (IMWA). GIG's employees belong to the World Mining Congress (WMC) and the International Bureau of Strata Mechanics (IBSM).

Pursuant to Memorandum of Understanding signed in Geneva on 30 October 2015; in 2016, the International Centre of Excellence on Coal Mine Methane (ICE-CMM) will start operating at GIG. The Centre will operate under auspices of the Group of Experts on Coal Mine Methane of the United Nations Economic Commission for Europe (UNECE).

GIG has the right to grant academic degrees of Doctor of Technical Science and Doctor Habilitatus of Technical Science in:

- mining and geoengineering – since 1961,
- environmental engineering – since 1998.

GIG constantly improves its structure and organization and adapts the researched subjects to the conditions of market economy and current needs of the region, industry and Polish science.



## II. Aim and scope of actions

Management of the Central Mining Institute made a decision to implement *the European Charter for Researchers* and *the Code of Conduct for the Recruitment of Researchers*, adopted by the European Commission on 11 March 2005 (Recommendation of the European Commission 2005/251/EC).

Implementation of *the Charter & Code* provisions will increase attractiveness of the Institute for researchers through providing friendly working environment, intensify exchange of experiences with other organisations realising 'Human Resources Strategy for Researchers' (HRS4R), and contribute to further progress of science.

As soon as in 2006, *the Code of Ethics of employees of the Central Mining Institute* was prepared basing on *the European Charter for Researchers*. GIG's researchers have professional approach to research. They take responsibility for actions and their consequences, follow good practice and the good of the society; accept limitations of GIG's infrastructure, budget and personnel; respect the intellectual property rights and joint data ownership; understand mechanisms of financing research and strategic goals of their research community, follow the rules of diligent, transparent and effective finance management; and are socially involved. Procedures applied at GIG facilitate constructive and positive relationships among researchers, contributing to effective transfer of knowledge. The procedures also include provisions which implement other requirements of *the Charter & Code*. Nevertheless some of GIG's internal regulations require updating so that provisions of the above mentioned documents could be fully implemented.

In 2015, GIG took actions aimed at obtaining the logo of *HR Excellence in Research*, which supports creating friendly research environment and provides transparent rules of recruiting researchers. As a result of the actions, an internal analysis was conducted. Basing on results of the analysis the Action Plan was prepared and, on 14 September 2015, the application was sent to the European Commission. On 21 October 2015, GIG received evaluation where mismatches in the submitted application were presented. GIG is vitally interested in implementing provisions of *the European Charter for Researchers* and *the Code of Conduct for the Recruitment of Researchers*, hence, basing on the comments sent by the European Commission, additional actions were taken and a new Action Plan was devised.

## III. Methodology

Following recommendations of the European Commission concerning implementation of provisions contained in *the Charter & Code*, an internal analysis was conducted with *Internal Analysis Template* obtained from <http://ec.europa.eu/euraxess/rights>. Key representatives of researchers and administrative personnel were involved in the analysis. Then a survey was conducted, which enabled evaluating current stage of implementation of provisions of *the Charter & Code*. The obtained results were analysed by the Working Group and discussed. The result of the steps was identifying the mismatches and indicating actions necessary for full implementation of provisions of *the Charter & Code*.

### III.1. Applied tools

To devise an optimal Action Plan which enables full implementation of *the European Charter for Researchers* and *the Code of Conduct for the Recruitment of Researchers* the following tools were used:

- desk research of current legal framework and internal regulations,
- Working Group,
- internal parametric survey,
- mismatch analysis.

The applied set of research tools was to verify the collected data and observations through confronting results obtained with different research tools. The procedure of conducting the internal analysis and devising Action Plan is presented in Figure 1.

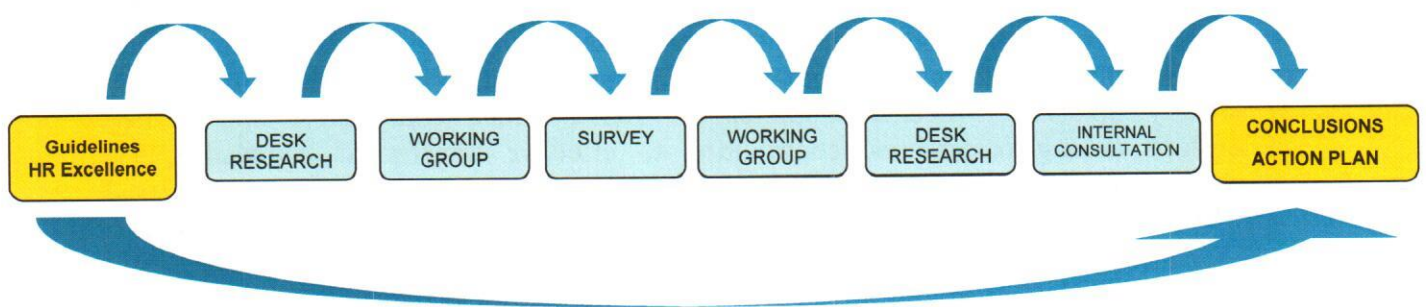


Fig. 1. The procedure of conducting internal analysis and devising Action Plan

### III.2. Desk research of current legal framework and internal regulations

The first step in the internal analysis was a detailed comparison of provisions of *the European Charter for Researchers* and *the Code of Conduct for the Recruitment of Researchers* with Polish current framework and GIG's practice. The following documents were analysed:

#### 1. Polish law:

- Act of 30 April 2010 o research institutes,
- Act of 30 April 2010 on principles of financing science,
- Labour Code of 26 June 1974,
- Act of 4 February 1994 on copyright and related rights,
- Act of 14 March 2003 on academic degrees and academic title and degrees and title in art,
- Higher Education Act of 27 July 2005,
- Act of 30 April 2010 on the National Centre for Research and Development,
- Act of 30 April 2010 on National Science Centre,
- ordinances to the above mentioned Acts.



## 2. internal regulations:

- GIG's Statute,
- GIG's Collective Labour Agreement,
- GIG regulations,
- procedures and instructions of GIG's Integrated management System,
- orders, and circulars of the General director of GIG.

### III.3. Working Group

In November 2015 with Order no. 20/15 of 9 November 2015, the General Director of GIG initiated Working Group including representatives of researchers and administrative personnel:

**Coordinator:** Stanisław Prusek, Ph.D. – General Director of GIG

**Researchers:**

- Józef Dubiński, Ph.D., Professor – Chairman of the Scientific Council,
- Krystyna Czaplicka-Kolarz, Ph.D., Professor – Deputy General Director for Research and Development,
- Jan Wachowicz, Ph.D., Professor – Deputy General Director for Geoengineering and Industrial Safety,
- Jan Bondaruk, D.Sc. – Deputy General Director for Environmental Engineering
- Józef Kabiesz, Ph.D. Professor GIG – Head of Department of Rockburst and Rock Mechanics,
- Małgorzata Wysocka, Ph.D. Professor GIG – Head of Silesian Centre for Environmental Radioactivity,
- Joanna Martyka, Ph.D. – Head of Department of Economic and Social Studies,

**Representatives of administrative personnel:**

- Mariusz Borek, M.Sc. – Head of Team for Promotion,
- Elżbieta Gruszka, M.Sc. – Coordinator for Management Systems,
- Sylwia Jarosławska-Sobór, Ph.D. – Spokesperson,
- Mariola Zalot, M.A. – Head of Personnel and Organisation Department,
- Małgorzata Zielińska, M.A. – Head of Training and Information Centre,
- Jolanta Żurawska-Chmielewska, M.A. – Secretary of the Scientific Council
- Agnieszka Siwy, M.A. – member of European Funds Team.

