Human Resources Strategy for implementation of the European Charter for Researchers and the Code for the Recruitment of Researchers – update 2023



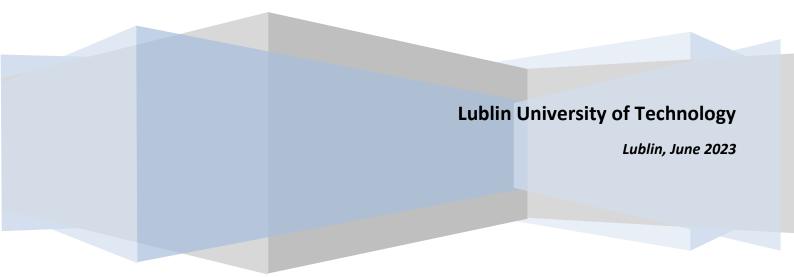


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1. Introduction

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers are main documents indicating good practice in the recruitment and employment of researchers in academic universities and research institutes.

The European Charter for Researchers contains rights and obligations to which researchers, their employing institutions and research funding organisations are subject. These concern, among other things, the creation of appropriate working conditions, the facilitation of research career development (including research mentorship for young researchers) and the expansion of research mobility. *The Code of Conduct for the Recruitment of Researchers* describes the principles for the recruitment of researchers, compliance with which ensures equal treatment of all researchers, transparency, information on competition procedures, as well as non-discrimination (e.g. views, age, background, gender or language, etc.). The Code also states the opportunities for professional development at all career stages and discusses the recruitment process.

Taking into consideration the benefits of practical usage of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers rules, the European Commission recognises institutions that have implemented the principles expressed in these documents by entitling the right to use the 'HR Excellence in Research' award.

Human Resources Strategy implementation is the process of linking the human resource function with the strategic objectives of the University in order to improve performance in all educational and research areas. Adopting the HR strategy that is concerned with the University's larger mission and goals has multiple advantages and benefits for all of us participating in the European and international scientific success.

As the University evaluates its HR policies, it can use the strategic plan's aims and objectives to evaluate each HR process. HR Strategy also helps to foster a sense of team spirit and camaraderie within the Institution. Creating the LUT's HR strategy that aligns with this sense of open communication will have the major benefit of helping the researchers and others feel like their opinions are valued and meaningful to the University authorities.

The advantage of the Human Resources Strategy implementation is in keeping with the University compliance with laws relating to employees, salary, insurance and the like. The laws and policies governing research and science are complex but HR has a key role to play in making sure that the organization's strategic plan is not only presently legal but is also amendable enough that it can adapt to changing times and changing legal circumstances.

In 2017, the European Commission awarded the Lublin University of Technology the distinction of HR Excellence in Research. The 2020 Interim Assessment carried out by representatives of the European Commission confirmed the Lublin University of Technology strongly endeavours the implementation of the principles stated in the Charter and the Code.



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2. LUT's structure and general information

Lublin University of Technology (LUT), with almost 7,200 students (graduated, post-graduated and doctoral) and over 1,200 staff and faculty (including 150 professors), is the middle size Polish university, but the largest technological university in the South-East region and has been a major education center and an advisory unit in the city of Lublin and the region for seven decades. As the hub of technical science, its value and rank is systematically growing. The university actively participates in social and economic life, thus playing an important role in integrating and creating culture. Its scientific and educational activities significantly contribute to the development of the region.

LUT maintains close partnership with institutions and scientific communities in Poland all over the world (over 230 bilateral agreements), which is the framework for joint research projects, coupled with visitations and accompanying lectures, internships and conferences.

At present, there are six Faculties at the Lublin University of Technology:

- 1. Mechanical Engineering,
- 2. Electrical Engineering and Computer Science,
- 3. Building and Architecture,
- 4. Environmental Engineering
- 5. Management,
- 6. Fundamentals of Technology,

and ten interfaculty units:

- 1. Foreign Languages Department,
- 2. Physical Education and Sport Department,
- 3. LUT's Library,
- 4. Information Technology Centre,
- 5. Centre for Innovation and Technology Transfer,
- 6. LUT's Projects Office,
- 7. Scientific Research and International Cooperation Office,
- 8. International Exchange Office,
- 9. LUT's Career Office,
- 10. LUT's Centre of Promotion and Information.

