

GAP Analysis (Charter and Code Checklist)

Case numer: 2021PL665028

Name Organisation under review: The John Paul II Catholic University of Lublin

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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 the 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	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
1	Research freedom	++ fully implemented	-	operating in accordance with statutory requirements (Act of 20 July 2018 – Law on Higher Education and Science); having in place the following strategic documents: the Statute of the John Paul Catholic University of Lublin (KUL), the Development Strategy of KUL, and other internal regulations (https://www.kul.pl/art_105483.html , docs#: 1, 2, 14); initiatives undertaken, e.g.: implementation of research grants: establishing opportunities to develop projects that push the boundaries of conventional disciplines; seminars, round tables for research ideas: organizing research meetings during which researchers can freely share, discuss, and collaborate on innovative research ideas without immediate commercial pressure
2	Ethical principles	+/- almost but not fully implemented	<ol style="list-style-type: none"> 1. informal scope of application of the principles of the "Code of Ethics..." 2. lack of knowledge of the principles of the "Code of Ethics..." among University employees 3. the dispersed nature of publishing and collecting documents regulating ethical principles at KUL 	having in place the internal regulations; despite the nationwide publication of "The Code of Ethics for Research Workers of the Polish Academy of Sciences" and its updated versions, KUL, like other universities, plans to: 1. formal acceptance of the document by order of the Rector (obligatory nature of validity), 2. promoting the principles of the "Code of Ethics for Researchers of the Polish Academy of Sciences (KEPN PAN)" on university websites, 3. implementation of the rules by launching training for researchers (R1-R4) on the Moodle platform, 4. placing documents regulating ethical principles at KUL on Moodle platform
3	Professional responsibility	++ fully implemented	-	operating in accordance with statutory requirements (Act of 20 July 2018 – Law on Higher Education and Science); having in place the Statute of KUL (https://www.kul.pl/art_105483.html , docs#: 1, 14), the Principles of Anti-Plagiarism Policy and Verification of Originality of Diploma Dissertations at KUL, and other internal regulations, including their integration with the Uniform Anti-plagiarism System (https://jsa.opi.org.pl/home/login)
4	Professional attitude	+/- almost but not fully implemented	<ol style="list-style-type: none"> 1. application forms etc. documents prepared in a complicated way 2. the use of limited forms of information activities in the area of external financing of 	having in place the following documents: the Development Strategy of KUL (https://www.kul.pl/art_105483.html , docs#: 2, 14), the Organisational Regulations of KUL (e.g., description of competences of individual departments (https://www.kul.pl/organisational-structure,229.html), etc. Despite this, the university will take the following actions: 1. revision of application forms etc. documents in terms of plain language and availability of language versions 2.

			scientific research 3. lack or only general knowledge of the principles of the "Code of Ethics..." among University employees	development and implementation of instructions for the project proposal application form that meets the simple language requirement, in a bilingual version 3. formal acceptance of the document by order of the Rector (obligatory nature of validity)
5	Contractual and legal obligations	++ fully implemented	-	operating in accordance with statutory requirements (Act of 20 July 2018 – Law on Higher Education and Science); having in place the Work Regulations, the Regulations for the Management of Copyright, Related Rights and Industrial Property Rights, Rules for Awarding Academic Degrees at KUL (https://www.kul.pl/art_105483.html , docs#: 5, 7, 8, 9, 14); initiatives undertaken, e.g.: systematically organising and carrying out training for KUL staff on anti-corruption, health and safety issues, organizing orientation sessions: provide new hires with comprehensive orientation sessions focusing on understanding their contractual and legal obligations; providing legal advisory services: offer free access to legal advisors to assist researchers in understanding the implications of their contracts
6	Accountability	++ fully implemented	-	having in place Regulations for Awarding Contracts and Making Purchases at KUL, as well as Project Management Regulations; content and administrative support of the University through relevant organizational units (departments) included in the organisational structure of KUL, Patent Officer, Internal Auditor (https://www.kul.pl/organisational-structure,229.html), etc.
7	Good practice in research	+/- almost but not fully implemented	1. lack of a developed research data management policy 2. lack of procedures for storing and archiving research data	having in place Work Regulations and other internal regulations; conducting occupational health and safety training as well as personal data protection training; employing a Data Protection Officer at KUL (https://www.kul.pl/art_105483.html , docs#: 5). Despite this, the university will take the following actions: 1. development of documents (regulations, orders) regarding the management, storage and archiving of research data 2. organization of information meetings and open training in the field of management, storage and archiving of research data
8	Dissemination, exploitation of results	++ fully implemented	-	operations of the Institutional Repository at KUL, the Science Commercialisation Centre and the Patent Officer; operations of the Scientific Information Department (KUL Main Library: https://katalog.kul.pl/discovery/search?vid=48OMNIS_KUL:KUL&lang=en); applying for and implementing projects financed from external sources (The National Science Centre, The National Centre for Research and Development, Ministry of Science and Higher Education as well as The Polish National Agency for Academic Exchange programmes), hosting events where researchers can

