

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



Lublin University of Technology

UPDATE, Lublin, April 2017

Acceptance:

Rector of the LUBLIN UNIVERSITY OF TECHNOLOGY accepts the Human Resources Strategy

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1. Introduction

Lublin University of Technology, with 11,000 students and over 1,000 staff and faculty, 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 almost six 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.

Lublin University of Technology was awarded the title of the “Leader of Innovation in 2016” in prestigious ranking of Polish universities led by “Perspective Foundation”, which shows high standing position and implementation impact.

The importance of the region in the united Europe will depend on how competitive both the manufacturing sector and specialized service fields are. As a consequence, providing them with assistance has become one of the most fundamental elements in the mission of LUT.

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

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.

By the end of 2013, Lublin University of Technology adopted a new strategy for development in 2014-2019. Research potential strengthening and internationalization are the most crucial elements of this strategy. The implementation of European Charter for Researchers and The Code of Conduct for the Recruitment of Researcher could be one of important tools to obtain these ambitious goals.

2. LUT's structure

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 nine 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 of the LUT,
6. Lublin Innovation Partnership (Incubator) of the LUT,
7. Office for International Education,

8. LUT's Career Office,
9. Promotion and Projects Office.

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.

Lublin University of Technology employs ca. 1,100 staff members with 550 academic teachers among them. Staff 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.

3. Methodology - LUT

Methodology of the performance of *the Gap Analysis*

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.

The above implementation was preceded by the information campaign about the Charter and questioning different group of employees (60% professors, 20% early-stage researchers, 15% doctoral students and 5% administrative employees) by the questionnaire of the University Management Control. The integral part of the LUT's campaign was a common recognition of *The Code of Ethics for Researcher* established by Polish Academy of Sciences (2012 December) from the year 2013 over the year 2015.

Afterword's, the Rector's Ordinance (establishing the Panel for the implementation of *The European Charter for Researchers* and *The Code of Conduct for the Recruitment of Researcher*) was signed on the 25 November 2015.

The Panel embodied equally 50% of women and men within the all of University representative employees, such as:

- professors 20%,
- associate professors 20%,
- assistant professors, researchers, lecturers 30%
- doctoral students 20%,
- administrates from all faculties of the University 10%.

After signing the official commitment, the Rector and the Panel undertook inside-institutional activities to review the legal environment in which the University operates inclusive of national legal requirements, internal regulations of the University, procedures and good practice used at the University in regard to the implementation of the provisions of *the Charter* and *the Code*

The creation of the Gap Analysis was strongly based on the University Lawyers Department, Human Resources Department, the Faculties Committee and the academic Senate opinions and knowledge. The

Internal Units of the University are constantly involved in creation of the internal documents, regulations and rules. The Academic Senate as well as the Faculties Boards are elected from the Faculties members and staff by the community of the University. The above embodied 55% professors, 20% early-stage researchers, 20% doctoral students and 5% administrative employees of the University.

To ensure possibly the most comprehensive and efficient performance of *the Gap Analysis*, the beginning of the work took a series of individual consultations with the Faculties researchers followed by the university administrative units rules and practices of their areas of the University operations.

Each Faculty Board presented to the faculty community the ingoing information concerning the advantages and implementation process of the *European Charter for Researchers* and *The Code of Conduct for the Recruitment of Researcher* within the University.

Simultaneously, the activities were performed with the constant consultations with partners institutions, either local and international, which have already adopted HR strategy, such as the Institute of Agrophysics of Polish Academy of Sciences (Lublin), the Aalto University, Finland, the Telemark University College, Norway and the Wroclaw University of Science and Technology. Specific examples of implementation activities presented during the frequent common consultations by leading higher education institutions which had already been awarded the HR Excellence in Research proved particularly valuable.

As a result, an extensive Gap Analysis was completed (June 2016). The task was coordinated by the International Relations and Scientific Affairs Office of the University which reports to the Deputy Rector for Scientific Affairs. The analysis consists of two parts. The first part was prepared on the basis of a standard template which included 40 principles 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 competences 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 Gap Analysis is included to this document as attachment 1.

Methodology of the Lublin University of Technology Policy for Development of Human Resources and Action Plan 2017-2019

The results of *the Gap Analysis* constituted frequent individual consultations with scientific employees (experienced scholars, young members of the research community) leading to the development of *the Lublin University of Technology Policy for Development Human Resources* and *the Action Plan 2017-2019*. The three main actions were proposed on their basis. These actions were found by the University to fill in those 40 identified gaps and as the most relevant to ensure the most suitable work conditions for researchers. They were also found to correspond with the University strategic development plan. The three areas of action are included in *Lublin University of Technology Policy for Development Human Resources and Action Plan 2017-2019*.

To ensure possibly the largest participation of researchers in the development of *the Lublin University of Technology Policy for Development Human Resources* and *Action Plan 2017-2019*, the proposals of both documents were presented to the Senate, consisting of representatives of researchers (60 members of Senate, originating, inter alia, from every six faculties of the University).

