



HR EXCELLENCE IN RESEARCH

Internal Review

Interim Assessment of the implementation process
for The Human Resources Strategy for Researchers
at the University of Silesia in Katowice
a report prepared by the Researchers Development Office

Katowice, 20.05.2019

Case number: 2019PL381265

Name Organisation under review: University of Silesia in Katowice

Organisation's contact details: Bankowa 12, 40–007 Katowice, Poland

Web-link to published version of organisation's HR Strategy. Action Plan and organisational recruitment policy (OTM-R principles): <http://english.us.edu.pl/hr-excellence-research>

TABLE OF CONETENTS

1. ORGANISATIONAL INFORMATION	2
1.1. STAFF AND STUDENTS	2
1.2. RESEARCH FUNDING (FIGURES FOR MOST RECENT FISCAL YEAR).....	2
1.3. ORGANISATION PROFILE.....	3
2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE	3
2.1. ETHICAL AND PROFESSIONAL ASPECTS.....	3
2.2. RECRUITMENT AND SELECTION.....	4
2.3. WORKING CONDITIONS.....	6
2.4. TRAINING AND DEVELOPMENT	9
2.5. HAVE ANY OF THE PRIORITIES FOR THE SHORT AND MEDIUM TERM CHANGED?.....	10
(MAX. 500 WORDS)	10
2.6. HAVE ANY OF THE CIRCUMSTANCES IN WHICH YOUR ORGANISATION OPERATES, CHANGED AND AS SUCH HAVE HAD AN IMPACT ON YOUR HR STRATEGY?.....	11
2.7. ARE ANY STRATEGIC DECISIONS UNDER WAY THAT MAY INFLUENCE THE ACTION PLAN? (MAX. 500 WORDS).....	11
3. ACTIONS.....	13
OTM-R.....	22
COMMENTS ON THE IMPLEMENTATION OF THE OTM-R PRINCIPLES.....	22
4. IMPLEMENTATION	23
4.1 GENERAL OVERVIEW OF THE IMPLEMENTATION PROCESS (MAX. 1000 WORDS).....	23
4.2. HOW HAVE YOU PREPARED THE INTERNAL REVIEW? (MAX. 500 WORDS).....	24
4.3. HOW HAVE YOU INVOLVED THE RESEARCH COMMUNITY, YOUR MAIN STAKEHOLDERS, IN THE IMPLEMENTATION PROCESS? (MAX. 500 WORDS)	25
4.4. DO YOU HAVE AN IMPLEMENTATION COMMITTEE AND/OR STEERING GROUP REGULARLY OVERSEEING PROGRESS? (MAX. 500 WORDS).....	25
4.5. 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? (MAX. 500 WORDS).....	25
4.6. HOW IS YOUR ORGANISATION ENSURING THAT THE PROPOSED ACTIONS ARE ALSO BEING IMPLEMENTED? (MAX. 500 WORDS) .	26
4.7 HOW ARE YOU MONITORING PROGRESS? (MAX. 500 WORDS)	26
4.8 HOW ARE YOU GOING TO MEASURE PROGRESS IN THE NEXT EVALUATION?.....	26
(MAX. 500 WORDS)	26
4.9. HOW DO YOU EXPECT TO PREPARE FOR THE EXTERNAL REVIEW? (MAX. 500 WORDS).....	27
5. ANNEXES.....	27

1. Organisational information

1.1. Staff and students

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	2756
Of whom are international (i.e. foreign nationality)	70
Of whom are externally funded (i.e. for whom the organisation is host organisation)	28 [2017/2018]; 37[2018-04.2019]
Of whom are women	1568
<i>Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	775
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	644
Of whom are stage R1 = in most organisations corresponding with doctoral level	181
Total number of students (if relevant)	22 774
Total number of staff (including management, administrative, teaching and research staff)	3 242

1.2. Research funding (figures for most recent fiscal year)

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	112 398 905.03
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	31 747 979.15
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	11 410 972.48
Annual funding from private, non-government sources, designated for research	229 317.30

1.3. Organisation profile

The University of Silesia in Katowice is one of the largest universities in Poland. It is currently undergoing profound structural and organisational changes. The research carried out at the University encompasses internationally recognised problems in the fields of humanities, exact, natural and social sciences, theology, engineering, medicine and health sciences and arts. It offers education in more than 70 areas, more than 200 specialisations at all levels of study. It has the right to confer doctoral and postdoctoral (habilitation) degrees. It cooperates with entrepreneurs, business institutions and local governments in an effort to commercialise the results of its R&D activities.

2. Strengths and weaknesses of the current practice

2.1. Ethical and professional aspects

Activities adopted in the Action Plan 2016–2018 in the area of ethical and professional aspects: A1; A2; A3 have been fully implemented.

