



# Internal Review

Case number: **2020PL491761**Name Organisation under review: **Lublin University of Technology**Organisation's contact details: **Nadbystrzycka 38D, Lublin, 20-618, POLAND**

## 1. Organisation information - LUT

<b>STAFF &amp; STUDENTS (2019)</b>	<b>FTE (Full Time Equivalent)</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	586
Of whom are international	7
Of whom are externally funded	2
Of whom are women	1
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor	41
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	110
Of whom are stage R1 = in most organisations corresponding with doctoral level	283
Total number of students	8104
Total number of staff (including management, administrative, teaching and research staff)	1120

<b>RESEARCH FUNDING (2019)</b>	<b>€</b>
Total annual organisational budget	43903286
Annual organisational direct government funding (designated for research)	30112121
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	4146783
Annual funding from private, non-government sources, designated for research	1977294

## **ORGANISATIONAL PROFILE**

Lublin University of Technology (LUT), with over 8,000 students (including 1000 foreign) and over 1,100 staff and faculty, is the middle size Polish university.

LUT performs research and teaching in 7 main disciplines at undergraduate, graduate and doctoral level.

LUT maintains close partnership with institutions and scientific communities in Poland all over the world (over two hundred bilateral agreements). Research projects are funded from state agencies, EU and regional and state enterprises. Research and implementation achievements were recognized by Elsevier (Research Impact Leader – 2019) and "Perspective Foundation" - "Leader of Innovation in 2018".

## **2. Strengths and weaknesses of the current practice**

### **A. Ethical and professional aspects (Interim Assessment)**

#### **Strengths:**

Ethic aspects are in compliance with currently valid established standards. General awareness and preferences of ethic aspects among researchers is common in the LUT's academic environment.

Good practice is the processes of research performance is constantly monitored. Any doubts that arise are promptly presented and verified throughout the course of the academic activity at the entire University.

All employees are subject to periodical appraisals of their involvement in the activities relevant to their particular position. Moreover Heads of faculties (usually professors) organise individual meetings with researchers that reflect their attitude of responsibility.

Our improvement in this field is confirmed by lack of complaints to ethical commissions.

#### **Weaknesses:**

Management of information security should be further improved.

### **B. Recruitment and selection (Interim Assessment)**

#### **Strengths:**

Currently, all internal procedures are standardized and fully compliant with the Code. Implementation of the recruitment system in a form reinforcing the transparency of the selection

process. Implementation of university-wide document templates and routines for carrying out the selection process.

According to new procedures compliant with the Code of Conduct for the Recruitment of Researchers and using new document templates, 32 recruitment procedures have been carried out so far. There were no problems reported in applying these standards.

**Weaknesses:**

The part of the system which defines the standards of communication with applicants after the selection is still in the phase of development.

### **C. Working conditions (Interim Assessment)**

**Strengths:**

- 1) Working conditions in terms of infrastructure, funding, interpersonal relationships, including young researchers - supervisors relations are reported as strong parts in our annual surveys.
- 2) Recognition of mobility was improved.

**Weaknesses:**

Our internal regulations have to be adopted to the state legal regulations, which have been changed in October 2019. It creates some confusions among some groups of employees.

### **D. Training and development (Interim Assessment)**

**Strengths:**

- 1) All researchers have the access to research training and continuous professional development.
- 2) The Office for Development and Cooperation systematically informs about courses, trainings and competitions for projects. This office offers the assistance in preparing applications and project management and organizes trainings and workshops on application procedures and EU project implementation.
- 3) Office of International Education offers the training courses for staff financed by Erasmus+ project.
- 4) International Relations Office (IRO) distributes information about the bilateral agreements between the LUT and its partner institutions and about various international programmes. Due to new funding source of the Polish National Agency for Academic Exchange number of the international researchers increased.
- 5) The researchers participation in conferences and workshops is financed by projects and funds for subvention of faculties.
- 6) All staffs have access to free e-reading and virtual library collections.
- 7) Young researchers are included in research teams.

## **Weaknesses:**

The changes of specific career development strategy for researchers at all stages of their career in national law (new code since October 2019) caused the uncertainty of scientists about career development and employment. So, the new evaluation system of scientific achievements is developed in LUT.