Selection of the Working Group enabled conducting internal analysis and defining the final Action Plan. The Working Group met several times analysing mismatches between GIG's current regulations, procedures and practice and provisions of *the Charter & Code of Conduct for the Recruitment of Researchers*. The Working Group also prepared a questionnaire which allowed us to learn what the researchers think about the level of implementation of provisions of *the Charter & Code*, and then analyse its results. Considering results of the analyses, certain actions were recommended and discussed with a wider group of employees at a session of Collegium of GIG, which was held on 26 January 2016. After the meeting, the document was emailed to the participants. Their comments were considered in the following document.

### III.4. Survey

The survey was conducted among GIG researchers<sup>1</sup> between 14 and 21 December 2015. Its aim was to get researchers involved in the process of analysing compliance of GIG's actions with provisions of *the Charter & Code*. The questionnaire was prepared basing on provisions of *the Charter & Code* and contained 38 statements divided into four areas:

- I. Ethical and Professional aspects
- II. Recruitment
- III. Working conditions and social security
- IV. Training and career development

It was conducted in electronic form with open source software survey tool Lime Survey.

The respondents were required to rate each of the 38 statements from 1 to 6 as it is presented in Table 1.

Table 1. Survey – scale of answers and their meaning

Scale	Answers	Meaning	Attitude
1	yes	strongly agree	positive
2	rather yes	agree	
3	hard to say	uncertain	neutral
4	rather no	disagree	negative
5	no	strongly disagree	
6	N/A	N/A	neutral

The survey was addressed to 291 employees of GIG, including 119 researchers, 33 research and technical employees and 139 engineering and technical employees. They constituted 51.96 % of all personnel employed at GIG.

The survey was anonymous. A total of 190 people filled in the questionnaire, i.e. 65.29% of the respondents. The return rate allows us to consider the results to be credible and relevant for all the personnel. Structure of the respondents by sex, age, seniority and employee group is presented in Figures 2a, 2b and 3a, 3b.

<sup>1</sup> Researchers are employees indicated when an academic unit is parameterized (so-called number N), i.e. personnel employed to realize research works and development works, especially: researchers, research and technical employees, engineering and technical employees.



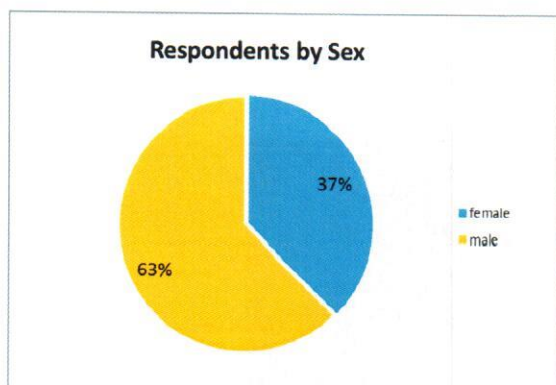


Fig.2a. Respondents by Sex

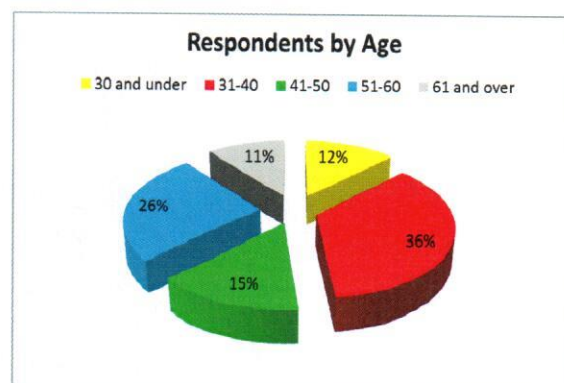


Fig.2b. Respondents by Age

Men constituted 63 % of the respondents. Most of the respondents – 62 % were 31 to 50 years old. It is a credible reflection of the age structure among GIG employees, as average age of a GIG employee at the time of conducting the survey was 47 years old.

Respondents represented the following groups:

- researchers (Professor, Associate Professor, Assistant Professor, Assistant),
- research and technical employees (chief research and technical specialist, senior research and technical specialist, research and technical specialist),
- engineering and technical employees (engineers, chemist, physicist, specialist etc.).

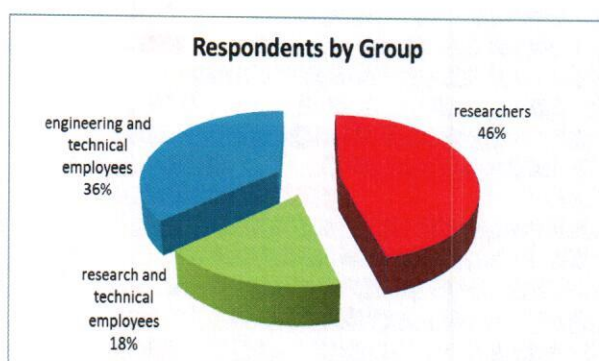


Fig.3a. Respondents by Group

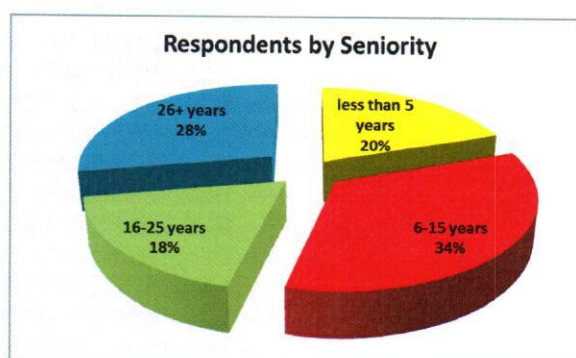


Fig. 3b. Respondents by Seniority

Results of the survey showed that, in general, researchers had a good opinion of the level of implementation of *the Charter & Code* provisions, and indicated the areas where steps must be taken for their full implementation at GIG.

Positive answers (*yes* and *rather yes*) in each of the four areas, following provisions of *the Charter & Code* are presented in Figure 4.