Universally recognised codes of ethics (Code of Ethics for Researchers, Good Research Practices) have been formally adopted for use at the University of Silesia. At the time of signing the contract of employment, the employee confirms that they have read the pertaining documents.

Documents concerning ethical principles are publicly available on the university website: <https://www.us.edu.pl/kodeksy>

A directive on the preparation, implementation and settlement of research projects financed or subsidised from ministerial and other domestic sources has been implemented. The full text of the directive is available on the following website: <http://bip.us.edu.pl/zarzadzenie-nr-1542018>

A directive on risk management and monitoring during project implementation and duration has also been implemented. The full text of the directive is available on the following website: <http://bip.us.edu.pl/zarzadzenie-nr-982017>, <http://bip.us.edu.pl/sites/bip.us.edu.pl/files/prawo/zal20179802.pdf>

The 2018-2019 analysis of behavioural indicators confirms that there is still a gap in the professional approach and acceptance of responsibility in employees. In addition, the SWOT analysis in the area of human resources confirmed the low level of involvement of employees

in the university development process, which calls for continued efforts directed at the adoption of ethical principles and professional approach by employees.

Proposed actions in the Revised Action Plan 2019–2021:

1. advertising and dissemination of the principles included in the Codes of Ethics – incorporation of the Codes into the new employee onboarding activities and into periodic obligatory training of all employees (e.g. on-line);
2. appointment by the Senate of the Ombudsman for Academic Rights and Values (on the basis of Chapter 7 of the draft Statutes);
3. dissemination of the Regulations of the Research Ethics Committee of the University of Silesia on scientific research conducted with the participation of people (incorporation into the new onboarding procedure and periodic training); <http://dn.us.edu.pl/komisja-etyki> ;
4. modifications to the research portal based on usability testing: <http://dn.us.edu.pl/projekty-badawcze>
5. development by the Research Committees in individual disciplines of rules governing creation and work of research teams with view to ensuring freedom of research and support for strategic research areas (on the basis of delegation in par. 36 of the Statute);
6. developing rules for disciplinary and criminal liability of researchers for infringements of intellectual property rights (IPR) and other laws and internal regulations;
7. unification of provisions in the University Strategy, internal regulations as well as personnel policy regulations in order to promote the attitude of social involvement of university employees;
8. introduction of the Doctoral School Regulations and tutoring/mentoring programmes to ensure good relations between young employees and their mentors.

2.2. Recruitment and selection

The Action Plan 2016–2018 assumed the introduction of a number of actions in the area of recruitment and selection, starting with (A.4) development of a model of responsibilities and duties for academic teachers and ending with (A.9) modifications of the employment policy. These activities were initiated in 2017, but due to the changes in legislature concerning higher education in Poland and the resulting organisational changes at US, in 2018 the works were stopped in order to adjust the new internal regulations to the national law.



The analysis conducted in 2018–2019 shows that the area of recruitment and selection is only partially in line with the C&C provisions. The areas in need of improvement are: transparency of selection procedures, abandoning sequential interpretation of data in candidates' CVs and introduction of good practices in communication with candidates after the recruitment process is completed.

Our strengths include: non-discriminatory recruitment standards and transparency at the initial stages of recruitment, recognition of the value of mobility and professional qualifications as well as the traineeships for young workers and candidates holding doctoral degrees.

In 2018, by virtue of the Rector's decree No. 87, a unit accountable to the Rector, namely the Researchers Development Office (RDO) was called into existence. It is responsible for building and implementing frameworks, strategies and policies in the area of personnel development. As far as recruitment is concerned, RDO will take part in monitoring the effectiveness of recruitment and selection procedures, improving future procedures and standards in order to provide support for selection boards in the preparation of vacancy announcements and selection of candidates, as well as in the development of selection tools. RDO will also be responsible for the development of a new procedure of professional adaptation, including onboarding standards, tools for direct superiors, supervisors of young researchers and mentors of new employees.

In January 2019, a pilot study of candidate experience entitled "Evaluation of the process of adaptation to a job position at the University of Silesia" was conducted. More studies are planned to take place at least once a year.

In other areas, i.e.: transparent recruitment and selection procedures, communication with candidates after the selection phase, selection criteria, assessment of merit and abandonment of a linear approach to CV chronology, corrective actions are required.

The areas in need of improvement in terms of transparency of selection procedures are abandoning the linear approach to CV assessment and introduction of good practices in communication with candidates after the selection process is completed.

In the draft of the new Statute of the University of Silesia, a provision referring to the principles of OTM-R was introduced. So far, the competition procedure has been a rule for the recruitment of academic staff and first employment at our University. Exceptions include are made for beneficiaries of European and domestic research grants and persons delegated to work at US on the basis of an agreement with a foreign scientific institution. The competition procedure is conducted by a committee composed of academic staff, specialists in the specific

discipline and administrative staff – HR specialists providing technical and organisational support for academic staff. The members of the selection committee must be impartial, striving at objectivity and following ethical guidelines outlined in C&C.