The executive functions of the university are carried out by the university Senate and the Rector. The University Senate determines the rules by which the university is to be governed, establishes graduation requirements, chooses the fields and direction of scientific research, and also makes decisions on the university's development and services. The Senate is chaired by the Rector. The faculties are led by the Deans.

Several committees have been established by the Senate and Rector to help in legal duties, such as education, research, career development, finances, university development.

The Rector established Committee on Scientific Conduct and Ethics, as a number of special representatives, such as:

- Rector's representative for gender equality,
- Rector's representative for social responsibility,
- Rector's representative for persons with disabilities,
- Rector's representative for the projects development,
- Rector's representative for the open access,



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- Rector's representative for the evaluation of scientific entities,
- Rector's representative for POL-on system,
- Rector's representative for the educational quality,
- Rector's representative for the protection of classified information.

The present and constantly evolving system of organizing and managing scientific research is oriented towards creating optimal conditions for conducting research and development of faculty members.

Faculty members are appointed as specific experts for the authority levels, boards and public opinion bodies.

The university's staff and students have helped to establish its reputation as one of the best and the most popular in the region. It has an excellent academic reputation, which is reflected in the successful employment record of its graduates.

Research at LUT is performed within the 7 disciplines: ,

- 1. Mechanical Engineering,
- 2. Automation, Electronics, Electrical Engineering and Space Technologies,
- 3. Technical Informatics and Telecommunications,
- 4. Environmental Engineering, Mining and Power Engineering,
- 5. Management and Quality Sciences,
- 6. Architecture and Urban Planning,
- 7. Civil Engineering, Geodesy and Transport,

Two of these achieved the highest rank in evaluation performed by state bodies (A+) and four achieved category A.

In the year 2022, employees of the Lublin University of Technology carried out 31 research projects worth nearly 14 million PLN. Our scientists published a total of 1001 papers in 2022, and the number of citations of the entire scientific output from the Scopus database is currently 76 933.

LUT's TOP 2% in ranking compiled from Stanford University and the publishing house Elsevier and SciTech Strategies, states an assessment of the entire scientific career. There are thirteen employees of Lublin University of Technology among 196,000 nominees, representatives of Electrical Engineering and Computer Science, Mechanical Engineering and Construction and Architecture (field: entire scientific career).

There are twenty three LUT's scientists among 200,000 nominees, representatives of Mechanical Engineering, Construction and Architecture, Management (field: research achievements in 2021).

The Lublin University of Technology received the ELSEVIER Research Impact Leaders Awards in the Engineering and Technologies category (2021, 2020) and it was evaluated in: the increase in the number of publications in prestigious scientific journals, publications with foreign co-authors and the citation rate in the indicated field, high quality of scientific research and its internationalization.

LUT achieved 1st place in the country in terms of the number of patents granted by the Patent Office of the Republic of Poland patents for inventions and protection rights for utility models. The highest number of patents was obtained by the Faculty of Mechanical Engineering (50). The following applications come from the Faculty of Electrical Engineering and Computer Science (39) and the Faculty of Environmental Engineering (31).

Employees of the Lublin University of Technology received a total of 136 decisions on patent granting.



According to Webometric Ranking of World Universities, the Lublin University of Technology is among the 13% most recognised universities in the world and 5% of universities in Poland. The ranking classifies nearly 12,000 higher education institutions from over 200 countries.





3. Implementation

Lublin University of Technology officially started to implement the principles of the *European Charter for Researchers* and *The Code of Conduct for the Recruitment of Researcher* by signing the *declaration of commitment* in September 2015.

Stage I - preparatory

September 2015 – declaration in favour of rules of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers was signed by the Rector of Lublin University of Technology

November 2015 - appointment of the Team for the Implementation of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers at the Lublin University of Technology (Rector's Ordinance No. 66/2015)

January 2016 – June 2016 GAP Analysis and review and adaptation of internal regulations

September 2016 – February 2017 development of HR Strategy and Action Plan for 2016-2022.