### **Have any of the priorities for the short- and medium term changed?**

Once a year (December) – during the implementation of Code and Charter – a questionnaire is distributed among researchers (with balance of different positions) with several questions about the implementation (based on 40 actions recommended by the Charter). The results are analysed by the Implementation Panel and presented to the University Senate at June meetings together with an analysis of the current stage of implementation of Charter and Code. There is no evidence (from questionnaires and analysis) that any change of the priorities is needed.

### **Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?**

Status of our university and general strategy has not change.

The new Act of Science and High Education was issued (in order since October 1, 2019) and although some changes in the university operating are crucial they have no impact on the LUT's HR strategy adopted in 2017.

Changes have impact on the timeline of implementation (new documents, referring to new acts, issue of new internal ordinances were, which cause delays in the process regarding the initial timeline).

### **Are any strategic decisions under way that may influence the action plan?**

No, as far as we are aware of. Plans for the new, updated LUT strategy seems to be in compliance with current policy.

### 3. Actions

Action 1	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Improvement of understanding of ethical rules	2. Ethical principles	1Q 2017	Human Resources Dept./ Deputy Rector for Scientific Affairs	Number of complaints to ethical commission / 1 complaint
<b>Current Status</b>		<b>Remarks</b>		
COMPLETED		Declaration of commitment of Charter for Researchers is available on website. Declaration is signed by all new employees. 0 complaints from doctoral students and 1 complaint from researcher in last 3 years.		
Action 2	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Developing new policy for management of information security based on ISO/IEC 27001	7. Good practice in research	1Q 2017	IT Dept., /Data Protection Officer	Implementation of comprehensive policy of information security.
<b>Current Status</b>		<b>Remarks</b>		
IN PROGRESS		Some measures to monitor the level of the security of the mailboxes were introduced. However, awareness of employees should be improved. Management of information security should be further improved.		
Action 3	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)

Developing and implementation of New Guidance for Recruitment Procedures

12. Recruitment

4Q 2017

Human Resources Dept./ Senate Commission of HR Development

The Guidance for recruitment process (with appendixes for actions 4, 5 and 6) has been developed and released. Currently the Guidance is implemented

**Current Status**

**Remarks**

COMPLETED

Procedures of recruitment are under monitoring. No complaints from unsuccessful applicants were recorded.

**Action 4**

**GAP Principle(s)**

**Timing (at least by year's quarter/semester)**

**Responsible Unit**

**Indicator(s) / Target(s)**

Development of a new document on announcements of competition content as an attachment to New Guidance for Recruitment Procedures

13. Recruitment (Code)

4Q 2017

Human Resources Dept. / Senate Commission of HR Development

The Guidance for recruitment process (with appendixes for actions 4, 5 and 6) has been developed and released. Currently the Guidance is implemented

**Current Status**

**Remarks**

COMPLETED

A template of the announcement in accordance with these requirements was implemented before The Guidance was developed and is being used for recruitment announcements

**Action 5**

**GAP Principle(s)**

**Timing (at least by year's quarter/semester)**

**Responsible Unit**

**Indicator(s) / Target(s)**

Development of recommendations of selection procedures as a part of Guidelines on Recruitment Procedures

14. Selection (Code)

4Q 2017

Human Resources Dept. / Senate Commission of HR Development

The Guidance for recruitment process (with appendixes for actions 4, 5 and 6) has been developed and released. Currently the Guidance is implemented

**Current Status**

**Remarks**

COMPLETED

The Guidance for recruitment process includes set of documents let to run a transparent and competency-based selection process. 32 recruitments have been carried so far out since The Guidance was implemented. Both in the HR Department and in the Rector's Office no comments or complaints were received from both the candidates and The Guidance's users.

Action 6	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Development of Template of Strengths and Weaknesses of each application to be used by Faculty Recruitment Commissions (document to be delivered to candidates after the recruitment process)	15. Transparency (Code)	4Q 2017	Human Resources Dept./ Senate Commission of HR Development	The Guidance for recruitment process (with appendices for actions 4, 5 and 6) has been developed and released. Currently the Guidance is implemented
	<b>Current Status</b>	<b>Remarks</b>		

IN PROGRESS

Additional appendices with Template of strengths and weaknesses as part of New Guidance for Recruitment Procedures is under development

Action 7	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Adjusting the contracts for the new rules of Labour Law and the Law on Higher Education	25. Stability and permanence of employment	4Q 2018	Rector/HR Dept.	
	<b>Current Status</b>	<b>Remarks</b>		

EXTENDED

The employment contracts were adjusted to the applicable regulations (Science and Higher Education Law - in force from October 2019, and new LUT Statute adopted in June 2019 - in force from October 2019).