Competition procedures are announced both in Polish and in English on domestic public information portals as well as on the Euraxess website. Announcements following the Euraxess stylesheet are planned for future competitions. Applicants for teaching positions can deliver documents by traditional mail or by e-mail. The target solution is an interactive on-line form. The competition procedure has two stages. In the first stage, formal verification of submitted documents takes place. In the second stage, the committee conducts assessment of merit. To this end, the committee may appoint reviewers of candidates' achievements and may conduct interviews, including by electronic means.

It is postulated that a requirement be introduced for the selection committee to always create a ranking of the applications on the basis of the adopted criteria. All candidates would receive feedback on the strengths and weaknesses of their application and on their ranking position.

The following actions are proposed under the Revised Action Plan 2019–2021:

- systematic candidate experience surveys (at least once a year) – the responsible unit: RDO;
- introduction of an adaptation procedure for newly recruited employees, preparation of a toolkit for direct superiors, supervisors, mentors and tutors;
- standardisation of application forms for the use by selection boards.

2.3. Working conditions

The measures adopted in the Action Plan 2016–2018 in the area of working conditions, in particular (A.8) financing and remuneration and (A.9) stabilisation and sustainability of employment, were only partially implemented.

Information on financial and other benefits available at US was made available to the researchers through a website.

In 2017, the University of Silesia launched pro-quality programs (<http://bip.us.edu.pl/zarzadzenie-nr-1682017>; <http://bip.us.edu.pl/zarzadzenie-nr-1692017>), which are tools for rewarding and motivating the most active employees. To this end, a pro-quality fund was established at the University as part of its internal funding, to promote employees conducting exceptional research and to finance activities that may contribute to the improvement of research quality. The fund was spent on the following activities:



- granting a one-time bonus for the employees who made the largest individual contributions to the research output as evaluated for the period 2013–2016,
- granting a one-time bonus to the employees with largest individual contributions to the exclusive rights database of inventions (patents and utility models) registered in the period 2013–2016,
- granting a one-time bonus to employees who in 2016 applied for external grants and whose applications qualified for the second stage of evaluation,
- granting a one-time bonus to research and teaching staff who, in 2016, performed the functions of experts in international grant competitions,
- the Visiting Professor Programme financing the visits of foreign professors.

Additionally, as part of pro-quality activities, in 2017 the following two programmes were launched: “Staff Mobility” – financing 3-month research internships in renowned foreign research units and the Small Grants Programme supporting employees' grant initiatives. In 2017, these programmes had 224 beneficiaries.

In 2018, the pro-quality programmes were continued and developed. Collectively the programmes had 464 beneficiaries.

In 2018, in connection with the amendment of the Labour Code and the adoption of Act 2.0, the employment stability of academic teachers was improved.

The analysis conducted in 2018–2019 confirms that there still exists a gap between the C&C provisions and the practices at US as regards working conditions. It pertains to both the working conditions as offered by the university, particularly in terms of career development, and staff management procedures.

Corrective measures in this regard should include:

1. introduction of a new personnel policy reflecting university's strategy and communication of its principles as part of the "open door policy" for internal communication;
2. providing employees with open access to training and development programmes – activities are planned as part of POWER I and II projects (implementation time is scheduled for October 2019–December 2021);
3. providing employees at all stages of their careers with career guidance;
4. introduction of an on-boarding programme with view to communicating possible career paths at US;
5. improvement of continuous and periodical work assessment tools (the Employee Portal); preparation of workshops for members of the evaluation committees in order to standardise

assessment procedures; development of principles for new periodical assessment of academic teachers;

6. providing specialised training (on e.g. cognitive biases and fallacies) to the members of the evaluation committees to ensure standardised recruitment, selection and assessment procedures.

The analysis of effectiveness of the pro-quality programme confirmed weaknesses in the implementation of the programme. A Revised Action Plan 2019–2021 is proposed to include the following:

1. facilitating the flow of information on incentive programmes, e.g.: placing information on the scheme in the guide for new employees, providing information on the programmes directly to employees and not through their superiors, organising information meetings in the departments, introducing periodic information on the programme (the most important messages would be automatically displayed upon logging in to the Employee Portal or to the intranet);
2. continuation of development of incentive programmes, including changes to admission criteria, promotion of programme principles among the target group and periodic participant opinion polling. Based on past experience, it is recommended that a system for monitoring programme performance indicators be set up. The rules governing the programmes should be rebuilt taking into account the Rector's awards and the system of periodic assessment of academic teachers;
3. introduction of a system for monitoring the effectiveness of international cooperation in particular disciplines;
4. development of programmes strengthening staff mobility. The existing Staff Mobility Programme should be diversified, taking into account the specific nature of the disciplines, e.g. 1-month study visits should be introduced next to 3-month traineeships. The number of beneficiaries of the programme should be increased, e.g. each evaluated discipline should be granted at least one place in the programme or a proportional distribution should be introduced, based on the number of staff representing a discipline.