				present their work to industry leaders, potential investors, and the public
9	Public engagement	++ fully implemented	-	establishing and operations of the Expert Team at KUL; organising the Open Days of KUL and participating in the annual Lublin Science Festival (https://www.kul.pl/knowledge-at-your-fingertips-lublin-science-festival-2023,art_103763.html); activities of Scientific Circles, the University Legal Counselling Centre, KUL CAN: the Centre for Activation of People with Disabilities, and the psychological counselling centre at the KUL Health Care Centre; conducting education based on the "Service Learning" method, which enables students to put into practice the theoretical knowledge gained during their education through cooperation with governmental, social and civic organisations (https://www.uniservitate.org/central-and-eastern-europe-middle-east/the-john-paul-ii-catholic-university-of-lublin/)
10	Non discrimination	+/- almost but not fully implemented	1. lack of a separate procedure for reporting cases of discrimination specifying the forms of response	continuing the implementation of KUL Gender Equality Plan (https://www.kul.pl/art_105483.html , docs#: 6); activities undertaken by the KUL Rector's Plenipotentiary for Equal Treatment. A new proposal: development of document templates regarding the procedure for reporting discrimination cases
11	Evaluation/ appraisal systems	++ fully implemented	-	developing and implementing criteria and rules for periodic evaluation of researchers, academic teachers, evaluation criteria and evaluation survey forms are developed with the participation of researchers (https://www.kul.pl/art_105483.html , docs#: 5, 7, 8, 9; developing a procedure for students, including doctoral ones, to express their opinions on classes, lecturers conducted
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	+/- almost but not fully implemented	1. lack of a general, collective document regulating the process of open, transparent and substantive recruitment of scientists	having in place the following internal regulations: the Statute of KUL, the Work Regulations (https://www.kul.pl/art_105483.html , docs#: 1, 5), obligatory publication of job offers at Public Bulletin of KUL (in Polish https://bip.kul.lublin.pl/praca-na-kul,16070.html), webpage of the Ministry of Science and Higher Education of the Republic of Poland (in Polish https://bazaogloszen.nauka.gov.pl/), and EURAXESS (currently, no job offer available) (in English https://www.kul.pl/euraxess,art_105601.html) A new proposal: development of an Open Transparent and Merit-based Recruitment (OTM-R) procedure at KUL and dissemination of the document among the academic community
13	Recruitment (Code)	+/- almost but not fully implemented	1. lack of a general, collective document regulating the process of	a new proposal: development of OTM-R KUL and dissemination of the document among the academic community

			open, transparent and substantive recruitment of scientists	
14	Selection (Code)	+/- almost but not fully implemented	1. legal provisions applicable to the University, to some extent, hinder the implementation of the principle (e.g. the Law on Higher Education and Science, rules of grant-giving institutions regarding employment in scientific projects) 2. lack of a general, collective document regulating the process of open, transparent and substantive recruitment of scientists	a new proposal: development of OTM-R KUL and dissemination of the document among the academic community
15	Transparency (Code)	+/- almost but not fully implemented	1. no practice of providing information and feedback regarding the results of the researchers recruitment process	a new proposal: development of OTM-R KUL and dissemination of the document among the academic community
16	Judging merit (Code)	+/- almost but not fully implemented	1. missing information about some of the essential elements of the research achievements of candidates	a new proposal: standardising the CV template that covers all categories of academic achievements
17	Variations in the chronological order of CVs (Code)	+/- almost but not fully implemented	1. lack of a template recruitment document that takes into account deviations from the chronological order of CVs	a new proposal: standardising the CV template that covers all categories of academic achievements
18	Recognition of mobility experience (Code)	+/- almost but not fully implemented	1. missing information about some of the essential elements of the research achievements of candidates	a new proposal: standardising the CV template that covers all categories of academic achievements
19	Recognition of	-/+ partially	1. legal provisions	a new proposal: standardising the CV template that covers all