Action 8	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Creating a general strategy to support young and experienced researchers in career development	28. Career development	4Q 2018	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 (appropriate Rector's ordinance).
<b>Current Status</b>		<b>Remarks</b>		
EXTENDED		<p>In 2018, due to the introduction of the new Law for Science and Higher Education, the LUT Development Strategy was suspended. The new LUT Development Strategy should include career development for researchers at all stages of their careers, regardless of their contractual situation, including researchers employed under 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 uncertainty about their professional future.</p> <p>It is necessary to extend formally the scope of the Office's activity by professional counselling for doctoral students and young scientists. In practice, the employees of the Office also provide support to the staff and doctoral students.</p>		
Action 9	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Implementation of mobility as an integral part of New Guidance for Recruitment Procedures Resolutions of Senate and Rector's regulations.	18. Recognition of mobility experience (Code)	4Q 2017	HR Department/ Senate Commission of HR Development	Updating the Guidance for Recruitment Procedures under the new national legislation - Senate Commission of HR Development; monitoring of international and intersectoral mobility
<b>Current Status</b>		<b>Remarks</b>		
COMPLETED		New LUT Statute and Guidance for Recruitment clearly underline value of mobility, both current and new employees.		



Action 10	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
<p>Improvement of rules and procedures for the international mobility in accordance with national legislation.</p> <p>Developing new procedures for industrial internship as an instrument encouraging mobility</p> <p>Monitoring of international and intersectoral mobility.</p> <p>Monitoring of international and intersectoral mobility</p>	29. Value of mobility	1Q 2020	<p>Senate Commission of HR Development</p> <p>Deputy Rector for Scientific Affairs</p>	<p>Updated version of procedures from the international mobility</p> <p>Developing new procedures for industrial internships</p> <p>Annual reports of international and intersectoral positions</p>
	<p><b>Current Status</b></p>	<p><b>Remarks</b></p>		

IN PROGRESS

In 2018 new procedures of application for international mobility were introduced. Due to state law change in October 2019 new rules have been developed. They will be implemented in 2020

## **LUT's HR Strategy and OTM-R policy:**

<http://www.en.pollub.pl/en/university/the-european-charter-code-for-researchers>

## **4. Implementation**

### **General overview of the implementation process:**

Implementation of Action Plan, proposed in 2017, was performed in 2017- 2019.

As a result of the initial GAP analysis, 10 actions were identified as crucial for progress of the university and successful implementation of the Charter and Code.

Analysis of current strengths and weaknesses of LUT, made with reference to Gap Analysis from 2016, showed progress in the area of actions implemented in accordance with the Action Plan 2017-2019.

In 2017-2019, 10 actions were planned, from which all have been implemented, although some delays according to initial plan were observed. The main reason for the delays were on-going changes in the law regulations in Poland.

The current status of the planned actions is as follows:

- 5 fully completed
- 3 in progress
- 2 extended.

It was found that the majority of implemented actions requires 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.

Analysis based on outcomes from survey among research community and review of university documents and administration data, shows that the same actions like in initial plan were identified as crucial for LUT community.

Therefore, the New Action Plan (2020-2022) focuses on the same 10 Actions, as even those successfully implemented require monitoring, as well as checking compliance with new state law regulations.

Nevertheless it was found that the actions planned and implemented in the Action Plan 2017-2019 caused a significant progress of the university in the implementation of the Charter and Code provisions.

### **How have you prepared the internal review?**

The internal review was prepared by 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 (established by rector's ordinance no R-43/2017). Members of the Panel analysed the implementation of HR strategy in particular groups of issues. The entries in GAP and Action were compared with the results achieved. Issues analysed by the Panel members were discussed at the Panel meetings, convened once a week. The evaluation was carried out on the basis of national and university legal acts, ordinances, instructions, surveys and others. The main sources

used to assess the degree of HR implementation are the Act on Higher Education and Science, LUT's Statute, Rector's ordinances, OTM-R and the Guide on recruitment of research and research-and-teaching staff in a selection procedure at the Lublin University of Technology. The results of staff surveys (performed every December and evaluated by Panel and then by University Senate), the results of competitions for the recruitment of researchers, information from university disciplinary committees, information on compliance with personal data protection and intellectual property protection, information on staff mobility and competence development were also used. Annual review of the researchers career development, achievements and international mobility, prepared (every March) by the administrative units of the University and presented to the academic Senate was used as an additional source of information.