On the other hand, in order to ensure proper working conditions, programmes enhancing employee involvement should also be introduced.

1. Internal and external employer branding of US as the ‘first choice’ workplace especially among teaching staff;

2. monitoring research activities and involvement of teaching staff at all levels of university management;
3. implementation of research monitoring tools (e.g. a search engine of research projects, a database of research teams) and modernisation of existing ones (e.g. database of experts from the University of Silesia);
4. implementation of an internal communication strategy/policy regarding research activity of teaching staff (open top-down and bottom-up communication);
5. building a culture of knowledge/information sharing as well as project-based work and networking at the university.

2.4. Training and development

The gap analysis conducted in 2016 confirmed the existence of a significant gap in the area of training and development. Previous practices in personnel policy had focused solely on the fulfilment of the provisions of national laws and regulations. In this respect, the employer's activities were only supportive, limited to facilitating professional development rather than organising training and development opportunities. The career path of academic staff is described in the Act and in the internal regulations of the university. Employees at levels R1–R4 of the European Framework of Research Career can apply for research and development grants (e.g. small grants, grants for young researchers, grants for established researchers) or mobility grants that all provide support in career development.

Access to training and development programmes at the university has not been regulated sufficiently so far. Under the current Act, employees are obliged to improve their qualifications, and the university is obliged to help them achieve that. A survey of staff opinions confirms that there is a gap between EU standards and university practice in this area. The gap analysis has shown that employees are either unaware of the deficiencies or do perceive a lack of strategic planning of staff development.

2018 saw the first activities within the Integrated Programme for the Development of University of Silesia. The project includes modules dedicated to improving staff qualifications and for improving university management. Within the project, workshops were planned and conducted in the first quarter of 2019 on the development of the Competence Model for the University of Silesia (consisting of 12 competencies grouped into 3 areas: organisational competencies – common for all employees, academic competencies and managerial competencies). An audit of the training needs of the staff was then carried out in relation to

the approved model. Based on the results of the audit, open workshops for employees of the University of Silesia will be conducted, which correspond to the diagnosed needs. The workshops are planned for the third quarter of 2019.

In order to facilitate access to training for staff at all stages of R1–R4 development, in 2018 a unit tasked with coordinating all training and development activities was created to life by the employer. The activities of the RDO in the area of development and talent management include:

- identification of training needs and planning of development initiatives,
- designing training and providing logistics support in cooperation with training providers,
- monitoring the effectiveness of development initiatives – assessment of training for organisational needs,
- career guidance – providing career management support to both young workers as well as workers returning to work,
- talent management – development of ‘tailor-made’ development programmes (Personal Project),
- ensuring sustainability – designing career paths, developing procedures and providing support for successors and employees at the end of their careers.

2.5. Have any of the priorities for the short and medium term changed? (max. 500 words)

The actions planned in the Action Plan 2016–2018 included both short-term (A1–A7) and medium-term (A8–A14) objectives. Due to legislative changes (the new ‘Constitution for Science’) the latter had to be changed. Actions A6–A14 are transferred to the new action plan. In accordance with the new nation-wide research and education policy, new initiatives supported by the Ministry of Science and Higher Education have appeared, which define new requirements and set out new development paths for the university. In 2018 it was the project *Strategy of Excellence – Research University* (<https://www.prospectus.us.edu.pl/en/>), and in 2019 the project *Initiative of Excellence – Research University*. The University of Silesia in Katowice joined both of these initiatives.

<http://www.bip.nauka.gov.pl/inicjatywa-doskonalosci-uczelnia-badawcza/komunikat-ministra-nauki-i-szkolnictwa-wyzszego-o-pierwszym-konkursie-w-ramach-programu-inicjatywa-doskonalosci-uczelnia-badawcza.html>

As a result, in the last 10 months it has become a new priority to conduct a comprehensive audit of the personnel function and a SWOT analysis of the HR area for the needs of strategic analysis of the university. Based on the conclusions of the above analyses, recommendations for the new strategy of the university were drawn up. One of the basic components of the strategy will be the area of human resources. As part of the *Excellence Initiative – Research University* project, a HRS4R Initiative is planned to be launched in 2019/2020. It will concentrate on development and improvement of the personnel policy in the wake of organisational changes, supporting the development of strategic research areas and ensuring the increase of international visibility of the university.