March 2017 – HR Strategy sent to EC

18 July 2017 - European Commission awards Lublin University of Technology the HR Excellence in Research logo

Stage II - implementation of 2016-2022

October 2017 - extension of the activities of the LUT's European Charter Team (Rector's Ordinance No. 43/2017), implementation activities undertaken

25 January 2018 - implementation of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers at the LUT (Ordinance No. 1/2018)

16 November 2018 - introduction of the OTM-R policy, the process of the research recruitment and research and teaching staff in the competitive procedure at the Lublin University of Technology according to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers principles (Rector's Ordinance No. R-53/2018) and implementation of the Guide defining the principles and procedures for recruitment

May 2019 – December 2019 - Internal self-evaluation

April 2020 - Internal Review Report and OTM-R (Open, Transparent and Merit-based Recruitment of Researchers at the LUT) submitted to EC (Euraxess)

Stage III - award renewal phase

10 August 2020 - approval of Internal Review Report and OTM-R by EURAXESS Rights Team of the European Commission

December 2020 - renewal of the activities of the LUT's European Charter Team (Rector's Ordinance No. 108/2020)

31 December 2021 - update of the Guide to the procedure for recruitment of research and research and teaching staff carried out in a competitive procedure at the Lublin University of Technology (Rector's Ordinance No. R-133/2021)

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17 November 2022 - implementation of the Gender Equality Plan at the Lublin University of Technology (Rector Ordinance No. R-96/2022) and appointment of the Rector's Representative for Equality and the Team for implementation and monitoring of the Gender Equality Plan for the Lublin University of Technology (Rector's Ordinance No. R-97/2022)

13 March 2023 - introduction of the Career Development Strategy for research and research and teaching staff of the Lublin University of Technology (Rector's Ordinance No. R-18/2023)

29 June 2023 – presentation of the updated HR Strategy to the Senate

July 2023 - sending a report (Internal Review) to the European Commission summarising activities for 2020-2023 term with the renewal proposal action plan for 2023-2026



4. Methodology

Methodology of the Lublin University of Technology Policy for Development of Human Resources Strategy and Action Plan 2023-2026

The Implementation Panel appointed by the rector comprises scientists from each faculty and representing various groups of researchers (from professors to doctoral students). The members of the Panel oversee the implementation progress following the adopted HR strategy and university operating rules as well as recommend changes to the documents in the event of new legislation. The Implementation Panel is cooperating with the university's HR Department – one member of the Implementation Panel is an employee of the HR Department. Members of the Implementation Panel received the authorisation from the rector to regularly check recruitment documents and procedures applied in all faculties.

The University Panel for implementation of HRS4R constantly monitors the progress of activities. The Panel meetings, where current status is reported and analysed, are held regularly. Activities of the Panel and progress are reported to the University Senate yearly in June.

The activity of Implementation Panel is additionally supervised by a Steering Committee, led by the Rector, which oversees the entire implementation and development process.

Elaboration in June 2016 of the initial action plan for 2017-2019 was preceded by a comprehensive gap analysis. It included a series of individual consultations with researchers, an analysis of university administrative units' rules and an analysis of practices of the University operation in the field covered by HRS4R. The analysis consisted of two parts. The first part was prepared based on a standard template which included 40 principles of Human Resources Strategy for Researchers of *the Charter* and *the Code*. The second part took the form of a summary result matrix which illustrated the competencies of particular units of the University in the areas included in *the Charter* and *the Code* and identified the extent to which the standards specified in the 40 principles had been met.

The acceptance of all proposed actions by university authorities ensured their implementation. The management of the university is committed to implementing the European Charter for Researchers and other legislation that aims to improve the conditions for the professional development of researchers and the standards for their recruitment. The university's organizational units are obligated to support the HR implementation Panel's activities in this regard. According to questionnaires, the implementation has the full support of the university research community.

Further analysis of strengths and weaknesses of LUT, made with reference to Gap Analysis from 2016, showed progress in the area of actions implemented by the Action Plan 2017-2019. It was found that the majority of implemented actions require continuation and consolidation, and some require expansion with new additional elements or modifications. All these activities have been included in the Revised Action Plan 2020-2022. Therefore, the Updated Action Plan (2020-2022) focused on the same 10 Actions, as even those successfully implemented require monitoring, as well as checking compliance with new state law regulations.