### **How have you involved the research community, your main stakeholders, in the implementation process?**

The implementation of HR provisions was carried out in two main ways. Firstly, university information channels were used. Full information on the HR strategy and its implementation has been prepared and made available in Polish and English on the University's website. The information and training was carried out at the Faculties, especially for the management staff responsible for the correct recruitment procedures for researchers. Once a year a survey (questionnaire) is conducted on HR objectives and its implementation among the scientific community. Survey is evaluated by Panel and presented and discussed during university senate meetings, as well as presented to the whole community at university website. Each recruited researcher is obliged to read the HR and confirm it by signing Personal declaration HR.

### **Do you have an implementation committee and/or steering group regularly overseeing progress?**

In accordance with the adopted HR strategy and rules of operation of a university, the overseeing of the implementation progress shall be performed by the Panel appointed by the rector, composed of representatives of scientists from each faculty and representing different groups of researchers (from professors to doctoral students), as the first instance. The Panel oversees the implementation of the strategy and makes recommendations to modify the documents if the legislation changes. The personnel recruitment is supervised by the HR Department. The whole process of implementation and development is supervised by the senate and the Rector.

### **Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy**

The implementation of the HR strategy influenced the organizational policy of the university:

- a. To improve protection of data and confidentiality, new policy for management of information security (based on ISO/IEC 27001) was developed and implemented.
- b. The recruitment procedures at the LUT were substantially modified, to provide full compliance with HRS4R. The University Panel for implementation of HRS4R was involved in the preparation of new "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, the Panel in cooperation with HR Department and Legal Counsel elaborated detailed procedure and document templates to run recruitment and selection processes in accordance with HRS4R. Recruitment procedures were later updated to clearly appreciate the value of mobility.

## **How has your organisation ensured that the proposed actions would be also implemented?**

All the proposed actions were accepted by the university authorities, which guarantees their implementation. The university management fully supports the implementation of the European Charter for Researchers and other legislation aimed at raising standards of recruitment of researchers and conditions for their professional development. All organizational units of the university are obliged to act in this respect and support the activities of the HR implementation Panel. The implementation has full support of the university research community, which might be seen from questionnaires.

## **How are you monitoring progress (timeline)?**

The University Panel for implementation of HRS4R constantly monitors the progress of activities. The Panel meetings are on regular basis, where current status is reported and analysed. The Panel has current contact with all bodies engaged in implementation of HRS4R. All internal policy documents are public, thus the Panel can monitor progress of all formalities associated with implementation of HRS4R. In addition, the implementation is monitored through a detailed analysis of complaints and annually by analysing surveys carried out (every December) among representative groups of the research staff. Analyses are presented and discussed at university senate meetings and after acceptance presented to the community at university website.

## **How will you measure progress (indicators) in view of the next assessment?**

Progress in implementation will be measured as follows:

- in activities related to the continuous adaptation of the rules to the changing law, the number of new or improved documents (internal rules) will be indicators;
- in activities directly related to staff recruitment, the results of the surveys carried out among the recruitment teams and the number of complaints about the recruitment process will be indicators;
- in activities related to mobility and career development, progress will be measured by the number of trips/arrivals, the number of foreign researchers recruited, the number of promotions;
- in the field of ethics, progress will be measured by the number of cases dealt with by the disciplinary committees.

## **How do you expect to prepare for the external review?**

The entire HRS4R implementation process and its monitoring is archived and all documents are published on the LUT website. The implementation of tasks planned as the result of Internal Review will be carried out on the same basis as before, and all documents and studies will be published. In this way, external auditors will be able to familiarize themselves with the scope of our activities. From the organizational point of view, before the date of the arrival of auditors, an agenda will be prepared to enable meetings and discussions with all bodies and staff responsible for implementing HRS4R. Access to all official and working documents and offices will be conveniently enabled. Meetings will be organized to enable auditors to meet and discuss with researchers and other staff, as appropriate. All members of the Implementation Panel will be available to assist auditors.