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

The process of implementing HRS4R principles at the University of Silesia in Katowice coincided with systemic changes in the area of research and higher education in Poland, which were initiated as a result of the adoption of the so-called ‘Constitution for Science’ on 20 July 2018 (which entered into force on October 1, 2018). The reform, whose objective is to improve the quality of Polish research and higher education, assumes, among others, the creation of the best possible working conditions for academic teachers, full use of their potential and career development. Thus, the Action Plan assumed in the Initial Phase of the process of applying for the HR Excellence in Research Award had to be integrated with the actions taken by university authorities to implement the provisions of the reform. The new national regulations imposed changes in the existing organizational structure as well as in internal documentation such as the Statutes, Workplace Regulations, Organisational Regulations and others. This results in a high level of uncertainty among employees and requires ongoing action to reduce the negative effects of organisational changes. Therefore, the actions planned in 2016 had to, to a large extent, be adapted to the new reality and transferred to the Revised Action Plan.

2.7. Are any strategic decisions under way that may influence the action plan? (max. 500 words)

The university authorities are focused on implementing the reform of research and higher education resulting from the adoption of the so-called ‘Constitution for Science’, which entered into force on October 1, 2018. The adoption of a draft of a new Statutes is underway, as well as introduction of changes in the organisational architecture and development of a new



strategy for the university. These will lay legal and organisational foundations for the operation actions adopted in the Revised Action Plan. The drafts of strategic documents are checked to refer to the principles of the European Charter for Researchers, the Code of Conduct for the Recruitment of Researchers (in particular the principles of conducting recruitment in accordance with the OTM-R standard). The University is also preparing an application to the programme *Initiative of Excellence – Research University*. One of the objectives of this programme is to prepare and implement comprehensive solutions for the professional development of university staff, young researchers in particular. Consequently, the implementation of the Revised Action Plan will be correlated with the progress in reform implementation and with the goal-oriented transformation of the university.

3. Actions

	Proposed actions	The C&C principle	Timing	Responsible unit	Indicator(s) Target	Current status
A1	Formal adoption of existing, widely recognised, codes of ethics (Code of Ethics in Academic Research or the document Good Practice in Academic Research) at the University of Silesia, e.g. by adding them to documents that prospective employees are obliged to get familiar with before they sign their contracts of employment.	ethical principles	December 2017	Department of Human Resources and Social Affairs, Researchers Development Office	https://www.us.edu.pl/kodeksy	completed
A2	Implementation of the regulation on the preparation, realisation and financial settlement of research projects funded or co-funded with resources for the financing of science and with other domestic sources.	professional responsibility	December 2016	Rector, Science Centre, Projects Centre	http://bip.us.edu.pl/zar-zadzenie-nr-1542018	completed



A3	Implementation of the regulations on risk management and monitoring in the process of project realisation and through the entire project duration period.	professional responsibility	December 2017	Rector, Science Centre, Projects Centre	http://bip.us.edu.pl/zarządzenie-nr-1542018	completed
A4	Elaboration of a model scope of responsibilities and duties of an academic teacher – in compliance with the requirement set forth in Art. 130.1. of the Act of 27 July 2005 – Law on Higher Education and adding it, in the form of an annex, to the appointment/the contract of employment.	professional attitude	June 2019	Workplace regulations Development Team, Rector	Workplace Regulations	in progress
A5	Improving researchers' knowledge and awareness of the available sources of funding for foreign stays. Development of a database with a search engine.	value of mobility	December 2017	Department of International Cooperation, Vice-Rector for International and Domestic Cooperation	http://pracownik.us.edu.pl/stefa-naukowca/programy-stypendialne-i-stazowe ; http://projekty.us.edu.pl/oferty-dla-studentow-i-doktorantow	completed



A6	Preparation of a step-by-step brochure on formal terms and conditions governing stays abroad for various groups (e.g. students, doctoral candidates, researchers).	value of mobility	December 2017	Department of International Cooperation, Vice-Rector for International and Domestic Cooperation	www.go.us.edu.pl	completed
A7	Modification of the academic teacher evaluation form and addition of elements that follow from the principles laid down in the European Charter for Researchers.	evaluation/appraisal systems	December 2020	Department of Human Resources and Social Affairs; HR Committee, Rector's Proxy for Human Resources, Researchers Development Office	report on the periodic evaluation of employees	in progress
A8	Improving researchers' knowledge and awareness of the financial and nonfinancial benefits available at the University of Silesia. Refining the University's HR policy with regard to the adjustment of salaries to ensure that they are commensurate with employees' level of qualifications and scope of responsibilities.	funding and salaries	2021	Department of Human Resources and Social Affairs; Rector's Proxy for Human Resources; Rector	http://www.brk.us.edu.pl/content/sprawy-kadrowo-finansowe	in progress