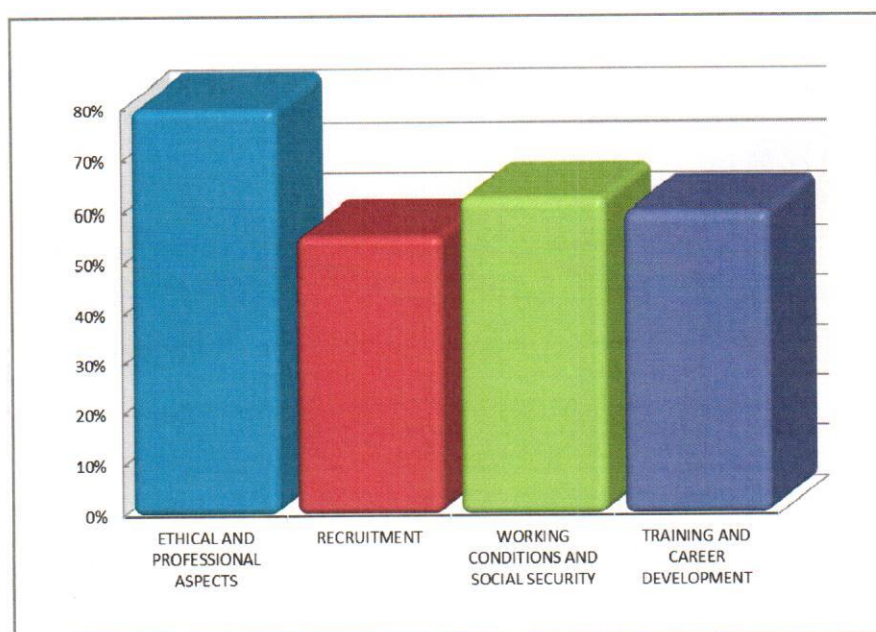


Fig.4. Survey results – % of positive answers

Below are presented detailed results of the survey for each of the areas.

### Ethical and professional aspects

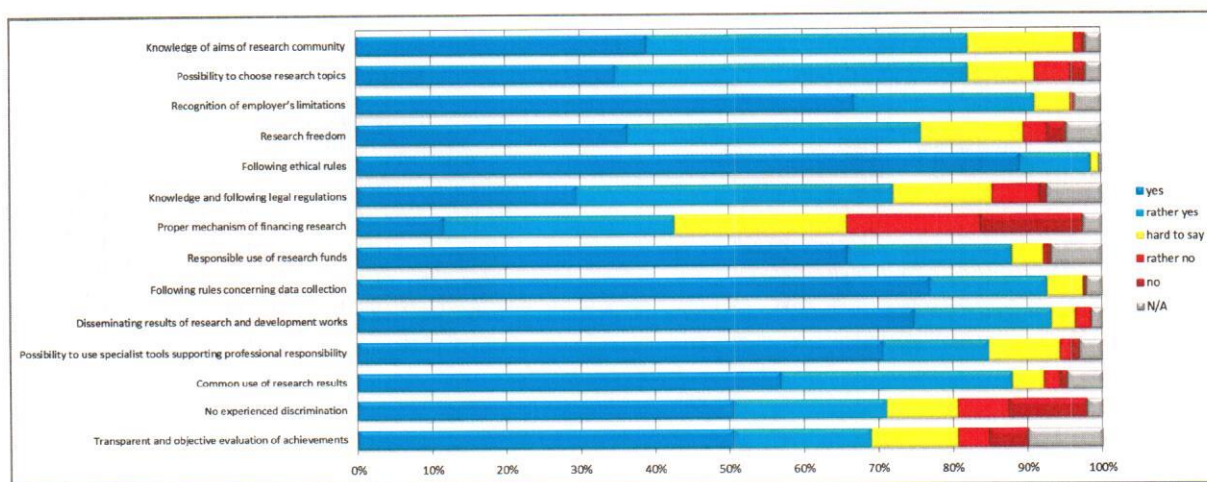


Fig. 5. Answers of respondents – Ethical and professional aspects

In the area concerning ethical and professional aspects, most of the respondents marked positive answers. However, the share of negative answers to the question concerning proper mechanisms of financing research indicates that the mechanism requires additional actions aimed at improving its functioning e.g.: introducing an internal instrument to grant funds for research basing on competitions with clear criteria and announced in advance, publishing results of competitions, and informing employees (especially newly-recruited and young researchers) about actions realised at GIG in the area of financing research.



Another issue in the analysed area is discrimination in the workplace. Most of the respondents (over 71 %) claimed that they had not been discriminated, yet approximately 17% of the respondents answered they had. Because of the respondents' opinions concerning discrimination at GIG, it is necessary to take actions to explain and investigate all the cases.

## Recruitment

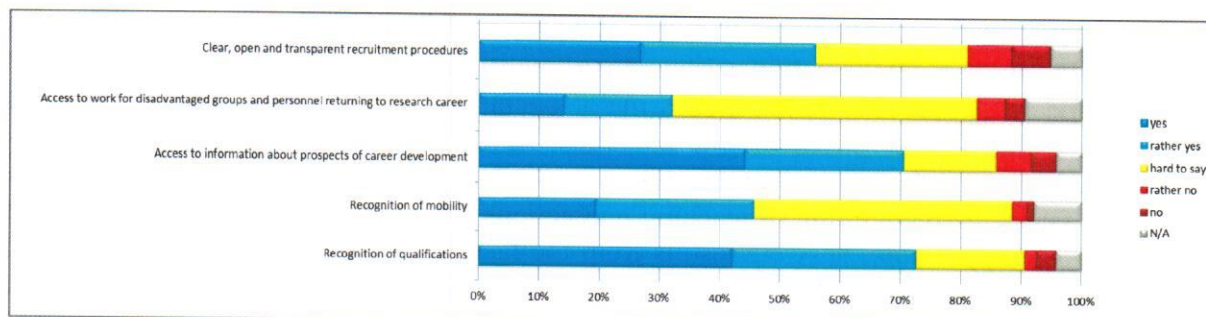


Fig. 6. Answers of respondents – Recruitment

Most answers in the area concerning recruitment were positive. A large number of answers 'hard to say' results from the fact that only 20 % of the respondents are people who have worked for GIG for less than 5 years. Others are much more senior, and the rules and the system of recruitment had changed a lot since they were recruited. Moreover, most employees are not and have never been involved in the recruitment, hence the 'hard to say' answers in the area.

## Working conditions and social security

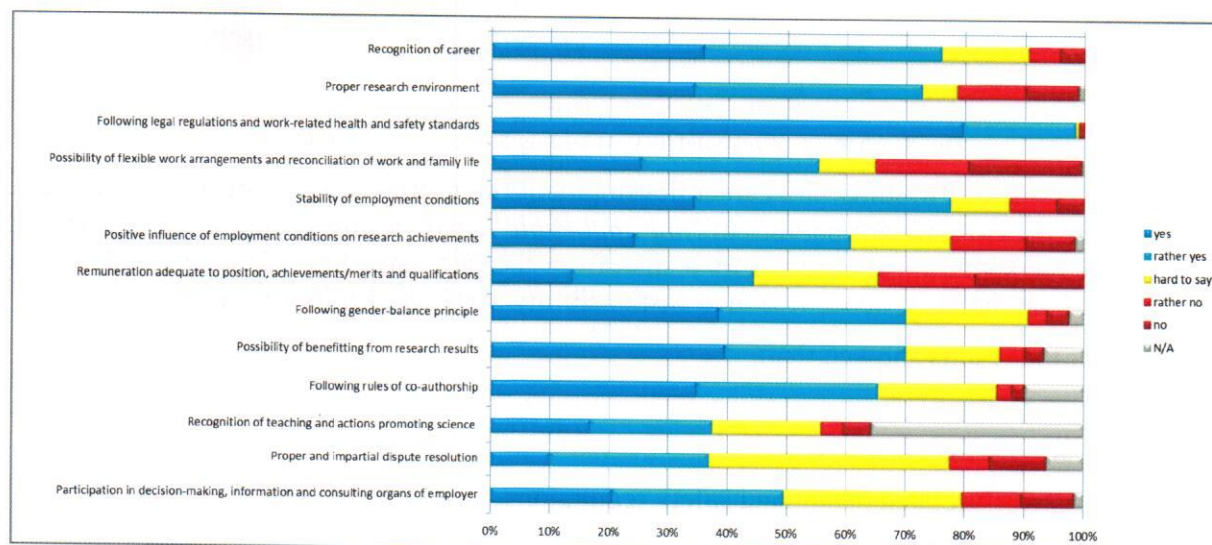


Fig. 7. Answers of respondents – Working conditions and social security

Possibility of flexible working arrangements and reconciliation of work and family life is an issue which brought nearly 34.74% of negative answers. It may mean that, in spite of appropriate provisions in documents concerning flexitime working, a significant group of the respondents do not consider their working conditions to be flexible at all. Such a significant share of negative answers may result from the fact that when the survey was carried out a new