To involve the research community in the implementation process, the following action were taken:

- 1. On the university's website there is complete information on the HR strategy and its implementation has been prepared and made available in both Polish and English.
- 2. At the Faculties, information and training were carried out, particularly for management staff in charge of correct researcher recruitment procedures.
- 3. A survey (questionnaire) about HR goals and how they are implemented is sent out to scientists once a year. The survey is assessed by the Panel, introduced and examined during university senate meetings, as well as introduced to the entire community on the university website.





4. Each recruited researcher is required to read and sign the personal HR declaration.

As a result of the HRS4R implementation the following organizational policies were adopted:

- 1. ISO/IEC 27001-based policy for managing information security to enhance confidentiality and data protection.
- 2. To fully comply with HRS4R, the LUT's recruitment procedures were substantially altered. The University Panel for the Implementation of HRS4R participated in the preparation of updating "General principles and guidelines for recruitment of researchers and teachers following the competition procedures at Lublin University of Technology" as part of the OTR-M. In addition, to carry out recruitment and selection procedures in accordance with HRS4R, the Panel developed comprehensive procedures and document templates.
- 3. Recruitment procedures were revised to recognize the significance of mobility.
- 4. Gender Equality Plan was developed and it is now under implementation.
- 5. Career Development Strategy was adopted by the university senate as a high-level document.

Despite annual questionnaires mentioned above, in January 2023 the new survey was circulated among all researchers at LUT.

The outcomes of these questionnaires are presented in the separate document (HR4Excellence implementation – researchers' survey, January 2023).

In 2023 the Panel for implementation of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers at the Lublin University of Technology prepared the updated strategy and Action Plan for 2023-2026 based on the questionnaire outcomes, review of updated University regulations, the results of competitions for the recruitment of researchers, data from university disciplinary committees, data on compliance with personal data protection and intellectual property protection, data on staff mobility and competence development were utilized as well. An additional source of information was the University's annual review of the researchers' career development, accomplishments, and international mobility, which was prepared each March and presented to the Senate.



5. LUT Policy to implement the Human Resources Strategy

Implementation of Human Resources Strategy should concentrate on three main aspects:

- monitoring of the already adopted procedures and practices,
- introducing/improving the already existing procedures and practices,
- improving the involvement of research community in the implementation process.

The initial strategy, prepared in 2016 focused on 10 actions, resulting from GAP analysis.

Despite some delays, due to changes of state regulations, the analysis showed progress in the area of actions implemented in accordance with the Action Plan 2017-2019. After internal review at the end of 2019, it was found that the majority of implemented actions require continuation and consolidation, whereas some require expansion with additional elements or modifications. All these activities have been included in the Revised Action Plan 2020-2023.

Implementation of the Action Plan, proposed in 2020, was performed in 2020-2023.

On the basis of the outcomes of regular monitoring implementation process, improvements in OTM-R policy were introduced and monitored. Gender Equivalent Policy was implemented. Career Development Strategy document was developed and implemented by University Senate.

In the January of 2023, a new survey has been distributed among all researchers at LUT. This revealed that three actions, included in 2020-2023 plan has been completed and do not require continuation under current circumstances, although we will monitor them via questionnaires over the following years. Two actions have been completed but their implementation requires further monitoring (once a year). Five actions are extended.

The new action, based on point 39 of the Charter and Code has been added to the Action Plan for 2023-2026.

On the basis of the discussion within the Panel and the analysis of the questionnaire outcomes as well as current status of university regulations and procedures, the new updated strategy will focus on the following principles:

- 2. Ethical principles
- 7. Good practice in research
- 12. Recruitment (Charter)
- 13. Recruitment (Code)
- 14. Selection (Code)
- 15. Transparency (Code)
- 18. Recognition of mobility experience (Code)
- 25. Stability and permanence of employment
- 28. Career development
- 29. Value of mobility
- 39. Assess to research training and continuous development

Although three of them (selection, stability and permanence of employment and recognition of mobility) are considered to be completed, without further actions needed, all of them will be monitored during annual surveys, so they are included in the Action Plan for 2023-2026.