	qualifications (Code)	implemented	applicable to the University, to some extent, hinder the implementation of the principle (e.g. the Law on Higher Education and Science, rules of grant-giving institutions regarding employment in scientific projects)	categories of academic achievements; planning and implementing activities aimed at recognising non-formal qualifications
20	Seniority (Code)	++ fully implemented	-	having in place the following internal regulations: the Statute of KUL, the Work Regulations (https://www.kul.pl/art_105483.html , docs#: 1, 5), clearly defining and communicating the criteria for recognizing and rewarding seniority in the academic field
21	Postdoctoral appointments (Code)	++ fully implemented	-	having in place the following internal regulations: the Statute of KUL, the Work Regulations, the Order on the Establishment and Extension of the Employment Relationship of Academic Teachers (https://www.kul.pl/art_105483.html , docs#: 1, 5, 8), the creation of postdoctoral associations to represent their interests and concerns, ensuring that postdoctoral appointments offer enough stability and duration to complete meaningful research projects
	Working Conditions and Social Security	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
22	Recognition of the profession	++ fully implemented	-	having in place the following internal regulations: the Statute of KUL, the Work Regulations (https://www.kul.pl/art_105483.html , docs#: 1, 5), initiatives undertaken, e.g.: offering grants for professional development and conference attendance; vice-rector, institute awards and recognitions for outstanding research contributions; organizing events that publicly acknowledge the contributions of researchers to science and society
23	Research environment	+/- almost but not fully implemented	1. incidental, irregular modernization of existing computer and research equipment 2. ignorance of the rules regarding the use of the University's IT resources	purchase and implementation of a new CRIS IT solution - Omega-PSIR system (https://www.omegapsir.io/), development of a permanent training offer for researchers. New proposals: 1. developing a plan for the modernization of computer and research equipment 2. developing good practices (guide) in the use of the University's IT resources and undertaking information activities (e.g. eKUL)
24	Working conditions	+/- almost but not fully implemented	1. sporadic, limited opportunities to report needs and hold talks with representatives of the KUL authorities	operating in accordance with statutory requirements (Act of 20 July 2018 – Law on Higher Education and Science), the Statute of KUL and the Work Regulations (https://www.kul.pl/art_105483.html , docs#: 1, 5, 11-14). New proposals: 1. organizing regular meetings of the researchers with representatives of the KUL authorities 2. conducting

			2. lack of offers, analysis of needs in the field of Work-Life Balance 3. lack of rules of cooperation, rights and obligations of the head of the department and the department team	an anonymous survey of needs in the field of Work-Life Balance 3. developing department regulations and disseminating the rules among researchers
25	Stability and permanence of employment	++ fully implemented	-	operating in accordance with statutory requirements (Act of 20 July 2018 – Law on Higher Education and Science), the Statute of KUL and the Work Regulations (https://www.kul.pl/art_105483.html , docs#: 1, 5, 11-14), offering more long-term contracts to provide job security for researchers
26	Funding and salaries	+/- almost but not fully implemented	1. failure to include new forms of scientific activity in the pro-quality regulations	operating in accordance with statutory requirements (Act of 20 July 2018 – Law on Higher Education and Science), the Statute of KUL, the Work Regulations and other internal regulations (https://www.kul.pl/art_105483.html , docs#: 1, 5, 11-14). A new proposal: including in the document new forms of research activity postulated by the academic community, which are the basis for the payment of increased or additional remuneration
27	Gender balance	+/- almost but not fully implemented	1. low level of knowledge about the principles related to gender balance in scientific research and the process of recruiting researchers	continuing the implementation of the KUL Gender Equality Plan (https://www.kul.pl/art_105483.html , docs#: 6). (internal publications, comments, training on Moodle KUL). A new proposal: the development of OTM-R KUL containing a description of the rules regarding gender balance and dissemination of the document among the academic community
28	Career development	-- insufficiently implemented	1. no developed career paths for researchers 2. lack of regulations regarding the development of a scientific career (e.g. regulations, templates of forms, surveys) 3. lack of human resources and administrative units implementing activities in the field of scientific career development	New proposals: development and dissemination of principles and conditions regulating the development of the researchers' career of KUL in the form of a Strategy and designation (or establishment) of a unit (or team) responsible for supporting researchers in the development of their career
29	Value of mobility	++ fully implemented	-	having internal regulations (https://www.kul.pl/art_105483.html , docs#: 2-5, 7-9), initiatives undertaken, e.g.: establishing or expanding