system of timesheet processing, much less employee-friendly than the previous one, yet required following the recommendations issued by the authorities controlling labour market, was being introduced. To provide more convenient working arrangements it is necessary to devise instruments which will both meet the requirements of the controlling authorities and will be employee-friendly.

Another issue with a relatively high share of negative answers in the area of working conditions and social security is remuneration adequate to the position held, achievements and qualifications. GIG's remuneration system to a significant extent depends on the market situation and revenues. At present, GIG's major clients are in the mining sector, which in recent years, due to low prices of raw materials, has suffered recession. It affects GIG's revenues, and in turn, the level of remuneration.

As far as the recognition of teaching and actions promoting science is concerned, the number of '*not applicable*' answers results from the fact that GIG is a research institute and unlike universities is not involved in teaching activities.

### Training and career development

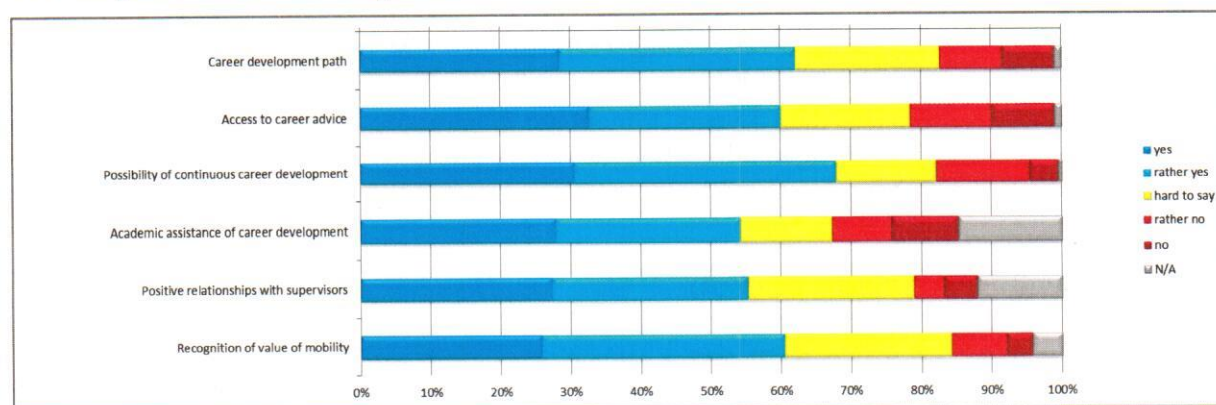


Fig. 8. Answers of respondents – Training and career development

In the area of training and career development the respondents' answers were in large share positive. A significant number of '*not applicable*' answers concerning issues associated with academic support and supervisors results from the fact that some of the respondents are independent researchers, hence it is their responsibility to mentor junior researchers.

Analysis of the results showed that:

#### **GIG's strengths are:**

- following rules and ethical norms,
- following work-related health and safety regulations,
- stability of employment conditions,
- dissemination of research results,
- possibility of benefiting from and using research results,

#### **GIG's weaknesses are:**

- system of financing research at GIG,
- lack of flexible working arrangements which enable reconciliation of work and family life,
- lack of procedures to follow in case of actual discrimination.



To eliminate the weaknesses action shall be taken in the following areas:

- system of financing research at GIG – introducing an internal instrument for granting research funds basing on competitions following clear criteria announced in advance and publishing results of such competitions,
- system of timesheet processing – introducing flexible working time arrangements and facilitating use of other forms of working arrangements (teleworking),
- investigating and clarifying every reported act of discrimination. Devising procedures of conduct in the case of actual discrimination.

#### **IV. Internal gap analysis: reference to every rule of the Charter and the Code; existing rules and/or practice and action required**

##### **I. Ethical and professional aspects**

###### **1. Research freedom**

###### **C&C principle:**

*Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.*

###### **Existing rules and/or practice**

The principle of research freedom is deeply rooted in GIG. The employees follow the good of the society in the realised research and expand the frontier of scientific knowledge, while exercising their freedom of belief and speech. The researchers also decide about their research subject through identifying new scientific problems and proposing applicable research methods. In their research they consider GIG's infrastructure, budget and personnel limitations. The principles are specified in *the Code of Ethics of employees of the Central Mining Institute* (PS – 6.02 – annex no. 8).

###### **Action required**

**None**



## 2. Ethical principles

### C&C principle:

*Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.*

### Existing rules and/or practice

GIG's personnel follow the ethical rules specified in the *Code of Ethics of employees of the Central Mining Institute*, based upon the *European Charter for Researchers* (Recommendation of European Commission of 11 March 2005 – Dz. Urz. UE L 75, p. 67).

### Action required

None

## 3. Professional responsibility

### C&C principle:

*Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.*

### Existing rules and/or practice

GIG's employees support research benefitting the society and try not to duplicate research which was already conducted. Researchers do not commit plagiarism and respect intellectual property rights and joint data ownership in research conducted in collaboration with their supervisors or other researchers. To avoid infringing other parties' rights, employees can consult a patent attorney and a plagiarism checker. GIG guarantees integrity of copyrights in publications, articles, reports, including the ones presenting results of research and development works. Regulations contained in procedure PS – 6.16 *Publishing employees' research works* provide tools which enable verifying whether publications containing research results are not plagiarism.

### Action required

None

## 4. Professional attitude

### C&C principle:

*Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.*



### Existing rules and/or practice

Realizing research within the framework of national and international projects depends on meeting the requirements specified in the application for financing a project and in the agreement for its realisation. If permissions are required, then they are obtained prior to either the start of research or gaining access to financial assets. The rules of financing projects are specified by the financing units. It is common practice to inform GIG's management, Heads of units or supervisors about any changes to the project e.g. when it is delayed or redefined. Rules of realising projects are specified in procedure PS – 7.13 *Realizing projects*, while scientific research realized within the framework of the GIG's core activities are supervised following procedure PS – 7.15 *Preparing plans and realising core activities of GIG*. Additionally, the issues associated with financing research and project realisation are regulated in *Regulations of Own Research Fund of the Central Mining Institute* and in orders of the General Director on bonus coefficients.

### Action required

- introducing an internal instrument to finance research basing on competitions following transparent criteria and announced in advance, and publishing results of competitions.
- informing employees (especially newly-employed and young researchers) about actions taken in the area at GIG and possibilities of using them.