The final content of the HR Strategy has been presented and received a positive opinion of the University's Senate in October 2016.

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.

4. LUT Policy to implement the Human Resources Strategy

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

- monitoring of already adopted procedures and practices,
- introducing/improving already existing procedures and practices.

The internal *Gap Analysis* (see attachment 1) shows that the majority of the national legislation, internal regulations and practices at the Lublin University of Technology are in compliance with principles. The internal procedures to supervise are sufficient in most areas, although constant monitoring is required.

However, the ten principles – specified in *the European Charter for Researchers* and *the Code of Conduct for the Recruitment of Researchers* identified and deemed especially relevant during the performance of *the Gap Analysis* required action to fully implement the strategy.

These principles are as follow:

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

Based on the discussion within the Panel and the analysis of the above mentioned principles required to fulfill these tasks, there are three main areas identified and gathered, where best practices should be enhanced:

- 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 and Internationalization**

Some of the principles require better supervision within the implementation of already existing procedures, e.g. ethic, transparency, etc. Some of them require adoption of new documents and procedures, specially career development and stability and permanence of employment, mainly due to new law introduced in October 1, 2016.

Therefore, identified principles and overall actions to be undertaken are gathered in Table 4.1. to explain interactions between planned steps.

Table 4.1. 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, as to GAP
<p>2. Ethical principles</p> <p>7. Good practice in research</p>	Implementation of best practices in research related to ethics and information security	Improvement of existing procedures
<p>12. Recruitment (Charter)</p> <p>13. Recruitment (Code)</p> <p>14. Selection (Code)</p> <p>15. Transparency (Code)</p> <p>25. Stability and permanence of employment</p> <p>28. Career development</p>	Implementation of best practices in the recruitment of staff and their career development	Improvement of existing procedures / development of new procedures
<p>18. Recognition of mobility experience (Code)</p> <p>29. Value of mobility</p>	Implementation of best practices in Mobility and Internationalization	Improvement of existing procedures / development of new procedures

These areas are to some extent 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.

But for efficient control of improvement, specific measures to every principle have been proposed and included in the action plan for years 2017-2019.

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

The goal of this actions is to improve the understanding of best practices and ethics rules, as well as adoption of Charter at individual level of newly hired employees and 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 establish clear and transparent principles and internationally comparable of recruitment of research staff at LUT in an open recruitment process as well as establishing 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, 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.

Therefore, actions to recognize the value of mobility of newly hired researchers (during recruitment procedures) as well as to enhance the mobility of employees (short and long term), either international or intersectorial.

5. Action Plan 2017 – 2019 and performance measures

Action Plan 2017-2019 and performance measures are presented in table 5.1. 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 5.2.

There is no presentation of the actions after the year 2018, although the monitoring process is on-going activity.

Table 5.1. Action Plan 2017-2019, Lublin University of Technology

No (Charter /Code)	Area of the analysis	Description of the action	Coordination unit / person	Measures	Action schedule		
					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	Declaration of commitment (acknowledgment) of Charter for Researchers available on website Declaration signed by newly employed	2016, December	2017, January	Ongoing
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	2016, Sept.-Dec.	2017, January	Ongoing
Implementation of best practices in the recruitment of staff and career development							
12	Recruitment (Charter)	Developing and implementation of New Guidance for Recruitment Procedures	Human Resources Dept./ Senate Commission of HR Development	New Guidance for Recruitment Procedures development	2017, March-September	2017, October	Ongoing
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	Content of competition announcements (including nature of the position, working conditions and perspectives of career development) as a part of New Guidance for	2017 March – September	2017, September-October	Ongoing – annual reports of Senate Commission of HR Development – June

				Recruitment Procedures			
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	New Guidance for Recruitment Procedures development Reports on Monitoring of the application procedures when open calls are in effect.	2017 March – September	2017, September-October	Ongoing – annual reports of Senate Commission of HR Development – June
15	Transparency (Code)	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).	Human Resources Dept. / Senate Commission of HR Development	Template development as part of New Guidance for Recruitment Procedures	2017 March – September	2017, September-October	Ongoing – annual reports of Senate Commission of HR Development – June
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	2018 February – September	2018, October	Ongoing
28	Career development	Adjusting the contracts for the new rules of Labor Law and the Law on Higher Education 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	2018 February – September	2018, October	Ongoing

Implementation of best practices in Mobility and Internationalization

18	Recognition of mobility experience (Code)	Implementation of mobility as an integral part of New Guidance for Recruitment Procedures	HR Department/ Senate Commission of HR Development		2017 March – September	2017, September-October	Ongoing – annual reports of Senate – June
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	2017, November – 2018 May	2018, June - September	Ongoing / Annual reports to the Senate - mid-March

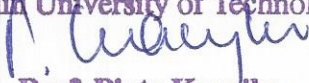
6. Conclusions

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.

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

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