A9	Modification of the University's HR policy to allow for the performance of tasks related with academic advancement.	stability and permanence of employment	2021	Rector's Proxy for Human Resources; Researchers Development Office; Rector	http://www.brk.us.edu.pl/content/zadania-brk	extended
A10	Elaboration of staff professional development policy based on academic advancement: assistant, adjunct, postdoctoral degree, and professor.	access to career advice	2021	Rector's Proxy for Human Resources; Researchers Development Office; Rector	http://www.brk.us.edu.pl/content/zadania-brk	extended
A11	Elaboration of career development paths: research-teaching, research, teaching, organisational - offering managerial/executive positions, supporting organisational talents, developing competency profiles, identifying competency gaps and ways of addressing those (guidance methods, trainings, self-education).	access to career advice	2021	Rector's Proxy for Human Resources; Researchers Development Office; Rector	http://dn.us.edu.pl/dla-mlodych-naukowcow-1	extended
A12	Defining the role of doctoral advisors and their duties and responsibilities with regard to supporting early-stage researchers.	access to career advice	2020	Rector's Proxy for Human Resources; Researchers Development Office; Rector	http://www.brk.us.edu.pl/content/zadania-brk	extended



A13	Modification of the University's HR policy and inclusion of aspects related to the development of academic staff and teaching, and implementation of systemic actions to support such development.	teaching	2021	Rector's Proxy for Human Resources; Researchers Development Office; Rector	http://www.brk.us.edu.pl/content/zadania-brk	extended
A14	Modification of the University's HR policy with respect to provision of feedback on recruitment process results and informing candidates about the strengths and weaknesses of their applications.	transparency	2021	Rector's Proxy for Human Resources; Researchers Development Office, Rector	http://www.brk.us.edu.pl/content/zadania-brk	extended
A15	Promoting and disseminating the principles of codes of ethics adopted at the university	ethical principles	every year	Rector	% of staff who have received training in the principles of the adopted codes of ethics	extended
A16	Creating the office of an ombudsman for academic rights and values	ethical principles	December 2019	US Senate	appointment of the Ombudsman for Academic Rights and Values	new

A17	Improvement of internal communication tools (redesign of the website; intranet)	professional attitude	December 2019	Website Modernisation Team	implementation of internal communication tools	new
A18	Creation of legal and organisational frameworks for the functioning of research teams	professional attitude	June 2020	Directors of Institutes	implementation of regulations concerning research teams	new
A19	Development of new rules of disciplinary liability of researchers	professional responsibility	June 2020	Rector	implementation of regulations concerning disciplinary liability of researchers	new
A20	Encouraging the attitude of social involvement of university staff	public engagement	March 2021	Rector's Proxy for Human Resources; Researchers Development Office	% of employees who participate in social involvement initiatives	new
A21	Development of doctoral school regulations and tutoring/mentoring programs	relationship with supervisors	December 2019	Rector	implementation of regulations concerning the doctoral school and tutoring and mentoring programmes	new



A22	Developing the OTM-R policy for the university	transparency	June 2020	Rector; Rector's Proxy for Human Resources; Researchers Development Office	implementation of the OTM-R policy	in progress
A23	Development and implementation of tools supporting the recruitment of researchers	selection	June 2020	Rector; Rector's Proxy for Human Resources; Researchers Development Office	implementation of tools to support the recruitment of researchers	in progress
A24	Development and implementation of the Candidate Experience analysis tool	transparency	June 2020	Researchers Development Office	implementation of tools to support the recruitment of researchers	new
A25	Development and implementation of a professional adaptation programme for researchers	working conditions	June 2020	Researchers Development Office	NPS tool	new
A26	Development and implementation of a human resources policy for facilitating research excellence	working conditions	2021	Rector; Rector's Proxy for Human Resources; Researchers Development Office	implementation of personnel policy supporting research excellence	in progress



A27	Development and implementation of a system of research staff assessment	evaluation/appraisal systems	December 2020	Rector; Rector's Proxy for Human Resources; Researchers Development Office	report on the periodic assessment of employees	in progress
A28	Development and implementation of remuneration and motivation system for researchers	funding and salaries	2021	Rector	New Remuneration Regulations, and Pro-quality Programs Regulations	in progress
A29	Improvement of the internal communication process	working conditions	2021	Rector's Proxy for Human Resources; Researchers Development Office	Employee satisfaction barometer	new
A30	Development of the university competence model and its integration with HR processes	career development	2020	Rector's Proxy for Human Resources; Researchers Development Office	implementation of the university competence model	new
A31	Analysis of the training needs of university staff	career development	2019	Rector's Proxy for Human Resources; Researchers Development Office	report on the analysis of training needs	new



A32	Implementation of programmes for the development of key competencies in employees, including young researchers	access to career advice / access to research training and continuous development	2021	HR Committee, Rector's Proxy for Human Resources; Researchers Development Office	% of staff trained in total and per programme	new
-----	--	--	------	--	---	-----

OTM-R

Comments on the implementation of the OTM-R principles

The University is in the process of introducing changes resulting from the reform of research and higher education, introduced by the so-called Constitution for Science Act of July, 20 2018. Currently, new Statutes and Workplace Regulations are being developed – both documents include provisions for the recruitment process to be conducted in accordance with OTM-R rules. The Statutes will define the admission criteria for positions corresponding to levels R1–R4 of the European Framework of Research Career and describe the procedures and conditions for organising competitions for academic teaching positions.