## 5. Contractual and legal obligations

### C&C principle:

*Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.*

### Existing rules and/or practice

Legal regulations which contain requirements concerning the works realized by GIG, especially scientific research, are followed by the employees directly involved in them. Rules governing intellectual property rights are contained in procedure PS – 6.01 *Protection of intellectual property and interests of GIG*. Instruction IS-6.01/1 *Protection of inventive designs* regulates the rules which concern applying for patents and providing patent protection. *Regulations of managing industrial and intellectual property rights and rules of commercialising results of research and R&D works conducted at GIG* and *Rules of Implementation Fund of the Central Mining Institute* were introduced at GIG with Order no. 7 of the General Director of GIG on 31 March 2015. Requirements concerning realisation of projects financed from different sources are contained in procedure PS – 7.13 *Realizing projects*. Legal regulations concerning works realized in a given organisational unit are filed and quarterly updated by a person appointed by the Head of a given unit, following procedure PS – 5.04 *Supervision over legal requirements contained in external normative acts*.

### Action required

None



## 6. Accountability

### C&C principle:

*Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.*

### Existing rules and/or practice

The procedures applied at GIG provide sound, transparent and efficient financial management, which is confirmed with results of numerous audits by authorities supervising GIG. Financial operations are supervised as specified in Order no. 5 of the General Director of GIG of 29 April 2013 on introducing *Instruction on rules and procedures concerning underlying support documents for obtaining or spending funds*. Finances and accountancy follow *Accounting Rules (Policy)* introduced with Order no. 9 of the General Director of GIG of 11 September 2014. A group of people was entitled to make financial commitments on behalf of GIG (circular no. 2 of the General Director of GIG of 13 May 2013 on *List of personnel and their range of competences to act on behalf of the Central Mining Institute* together with annex no. 1 of 3 July 2014 and annex no. 2 of 19 December 2014). Purchases of goods and services follow the *Act on Public Procurement Law*, with rules specified in procedure PS – 7.02 *Purchases* and instructions associated with it. Tender Commissions appointed by the General Director of GIG with Order no. 5/09 of 29 January 2009 are responsible for conducting the procedures. The agreements are made following procedure PS – 7.09 *Concluding contracts*. The assets purchased with GIG's own funds and external sources are supervised (following procedure PS – 6.05 *Managing GIG's tangible assets*). All GIG's employees are aware of responsibility for effective management and use of funds granted for realizing the works.

### Action required

None

## 7. Good practice in research

### C&C principle:

*Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.*



### Existing rules and/or practice

All the GIG's employees are obliged to follow the required work-related safety and health regulations, which is guaranteed by the system managing work-related health and safety at the Institute, compatible with the requirements of standard PN-N-18001:2004. GIG has the certificate of compliance with the requirements of the aforementioned standard, issued by the Polish Centre for Testing and Certification S.A. (certificate JBS-54/7/2015 valid until 4 June 2018). Employees of the Information Technology Department take actions that ensure safety of GIG's computer network and data stored in servers. The employees follow the rules and procedures preventing loss of data obtained in research by making back-up copies. The rules are specified in procedure PS – 6.12 *Administering computer network of GIG*. GIG provides personal data protection, which is regulated with Order no. 4 of the General Director of GIG of 19 February 2016 on introducing *Personal data protection policy in the Central Mining Institute*.

### Action required

None

## 8. Dissemination, exploitation of results

### C&C principle:

*All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.*

### Istniejące w Instytucie zasady i/lub praktyki

### Existing rules and/or practice

Following requirements of agreements made with financing units, researchers disseminate research results obtained while realising the agreements. The method of dissemination depends on arrangements in a given agreement. Additionally, researchers disseminate results of research realised at GIG through publishing them in non-serial publications and journals. Rules of publishing research results are specified in procedure PS – 6.16 *Publishing employees' research works*, instruction IS – 6.03/2 *Participation of GIG employees in conferences* and instruction IS – 7.17/3 *Publishing works*. The solutions devised at GIG are disseminated within the framework of national and international conferences, promotional events and fairs.

### Action required

None

## 9. Public engagement

### C&C principle:

*Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's*



*understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.*

#### **Existing rules and/or practice**

Employees disseminate results of their research to apply them in practice and improve the level of understanding science in the society. GIG's scientists share their expertise with the society appearing in local, national and international media. The person responsible for contacts with media is the GIG's spokesperson. The rules of promoting GIG's achievements are specified in procedure PS – 7.16 *Promotional actions and client satisfaction evaluation*.

#### **Action required**

None

### **10. Non discrimination**

#### **C&C principle:**

*Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.*

#### **Existing rules and/or practice**

Non-discrimination principle is declared in *Work Regulations of GIG (Equal treatment in employment)*.

#### **Action required**

Investigating and clarifying every reported act of discrimination. Devising proper procedures to follow in case of an actual act of discrimination.

### **11. Evaluation/ appraisal systems**

#### **C&C principle:**

*Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.*

#### **Existing rules and/or practice**

The system of evaluating/appraising researchers and research and technical personnel was regulated with instruction IS – 6.02/1 *Rules of recruitment and appraising researchers and research and technical personnel*.

Following the instruction, employees at the position of:

- Professor and Associate Professor – are appraised every four years (personnel employed at the position of Visiting Professor are not appraised),
- Assistant and Assistant Professor and at the research and technical positions – are appraised every two years.



Evaluation of scientific achievements is conducted by the Scientific Council of GIG (in 70% consisting of the Institute's employees and in 30% of people not affiliated with the Institute), following provisions of Article 44 item 3 of the *Act on research institutes*, with special attention to:

- the number of points granted for publications, monographs, joint publications and conference materials, according to current lists and rules of the Ministry of Science and Higher Education,
- the number of points for patent applications, patents granted, protection rights for utility models and registering industrial designs and/or the number of points for implementations of inventions, utility models or industrial designs; following current rules applied by the minister in charge of science,
- if there is more than one author of a publication, a monograph, a chapter in a joint publication, conference materials and a patent, the number of points granted by the minister in charge of science is divided by the number of co-authors,
- devising a factual part of applications for financing research and other projects from external sources.

**Action required**

None

## II. Recruitment

### 12. Recruitment

**C&C principle:**

*Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career. Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.*

**Existing rules and/or practice:**

The rules of recruitment of researchers w GIG are stated in *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions*, introduced with Order no. 3 of the General Director of GIG of 25 April 2014, instruction IS – 6.02/1 *Rules of recruitment and appraising researchers and research and technical personnel and the Statute of the Central Mining Institute*. Recruitment of a researcher is preceded with a competition. Criteria and the way of announcing competitions are specified in *the Statute of the Central Mining Institute*. Competitions are announced on the website of the Institute, and the website of the minister in charge of science in Public Information Bulletin.

**Action required**

Complementing procedures with provisions facilitating access for disadvantaged groups or researchers returning to their research career.



### 13. Recruitment (Code)

#### C&C principle:

*Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.*

#### Existing rules and/or practice

Recruitment of researchers at GIG is regulated with *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions*, instruction IS – 6.02/1 *Rules of recruitment and appraising researchers and research and technical personnel* and the *Statute of the Central Mining Institute*. Recruitment of researchers for positions of: Professor, Associate Professor, Visiting Professor, Assistant Professor and Assistant, is preceded with a competition.