Detailed analysis of the eleven principles mentioned above shows that three main areas where best practices should be enhanced were identified and gathered:

- 1) Implementation of best practices in research related to ethics and information security
- 2) Implementation of best practices in the recruitment of staff and career development
- 3) Implementation of best practices in Mobility, training and development





Some of the principles require better supervision within the implementation of the already existing procedures, e.g. recruitment, career development, etc. Some of them require adoption of new documents and procedures, especially training and mobility.

Therefore, the identified principles and overall actions to be undertaken are gathered in Table 5.1. to explain the interactions between the planned steps.

Table 5.1. Principles of Charter and Code identified as seeking improvement in implementation for best practices and
actions planned to be taken

Principles in the Charter and the Code	Name of action	Type of action						
2. Ethical principles	Implementation of best practices	Monitoring of implementation of best practices in research						
7. Good practice in research	in research related to ethics and information security	Improvement of existing procedures and understanding of information security						
12. Recruitment (Charter)		Monitoring of existing procedures						
13. Recruitment (Code)		Improvement of existing procedures (annex to Guidance)						
14. Selection (Code)	Implementation of best	Monitoring of existing procedures						
15. Transparency (Code)	practices in the recruitment of staff and	Monitoring of existing procedures / improvement of existing procedures						
25. Stability and permanence of employment	their career development	Monitoring of existing procedures						
28. Career development		Monitoring of new procedures / improvement of currently established procedures						
18. Recognition of mobility experience (Code)	Implementation of best	Monitoring of existing procedures						
29. Value of mobility	practices in Mobility and Internationalization	Monitoring of existing procedures/ improvement of existing procedures						
39. Access to research training and continuous development		Development of new procedures						

These areas are to some extend overlapping, as ethics rules should be mainly introduced to newly hired researchers and doctoral students to create good attitude from the very beginning. Career development is strictly bonded to mobility of staff and internationalization of research.

However, for efficient control of improvement, specific measures to every principle have been proposed and included in the action plan for years 2023-2026.





Action 1. Implementation of best practices in research related to ethics and information security

The goal of this action is to monitor the understanding of best practices and ethics rules, as well as adoption of Charter at an individual level of newly hired employees.

The most important issue is to increase the information and collaboration security.

Action 2. Implementation of best practices in the recruitment of staff and career development

The goal of the action is to monitor the already established procedures of OTM-R strategy (clear and transparent principles and internationally comparable recruitment of research staff at LUT in an open recruitment process) as well as to monitor the newly established rules and supportive policy for career development.

Action 3. Implementation of best practices in Mobility and Internationalization

The goal of this action is to improve the recognition of the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. The detailed goal is to establish the clear procedures supporting training and continuous development of researchers.

6. Action Plan 2023 – 2026 and performance measures

Action Plan 2023-2026 and performance measures are presented in table 6.1. Strategy distinguishes timing and realization periods, preparatory stage, implementation and monitoring stage as well as the improvement steps to be undertaken within the Lublin University of Technology.

The detailed time schedule is presented in Table 6.2.



No						Action schedule					
(Charter /Code)	Area of the analysis	Description of the action	Coordination unit / person	Measures	Preparatory stage	Procedure /document ready	Implementation and monitoring				
	Implementation of best practices in research related to ethics and information security										
2	Ethical principles	Improvement of understanding of ethical rules	Human Resources Dept./ Deputy Rector for Scientific Affairs	Number of complaints to ethical commission	completed	completed	Completed; Monitoring once a year				
7	Good practice in research	Developing new policy for management of information security based on ISO/IEC 27001	IT Dept., /Data Protection Officer	Strategy document on comprehensive policy of information security	completed	completed	Extended; monitoring once a year				
		Implementation of best p	actices in the recruit	ment of staff and career	development	1					
12	Recruitment (Charter)	Developing and implementation of New Guidance for Recruitment Procedures	Human Resources Dept./ Senate Commission of HR Development	Number of complaints to recruitment commission	completed	completed	Completed; Monitoring once a year				
13	Recruitment (Code)	Development of a new document on announcements of competition content as an attachment to New Guidance for Recruitment Procedures	Human Resources Dept. / Senate Commission of HR Development	Improved attachment	completed	completed	Extended; monitoring once a year				
14	Selection (Code)	Development of recommendations of selection procedures as a part of Guidelines on Recruitment Procedures	Human Resources Dept. / Senate Commission of HR Development	Improved document	completed	completed	Completed				
15	Transparency (Code)	Development of Template of Strengths and Weaknesses of each application to be used by Faculty Recruitment	Human Resources Dept./ Senate Commission of HR Development	Additional appendices with Template of strengths and weaknesses as part of	completed	completed	Extended; monitoring implementation once a year				