				international exchange programs that encourage cross-cultural academic collaboration; providing travel grants that facilitate participation in international conferences and research projects, promoting participation in global research networks to enhance professional mobility. A new proposal: standardising the CV template that covers all categories of academic achievement
30	Access to career advice	-- insufficiently implemented	<ol style="list-style-type: none"> 1. no recognized solutions or practice in this field 2. lack of an administrative unit responsible for career counseling of scientists 3. lack of knowledge among scientists about the possibilities of participating in the career counseling process 	New proposals: development and implementation of rules, a pilot career counseling programme for KUL researchers in the form of Regulations and dissemination of the document among the academic community
31	Intellectual Property Rights	++ fully implemented	-	having in place internal regulations, e.g.: the Regulations for the Management of Copyright, Related Rights and Industrial Property Rights, training offer for researchers, support from a Patent Attorney; conducting workshops on intellectual property rights tailored to researchers; establishing clear policies regarding the ownership, sharing, and exploitation of intellectual property, providing legal and financial support for researchers seeking to file patents
32	Co-authorship	++ fully implemented	-	having in place regulations and internal solutions; initiatives undertaken, e.g.: developing and disseminating clear guidelines on the ethical considerations and practices of co-authorship; conducting sessions on the importance and implications of co-authorship in research publications
33	Teaching	+/- almost but not fully implemented	<ol style="list-style-type: none"> 1. insufficient supervision over academic teachers, researchers by team leaders and no optimal rules of distributing teaching assignments 2. not optimal rules for entrusting teaching activities 3. no rules for individually determining the amount of the teaching load 	revising the regulations on distributing teaching assignments; standardising the principles of supervision of faculty members by the heads of faculties. New proposals: development of regulations for departments and rules for individual determination of the teaching salary

34	Complains/ appeals	+/- almost but not fully implemented	1. lack of a separate procedure for reporting cases of discrimination specifying the forms of response	having internal regulations setting out rules for handling complaints and appeals, support of the Academic Ombudsman. New proposals: development of document templates regarding the procedure for reporting discrimination cases
35	Participation in decision-making bodies	++ fully implemented	-	having regulations and internal solutions applied in the form of the functioning of representative and opinion-giving bodies, in particular university and faculty committees; establishing mechanisms for researchers to provide feedback on decisions and policies affecting their work
	Training and Development	Implementation	GAP/Implementation impediments	Initiatives undertaken/new proposals
36	Relation with supervisors	-- insufficiently implemented	1. a lack of catalogued good practices, standards in providing scientific supervision and shaping the attitudes and skills of young researchers 2. no practice in providing information, record progress, report on the supervision over early-stage researchers	having in place Regulations of the Doctoral School (https://phd.kul.pl/en/#admissions , file: Rules and Regulations of KUL Doctoral School). New proposals: 1. development and implementation of rules for monitoring individual scientific development plans 2. development and implementation of rules for the evaluation of scientific supervisors and heads of departments 3. developing a catalogue of good practices in the field of research care
37	Supervision and managerial duties	-/+ partially implemented	1. a lack of career development strategy 2. a lack of university mentoring system for junior researchers	having in place Work Regulations, Development Strategy of KUL. Excellence Initiative (https://www.kul.pl/art_105483.html , docs#: 4-5), Regulations of the Doctoral School (https://phd.kul.pl/en/#admissions , file: Rules and Regulations of KUL Doctoral School). New proposals: 1. development and implementation of rules for monitoring individual research development plans 2. development and implementation of rules for the evaluation of research supervisors and heads of departments 3. developing a catalogue of good practices in the field of research care
38	Continuing Professional Development	-/+ partially implemented	1. a lack of career development strategy 2. a lack of clearly defined regulations concerning the supervision of continuing professional development duty by the immediate superiors of	having in place the Development Strategy of KUL, Work Regulations, Development Strategy of KUL. Excellence Initiative and implementing rules for periodic review of researchers, academic teachers (https://www.kul.pl/art_105483.html , docs#: 2, 4-5, 8-9). A new proposal: development of an electronic knowledge base about current regulations, guidelines for the work of researchers, and current training offers

			<p>researchers</p> <p>3. lack of a publicly available knowledge base containing documents regulating the work of researchers</p> <p>4. a lack of an information tool promoting current training offers dedicated to research workers</p>	
39	Access to research training and continuous development	-/+ partially implemented	<p>1. a lack of career development strategy</p> <p>2. lack of a publicly available knowledge base containing documents regulating the work of researchers</p> <p>3. a lack of an information tool promoting current training offers dedicated to research workers</p>	<p>implementing of the policy of informing about available trainings in the form of news published by responsible organizational units in the internal IT system. Despite this, it was planned to develop an electronic knowledge base about current regulations, guidelines regarding the work of researchers, and the current training offer</p>
40	Supervision	-/+ partially implemented	<p>1. a lack of catalogued good practices, standards in providing scientific supervision and shaping the attitudes and skills of young researchers</p> <p>2. no practice in providing information, record progress, report on the supervision over early-stage researchers</p>	<p>having in place Regulations of the Doctoral School (https://phd.kul.pl/en/#admissions, file: Rules and Regulations of KUL Doctoral School). New proposals: 1. development and implementation of rules for the evaluation of research supervisors and heads of departments, 2. developing a catalogue of good practices in the field of research care</p>