The Statutes stipulate the creation of a Committee for Academic Staff to carry out tasks in the field of personnel policy, including in particular recruitment, interim assessment and the development of professional qualifications of academic staff. The Committee shall be composed of designated academics and administration employees with appropriate qualifications, as well as one representative of each trade union operating the university. The Statutes will enter into force in the fourth quarter of 2019.

At the same time, the university is in the process of creating a new development strategy. This strategy will define new personnel policy that should support the improvement of quality in the fields of research and education in effect also increasing the international significance of the university's activities. As part of the project whose primary aim is to build a framework for future university strategy, a Competence Model for the University of Silesia was first developed consisting of 12 competencies grouped into 3 areas: organisational competencies – common for all employees, academic competencies and managerial competencies).

In addition, a complex SWOT analysis of the HR area was conducted for the purpose of evaluating the strategic situation of the university. Its conclusions will be used to prepare a new personnel policy for the university and to standardise HR processes that make up the employee lifecycle at the university (recruitment, selection, professional adaptation, periodic assessment, development, separation from the university). Work on the new strategy for the development of the university will be concluded in the second quarter of 2019.

To summarise the above, current activities at the university focus on creating an optimal legal and organisational framework for a modern human resources policy that should support development of strategic research areas. This will involve redesigning the existing HR process

architecture, taking into account the requirements of national law, European standards and good practices from renowned research centres.

4. Implementation

4.1 General overview of the implementation process (max. 1000 words)

The process of implementation of HRS4R principles at the University of Silesia in Katowice coincided with systemic changes in the area of science and higher education in Poland, which were initiated as a result of the change in the law on higher education and science, in connection with the adoption of the so-called Constitution for Science Act on July, 20 2018. The reform, whose objective is to improve the quality of Polish research and higher education, aims at, among others, creating the best possible working conditions for academic teachers, enabling the full realisation of their potential and attractive career development. Thus, the Action Plan created in the Initial Phase of applying for the HR Excellence in Research Award had to be integrated with the steps taken to implement the provisions of the reform.

In October 2018, the Researchers Development Office was created, whose primary task is to provide administrative support to university authorities in the implementation of HRS4R principles. In the same month the employees of this Office were invited by HR representatives of the University of Ostrava (Czech Republic) to participate in workshops devoted to HRS4R implementation.

In January 2019, the first Candidate Experience survey was conducted among staff employed for the first time since the academic year 2018/2019 (with the Net Promoter Score of 56).

In March 2019, a standardised university profile was created on the EURAXESS JOBS portal and a competence model for university employees was developed. The latter has become the basis for the diagnosis of competence gaps and designing a competence development plan for the period 2019–2023.

In March and April 2019, an audit and a SWOT analysis of the HR area were conducted for the purpose of developing a new strategy for the university. The third quarter of 2019 will see the completion of works related to the implementation of the new Statutes and Workplace Regulations at the university, both of which point to the requirement to apply the OTM-R principles.

In May 2019 representatives of RDO and of the Research Centre made a study visit to the University in Jyväskylä (Finland). The aim of this visit was to observe good practices in the fields of HRS4R implementation and HR management that is directed at systematic growth in research excellence. Cooperation with the centre in the field of HR has been initiated. At the same time, contact was established with units responsible for the implementation of HRS4R at the University of Turku (Finland) and at the University of Edinburgh (UK).

In summary, a balanced human resources policy supporting research activities of the university has become a foundation for building a modern and systemic approach to the management of the university's HR potential. Currently, the university is in the process of creating a legal and organizational framework for the implementation of a new HR architecture and standards regulating the employee lifecycle at the university, i.e.: recruitment, selection, professional adaptation, periodic assessment, motivation and development, as well as satisfactory separation from the university.

4.2. How have you prepared the internal review? (max. 500 words)

In order to verify the assumptions of the action plan 2016–2018, a number of studies have been carried out, including (1) analysis of internal documents, (2) analysis of SAP data, (3) SWOT analysis of the university in the fields of research, education, employment of researchers, cooperation, visibility and management, (4) employee satisfaction and opinion surveys, (5) development centre, (6) focus groups, (7) workshops. 14 actions were planned for 2016–2018, 8 of which have been implemented or transferred to the Revised Action Plan. As a result of the conducted analyses, areas in need of for further development as regards HRS4R principles were identified. At the same time, a current analysis of strengths and weaknesses compared to the 2016 gap analysis revealed there has been little progress in the implementation of some actions, and a gap between the provisions of C&C and university practices. It was discovered that most of the activities planned at the stage of applying for the HR Excellence in Research Award require modification in order to adapt the university to the new legal reality, and the activities must be continued and strengthened. This has been taken into account in the Revised Action Plan in four key HRS4R areas.