Competition announcements for a researcher position specifying:

- position with the range of responsibilities,
- organisational unit of the Institute, where a researcher is to be employed,
- Institute's requirements,
- list of documents required from candidates,
- method and due date of submitting documents,
- competition due date and announcing the results,

are published on the website of the Institute and on the website of the minister in charge of science in the Public Information Bulletin. The time for submitting documents, specified in an announcement, cannot be shorter than 10 days from the day of publishing given announcement.

The competition is conducted by the Selection Board at the Central Mining Institute. The candidates who meet the formal requirements go to the next stage of recruitment, which involves factual evaluation of submitted documents and an interview. During an interview the following are evaluated:

- knowledge, predispositions and skills of candidates which guarantee fulfilling their duties,
- candidates' career goals,
- personality qualities.

#### Action required

Complementing notices of competition with a description of career development prospects.

### 14. Selection (Code)

#### C&C principle:

*Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with*



*relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained should be realistic.*

#### **Existing rules and/or practice**

The Selection Board at the Central Mining Institute, appointed by the General Director, consists of:

- Deputy General Director for Geoengineering and Industrial Safety,
- two researchers employed at the position of Professor or Associate Professor,
- Head of an organisational unit/cell requesting a competition for a research post,
- Head of Personnel and Organisation Department.

Composition of the Selection Board guarantees participation of personnel with the necessary expertise which enables them to evaluate candidates. The Board consists of men and women – gender balance is maintained.

#### **Action required**

- complementing the rules of the Selection Board with a provision of representing various disciplines,
- harmonizing provisions of *the Statute of GIG* and *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions* concerning composition of the Selection Board.

### **15. Transparency (Code)**

#### **C&C principle:**

*Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.*

#### **Existing rules and/or practice**

Competitions for researcher posts at the Central Mining Institute are open and competitive. Detailed rules of recruitment and candidate selection criteria are contained in:

- *Statute of the Central Mining Institute,*
- *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions,*
- *Instruction IS – 6.02/1 Rules of recruitment and appraising researchers and research and technical personnel.*

A competition for a researcher position is announced on the website of the Institute and the website of the minister in charge of science in Public Information Bulletin. Candidates are selected by the Selection Board, which:

- determine if candidates fulfil formal requirements specified in the competition notice,
- verify candidates' qualifications, achievements and skills in the discipline requested by a given competition,
- evaluate suitability of the candidates to work at the position announced in a competition.



Information about results of the competition are presented on the website of the Central Mining Institute within 14 days after due date of the competition for a research position. After resolving a competition the Selection Board recommend a candidate for the researcher post. Qualifications of a candidate selected in a competition are evaluated by the Scientific Council of the Institute. The Scientific Council prepare an opinion about the candidate within 30 days after receiving their documents. The final decision to hire a candidate selected in a competition is taken by the General Director of the Institute.

#### **Action required**

- complementing competition notices with the description of career development prospects
- complementing the procedure of recruitment with provisions about informing candidates about results of evaluation of their applications indicating their strengths and weaknesses.

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

#### **C&C principle:**

*The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.*

#### **Existing rules and/or practice**

Following the Statute of the Central Mining Institute, to become a researcher at the Institute, one has to meet the following criteria:

- integrity,
- was not convicted for an intentional crime or fiscal offences,
- enjoys full public rights,
- is predisposed for research work,
- has knowledge, expertise and achievements in the discipline requested in a competition,
- is an active researcher with documented achievements.

Among the documents required from the candidates there is concise information about research interests and the candidate's hitherto research and development achievements, including e.g.: a list of publications, patents granted or participation in national and foreign research projects.

The above criteria and the information presented by a candidate enable the Selection Board to evaluate a candidate's achievements considering both points granted for publications and their research and development activities.

#### **Action required**

**None**



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

### C&C principle:

*Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.*

### Existing rules and/or practice

*Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions* contains a list of documents submitted by a candidate applying for a research post in a competition. They are e.g.:

- job application for the announced position,
- curriculum vitae,
- documents certifying education and career,
- description of work experience,
- concise information about research interests and a candidate's hitherto achievements in research and development activities (list of publications, patents granted, participation in national and foreign research projects etc.).

The above mentioned regulations do not specify the form of a candidate's curriculum vitae, hence gaps in their professional career are not considered to be elements which automatically lower the value of a candidate and do not require investigating their causes. The main criteria reflecting a candidate's predispositions to hold a post are their expertise, professional experience and achievements in the requested discipline.

### Action required

None

## 18. Recognition of mobility experience (Code)

### C&C principle:

*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.*

## 19. Recognition of qualifications (Code)

### C&C principle:

*Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national*



*law, conventions and specific rules on the recognition of these qualifications through all available channels.*

#### **Existing rules and/or practice**

The criteria of employing personnel for research positions, which are currently in force at the Central Mining Institute, do not recognise candidates' experience in their professional mobility.

#### **Action required**

Recognizing professional mobility of the candidates in the selection criteria as a positive quality

### **20. Seniority (Code)**

#### **C&C principle:**

*The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.*

#### **Existing rules and/or practice**

Following *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions*, while selecting a candidate for a researcher post, all their documented achievements in research and development activities in all the workplaces they have been employed prior to the competition, are taken into consideration. Each of the candidates is appraised basing on their own achievements meeting requirements for the position they apply for.

#### **Action required**

None

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

#### **C&C principle:**

*Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.*

#### **Existing rules and/or practice**

GIG's rules of recruiting researchers are specified in *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions*, which assume it necessary to conduct an open competition and verification of a candidate's hitherto



achievements. Within the framework of a competition e.g. a candidate's responsibilities in other institutions are analysed. The rules of recruiting researchers are specified in instruction IS – 6.02/1 *Rules of recruitment and appraising researchers and research and technical personnel*.

#### **Action required**

Complement *Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions* with information on the planned length of employment and criteria of appraising candidates.

### **III. Working conditions and social security**

#### **22. Recognition of the profession**

##### **C&C principle:**

*All researchers engaged in a research career should be recognized as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).*

##### **Existing rules and/or practice**

Research personnel employed at the GIG are considered to be professional and duly treated. Vast majority of GIG's scientific personnel think they are recognised, and treated in their community like professionals. It is confirmed with results of the survey where 75.79% respondents asked if they are treated professionally answered they are.

##### **Action required**

None

#### **23. Research environment**

##### **C&C principle:**

*Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.*

##### **Existing rules and/or practice**

The Central Mining Institute is one of the best equipped scientific institutes in Poland. Within the structure of GIG there are 16 laboratories accredited by the Polish Centre for Accreditation, including 14 research laboratories and two with accreditation of the Polish Centre for Accreditation as both research and calibrating laboratories. The laboratories have modern equipment and unique test stands. Research and development equipment is constantly upgraded. In 2009 – 2013, the Clean Coal Technology Centre (CCTW) – a modern complex of laboratories with research equipment and test stands, was built. Within the framework of



CCTW, a unique underground testing ground for coal seam gasification was built. Another significant investment was building the Silesian Centre for Environmental Radioactivity, with unique in Poland measuring equipment. The Centre operates in the framework of the national system of radiation monitoring supervised by the National Atomic Energy Agency and is a member of the international network ALMERA supervised by the International Atomic Energy Agency IAEA. Within the framework of both of the investments, new laboratory buildings were erected, providing comfortable working conditions following the highest standards of work-related safety and health.