		Commissions (document to be delivered to candidates after the recruitment process)		New Guidance for Recruitment Procedures			
25	Stability and permanence of employment	Adjusting the contracts for the new rules of Labor Law and the Law on Higher Education	Rector, Human Resources Dept.	Strategy Document	completed	completed	Completed
28	Career development	Creating a general strategy to support young and experienced researchers in career development.	Senate Commission of HR Development / Office of International Collaboration and Scientific Affairs	Strategy Document Expanding workload of Career Office into career consultancy for doctoral students and young researchers / Rector's ordinance	completed	completed	Extended; monitoring implementation once a year
		Implementatio	on of best practices in Mo	bility and Internationalization			
18	Recognition of mobility experience (Code)	Implementation of mobility as an integral part of New Guidance for Recruitment Procedures Resolutions of Senate and Rector's regulations.	HR Department/ Senate Commission of HR Development	Number of researchers participating in mobility programs	Completed	Completed	Completed
29	Value of mobility	Improvement of rules and procedures for the international mobility in accordance with national legislation. Developing new procedures for industrial internship as an instrument encouraging mobility Monitoring of international and intersectoral mobility	Senate Commission of HR Development Deputy Rector for Scientific Affairs	Updated version of procedures from the international mobility Developing new procedures for industrial internships Annual reports of international and intersectoral positions	Completed	Completed	Extended; monitoring implementation once a year



39 Access to research training and continuous development, assisting the university in mobility and	Deputy Rector for Scientific Affairs IRO	Number of participants	4 Q 2023	3Q 2025	New
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Table 6.2. Lublin University of Technology - HR Strategy for Researchers – Action Plan Schedule for HR Strategy – implementation phase

Legend:

Completed

Extended

Completed and monitoring

New

No	Description of action	Current	2023		2024				2025			
(Charter/code)				IV	Ι	II	III	IV	I	П	III	IV
2	Improvement of understanding of ethical rules											
7	Developing new policy for management of information security based on ISO/IEC 27001											
12	Developing and implementation of New Guidance for Recruitment Procedures											
13	Development of a new document on announcements of competition content as an attachment to New Guidance for Recruitment Procedures											
14	Development of recommendations of selection procedures as a part of Guidelines on Recruitment Procedures											
15	Development of Template of Strengths and Weaknesses of each application to be used by Faculty Recruitment Commissions											
25	Development of Template of Strengths and Weaknesses of each application to be used by Faculty Recruitment Commissions											
28	Creating a general strategy to support young and experienced researchers in career development.											
18	Implementation of mobility as an integral part of New Guidance for Recruitment Procedures Resolutions of Senate and Rector's regulations.											
	Improvement of rules and procedures for the international mobility in accordance with national legislation											
29	Developing new procedures for industrial internship as an instrument encouraging mobility											
	Monitoring of international and intersectoral mobility											
39	Improving the level of scientific supervision, opportunities for scientific development, assisting the university in mobility and raising funds for training and development.											





7. Conclusions

Lublin University of Technology pursues to become the most innovative research technical university of the Eastern European border. Its main goals that reflect the principles laid down in *the Code* and *the Charter* are, among others: "Competent research staff, world-class research and robust cooperation with the environment". The implementation of *the HR Strategy for Researchers* is crucial activity undertaken towards the improvement of working environment and research.

Therefore the strategy received a positive opinion from the Senate and was accepted by the Rector for implementation.



Human Resources Strategy

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