4.3. How have you involved the research community, your main stakeholders, in the implementation process? (max. 500 words)

The university authorities and representatives of the university community (researchers at different career stages R1-R2, administration employees, trade union representatives etc.) were involved in the activities carried out so far by participating in: (1) the work of interdisciplinary teams preparing draft documents defining the basic framework for HR policy, i.e., e.g. Statutes, Workplace Regulations, (2) work of teams conducting audits and analyses (including the SWOT analysis) of human resources for the purposes of developing the new strategy, (3) surveys, focus groups, structured interviews, whose aim was to identify the strengths and weaknesses of the existing human resources policy of the university, (4) workshops aimed at developing a competence model for the employees of the university and (5) the Development Centre, whose aim was to identify the competence gap and prepare a plan for the development of professional competences of the university staff.

4.4. Do you have an implementation committee and/or steering group regularly overseeing progress? (max. 500 words)

On February 28, 2017, the Rector appointed the Implementation Effects Monitoring Team, which consisted of: the Rector's Proxy for Human Resources, the Vice-Rector for Research, the Vice-Rector for Finance and Development, the acting Vice-Chancellor for Development and Cooperation with Economy, the Director for Human Resources. Representatives of the following centres and offices were also involved in the implementation and monitoring work: Projects Centre, Research Centre, International Cooperation Office, Business Cooperation Office as well as representatives of academic staff.

Since December 2018, by the decision of the Vice-Rector for Research, work related to monitoring the implementation of the Action Plan have been transferred to the Researchers Development Office, which was established in October 2018.

4.5. 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? (max. 500 words)

The University is in the process of introducing changes to its internal regulations. References to HRS4R have been included in the drafts of the new Statutes and Workplace Regulations. The draft of the new Organisational Regulations has been amended to include provisions

concerning the tasks of the Researchers Development Office, established in the fourth quarter of 2018. These tasks include among others the following aspects of HRS4R (1) coordinating activities leading to implementation of HRS4R, (2) acting as HRS4R administrator for the university, (3) monitoring the level of compliance with HRS4R standards, (4) integrating general activities to maintain the HR Excellence in Research Award. The recommendation concerning the integration of HRS4R principles into the new HR policy was also presented in the report following the SWOT analysis for the HR area.

4.6. How is your organisation ensuring that the proposed actions are also being implemented? (max. 500 words)

The implementation of the Revised Action Plan is guaranteed by the creation of the appropriate legal and organisational framework. The US community has accepted the draft of the new Statutes as regards the parts presenting HRS4R principles. Similarly, work on new Workplace Regulations and the strategy for the development of the university seem to be progressing well. Additionally, the implementation will be secured by the creation of Committee for Academic Staff and a dedicated central administration unit, whose primary task will be to coordinate activities related to the implementation of HRS4R at the university.

4.7 How are you monitoring progress? (max. 500 words)

The activities adopted in the Initial Phase were accounted for annually in the summary reports prepared by the Leader of the Implementation Effects Monitoring Team. Additionally, in connection with structural changes resulting from the reform of higher education and science in Poland, in the second quarter of 2019 the previous implementation measures were subject to audit and a SWOT analysis. On their basis strengths and weaknesses of the current implementation practices were identified and recommendations for inclusion in the new strategy were drawn up. The opinions of academic teachers on the principles of the Charter and Code were also examined and compared with the results of a survey conducted for the purposes of the HR Excellence in Research process.

4.8 How are you going to measure progress in the next evaluation? (max. 500 words)

The implementation of the activities as suggested in the Revised Action Plan will be monitored on the basis of the implementation schedule approved by the university authorities and progress will be measured with HR indicators adopted in the new personnel policy and in

the Revised Action Plan adopted for the next 3 years. A dedicated central administration unit will monitor the level of compliance with HR Excellence in Research Standards and will report on the progress to the Committee for Academic Staff. The reporting cycle presumed for this task is at least annual.

4.9. How do you expect to prepare for the external review? (max. 500 words)

The preparation plan for the external review will include: (1) drawing up a report on the execution of the Revised Action Plan for HRS4R implementation in years 2019–2022, (2) collection of source materials on HR processes (e.g. process maps, process standards, HR indicators, etc.), (3) preparation of a scenario for workshops summarising the results of the implementation process, in which European reviewers together with representatives of the university authorities and selected community members will participate (including e.g. researchers at various stages of career development – both Polish and foreign, managerial staff responsible for the development in the research area, representatives of administration performing support functions for the development of research, representatives of trade unions, etc.). A diverse group of participants will enable a broader outlook on the HRS4R implementation process taking into account such factors as gender, age, seniority, nationality (Polish/foreign), etc.

5. Annexes

OTM-R checklist