### **Action required**

**None**

## **24. Working conditions**

### **C&C principle:**

*Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.*

### **Existing rules and/or practice**

Working conditions of GIG researchers, specified in *Work Regulations of the Central Mining Institute*, are compatible with:

- *Labour Code* of 26 June 1974,
- *Act* of 30 April 2010 *on research institutes*,
- *Collective Labour Agreement of the Central Mining Institute*.

Within the framework of *Work Regulations of GIG* there is a possibility of:

- flexible working time, following § 18. pt 1 ‘Personnel employed with weekly working time of 40 hours can, following the rules of flexible working time arrangements, start work between 6.00 and 9.00 and finish after 8 hours, between 14.00 and 17.00 respectively’,
- part-time, following § 21. pt 1 ‘An employee may take time off work for the time necessary to solve important personal matters during working hours. Time off work is granted by an employee’s supervisor at their written request (a template of such a request is an annex to *Work Regulations* ). The fact of taking time off work is recorded in *Time off work log* by an employee.’
- teleworking, following § 26. ‘In special justified cases an employee may work using means of electronic communication following the regulations on providing services with electronic means (teleworking) and the rules specified in separate regulations’ (*Teleworking Regulations* – an annex to Order no. 2 of the General Director of GIG of 1 February 2009 ).



### **Action required**

Introducing a system of timesheet processing that is less cumbersome for employees and facilitating use of other forms of working arrangements (teleworking).

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

### **C&C principle:**

*Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.*

### **Existing rules and/or practice**

General rules of employing the personnel are specified in procedure PS – 6.02 *Recruitment of personnel*. Employing researchers for fixed term follows the *Labour Code* of 26 June 1974. Employees with fixed-term contracts have the same access to training as permanent employees. Throughout their employment, like permanent employees, they can also benefit from non-wage benefits.

### **Action required**

None

## **26. Funding and salaries**

### **C&C principle:**

*Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.*

### **Existing rules and/or practice**

Financing and remuneration conditions together with appropriate and fair social insurance benefits are compatible with the existing Polish regulations. The remuneration system is integrated and contains the following components :

- base remuneration – grade and category, considering required educational background and work experience, contained in pay scales,
- seniority bonus – considering experience gathered during employment,
- academic degree allowance – for employees with academic degrees,
- qualifying bonus – for research and technical employees,
- functional allowance – for employees with functional roles,
- harmful conditions and inconvenience allowance,
- performance bonus.



A bonus is granted following the provisions of § 5 of *Bonus Regulations* which is Annex no. 6 to *Collective Labour Agreement of the Central Mining Institute* and *Order of the General Director of the Central Mining Institute on bonus coefficients at the Central Mining Institute*.

#### **Action required**

- preparing an internal analysis of the existing remuneration system,
- possibly, complementing the existing procedures and orders of the General Director and consulting personnel representatives.

## **27. Gender balance**

#### **C&C principle:**

*Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.*

#### **Existing rules and/or practice**

GIG follows equal opportunity policy at the recruitment stage and further stages of professional career without lowering criteria of quality and qualifications. Despite quite specific industry where GIG operates (mining and power industry), masculinised by nature (according to GUS, women constitute 10.4% and 23.1% of the personnel in mining and power industry, respectively), at GIG both genders are treated fairly. GIG employs 554<sup>2</sup> people (218 women) with 301 researchers (103 women). In the GIG's management, two out of four Deputies of the General Director are women.

#### **Action required**

Update *Regulations of conducting competitions for research posts at GIG* with a provision ensuring gender balance at the Selection Board.

## **28. Career development**

#### **C&C principle:**

*Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.*

#### **Existing rules and/or practice**

Hitherto practice of researchers' career development has been based, first of all, on the individual relationships with the mentor. Although there are elements of motivating

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<sup>2</sup> as of 29.03.2016



researchers' development at GIG (e.g. awards for employees with the most publications), yet there is no system solution supporting career development.

### **Action required**

Devising a strategy of career development for researchers at each stage of their career.

## **29. Value of mobility**

### **C&C principle:**

*Employers and/or funders must recognize the value of geographical, intersectorial, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system. This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.*

### **Existing rules and/or practice**

GIG encourages the employees to participate in foreign internships. Employees with experience, especially the experience acquired in the industry, are required. Results of the survey also show that at the Institute mobility is considered to be an element of expanding knowledge and conducting research (only 11.57 negative opinions).

### **Action required**

- complementing the system of appraising employees with issues associated with experience acquired during internships abroad and in the industry.
- devising a strategy of development for researchers at each stage of their career.

## **30. Access to career advice**

### **C&C principle:**

*Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.*

### **Existing rules and/or practice**

In Poland, an employer is not bound by law to provide employees with career advice and job placement assistance. The Central Mining Institute operates in the competitive market, hence possession of appropriate resources, especially personnel of given competences, is crucial. Therefore GIG tries to provide working environment and climate which attract research personnel to work for GIG.

### **Action required**

None



### 31. Intellectual Property Rights

#### C&C principle:

*Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.*

#### Existing rules and/or practice

Researchers at each stage of their professional career benefit from exploiting their R&D results through protecting intellectual property, including copyrights. GIG follows instruction IS – 6.01/1 *Protection of inventive designs*, which regulates rules of applying for patents and providing patent protection. Moreover *Regulations of managing industrial and intellectual property rights and rules of commercialising results of research and R&D works conducted at GIG* and *Rules of Implementation Fund of the Central Mining Institute* introduced with Order no. 7 of the General Director of GIG on 31 March 2015 are in force. The Institute's Management and the GIG's Patent Attorney support researchers' actions aimed at implementing invention projects and research results in the industry. Provisions of agreements with the industry units are negotiated, on behalf of GIG, by: a project manager and a patent attorney, following instruction IS – 6.01/2 *License agreements, on commonality of patent rights, protection right or registration right, know-how and implementation*.

#### Action required

None

### 32. Co-authorship

#### C&C principle:

*Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).*

#### Existing rules and/or practice

GIG supports cooperation among researchers and views co-authorship positively. A lot of attention is paid to due recognition of researchers' actual contribution, regardless of their career stage and mutual dependences. Evaluating researchers' achievements, following instruction IS – 6.02/1 *Rules of recruitment and appraising researchers and research and technical personnel*, if there is more than one author of a publication, a monograph, a chapter



in a joint publication, conference materials and a patent; the number of points granted by the Ministry of Science and Higher Education, is divided by the number of co-authors.

#### **Action required**

None

### **33. Teaching**

#### **C&C principle:**

*Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities. Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.*

#### **Existing rules and/or practice**

Teaching responsibilities undertaken by researchers employed at the position of Professor and Associate Professor are considered in their appraisals (Instruction IS – 6.02/1 *Rules of recruitment and appraising researchers and research and technical personnel*). Teaching is not GIG's core activity, unlike e.g. at universities.

#### **Action required**

- Modify and complement the system of appraising employees, update evaluation cards of employees with missing elements.

### **34. Complains/ appeals**

#### **C&C principle:**

*Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.*

#### **Existing rules and/or practice**

Following *Work Regulations of GIG* and procedure PS 5.05 *Communication*, the General Director of GIG and the Deputies deal with GIG employees' complaints, motions and comments – on the notice board there is a timetable with times when they are available. Cases concerning researchers' disciplinary responsibility are solved by the Disciplinary Commission.

#### **Action required**

None



### 35. Participation in decision-making bodies

#### C&C principle:

*Employers and/or funders of researchers should recognize it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.*

#### Existing rules and/or practice

Researchers are represented by their representatives (selected in elections) mainly in the Scientific Council of GIG, which is a regulatory, initiating, opinion-making and advisory organ of the Central Mining Institute in the areas of its core activities and development of research and research and technical personnel. Researchers' representatives are also present in other opinion-making and advisory organs of the General Director, e.g. the Collegium of GIG.

#### Action required

Inform employees about actions taken in the area of participation.

## IV. Training

### 36. Relation with supervisors

#### C&C principle:

*Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.*

#### Existing rules and/or practice

Relationships with the supervisor, including evaluation of progress of works, are regulated with instruction IS – 7.05./1 *Functioning of Silesian Environmental PhD Programme* and in *Regulations of Silesian Environmental PhD Programme*. Documentation of the studies contains information about exams taken in each subject and active participation in seminars where Ph.D. students present current progress of research associated with their Ph.D. thesis. Moreover, every Ph.D. student makes a yearly report (written) on the course of their research within the framework of the Ph.D. thesis.

#### Action required

None

### 37. Supervision and managerial duties

#### C&C principle:

*Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science*



*communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.*

#### **Existing rules and/or practice**

At GIG, researchers playing the roles of supervisors and project coordinators build positive relationships with their subordinates. The rules in the area result from generally accepted practice, there are no formal regulations. The surveyed expressed positive opinions about supervision at GIG.

#### **Action required**

None

### **38. Continuing Professional Development**

#### **C&C principle:**

*Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.*

#### **Existing rules and/or practice**

An employee's professional development is possible through participating in training, seminars, conferences and workshops. The rules of employees' participation in internal and external training are clearly specified, described and available for reference in procedure PS – 6.03 *Improving skills by employees of GIG*. Every year, on the basis of training proposed by the Heads of units, a schedule of training is drawn up. The proposals are formed basing on employees' requests and current needs to improve qualifications based on the evaluation of employees' competences. Plan of training is always open. It means that the schedule is complemented throughout the year with new training needs reported by employees. The employer usually accepts the training proposed by employees and approved by their supervisors. An employee is sent for training if their upskilling is necessary or recommended due to their position and responsibilities. The Head of a given unit or cell, where the personnel are employed, determines how useful given training is from the point of view of GIG's needs.

#### **Action required**

None

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

#### **C&C principle:**

*Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly*



*assessed for their accessibility, take up and effectiveness in improving competencies, skills and employability.*

#### **Existing rules and/or practice**

All the GIG's employees have access to the means which enable continuous development of their skills and qualifications. GIG's employees participate in internships, foreign scholarships, post-graduate studies, external training, including training associated with developing professional skills. The rules of employees' participation in internal and external training are contained in procedure PS – 6.03 *Improving skills by employees of GIG*.

#### **Action required**

None

### **40. Supervision**

#### **C&C principle:**

*Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.*

#### **Existing rules and/or practice**

Early-stage researchers have a possibility to report issues associated with their responsibilities to the proper supervisors i.e. Heads of Research-Development Departments. Organisational structure of GIG, reflecting its aims and range of activities is determined by *the Organisational Regulations of the Central Mining Institute*. *The Regulations* also determine the rights and responsibilities of the Heads of organisational units and cells. Heads of Research-Development Departments are responsible for, among others, development of the personnel of their unit, verifying works conducted in the area they supervise, proper realization and high quality of work conducted in the unit, evaluating research works and research services, and supervising if the research procedures are followed.

#### **Action required**

None

## **V. Summary**

The analyses and research showed that in 16 out of 40 analysed provisions of *the Charter and Code*, it is required to take additional actions to ensure full implementation of the documents at GIG. It refers to such areas as: ethical and professional aspects, recruitment, working conditions and social security. All the actions necessary for full implementation of *the Charter and Code* provisions, together with planned due dates and persons responsible, are collected in Action Plan.



## VI. Action plan

Area	Action	Responsibility	Due Date
Ethical and professional aspects	Introducing an internal instrument of granting funds for research basing on competitions which follow transparent criteria, announced in advance and publishing results of competitions.	Deputy General Director for Research and Development, Deputy General Director for Financial and Economic Affairs,	December 2016
	Informing employees (especially newly-employed and young researchers) about actions taken at GIG in the area of financing research.	Heads of Research-Development Departments	December 2016
	Investigating and explaining every reported case of discrimination. Devising appropriate procedures of conduct in case of an act of discrimination.	Head of Personnel and Organisation Department	December 2016



Area	Action	Responsibility	Due Date
Recruitment	<p>Updating <i>Regulations of conducting competitions for research positions at GIG</i> in the areas of:</p> <ul style="list-style-type: none"> <li>– complementing with provisions facilitating access for disadvantaged groups or researchers returning to research career,</li> <li>– complementing competition notices with description of career development prospects,</li> <li>– complementing the rules of the Selection Board with provision of representing various disciplines,</li> <li>– complementing with information about planned length of employment and candidates' evaluation criteria,</li> <li>– considering career mobility of candidates as a positive quality in selection criteria,</li> <li>– complementing the procedure of recruitment with provisions about informing candidates about results of evaluating their applications indicating their strengths and weaknesses.</li> </ul>	Head of Personnel and Organisation Department	December 2017
	Harmonizing provisions of <i>Statute of GIG and Rules of recruitment of personnel for vacancies at the Central Mining Institute and competitions for researcher positions</i> concerning composition of the Selection Board.	Head of Personnel and Organisation Department	September 2016



Area	Action	Responsibility	Due Date
Working conditions and social security	Analysing to what extent the available mechanisms of reconciliation of family life and work are employed	Head of Personnel and Organisation Department	October 2016
	Informing about a possibility to use the available mechanisms of reconciliation of family life and work and introducing further, appropriate system facilities, e.g. flexitime, part-time work, teleworking.	Head of Personnel and Organisation Department	December 2016
	Updating <i>Regulations of conducting competitions for research positions at GIG</i> with a provision ensuring gender balance in the Selection Board.	Head of Personnel and Organisation Department	December 2016
	Devising a development strategy for researchers at every stage of career.	Chairman of Scientific Council	December 2017
	Complementing the employees' evaluation system with issues associated with experience acquired during internships abroad and in the industry.	Chairman of Scientific Council	December 2017
	Informing employees about actions taken in the area of participation and explaining the principle of participation in decision making, information and consulting organs at the Institute.	Head of Personnel and Organisation Department	December 2016



## ACCEPTANCE

The Główny Instytut Górnictwa (Central Mining Institute) represented by General Director fully accepts the Human Resources Strategy for Researchers.

**GENERAL DIRECTOR**  
GŁÓWNY INSTYTUT GÓRNICTWA  
Stanisław Prusek, Ph.D., M.Eng.  
Associate Professor

Katowice, ...11.05.2016r

Signature



