

Process Description

Case numer: 2021PL665028

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

Organisation's contact details: Al. Raławickie 14, Lublin, 20-950, Poland

Date endorsement charter and code: 31/07/2021

Process

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4 , as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

| Name | Position | Steering Committee | Working Group | Management line/ Department |
|--|--|--------------------|---------------|--|
| S. Dr. Habil. Beata Zarzycka, Prof. KUL | Head of SC, Chair of WG2 | yes | yes | Vice-rector for Science and Human Resources |
| Dr. Habil. Ewa Trzaskowska, Prof. KUL | member of SC, Chair of WG1 | yes | yes | Vice-rector for Education |
| Rev. Prof. Dr. Habil. Miroslaw Sitarz | member of SC, Chair of WG3 | yes | yes | Vice-rector for Missions and Administration |
| Dr. Habil. Beata Piskorska, Prof. KUL | member of SC, Chair of WG4 | yes | yes | Vice-rector for Students, Doctoral Students and Development |
| Rev. Prof. Dr. Habil. Marcin Skłodanowski | member of WG1-WG4, member of SC, R4 | yes | yes | Head of Department of Strategy and University Development, Doctoral School KUL |
| Urszula Czyżewska, PhD | secretary of SC, member of WG1-WG4 | yes | yes | Department of Research Projects |
| Anna Hałas, MA | member of WG1 | no | yes | Head of Department of Education |
| Dr. Habil. Paweł Fajgielski | member of WG1, R3 | no | yes | Faculty of Law, Canon Law and Administration |
| Dr. Habil. Konrad Kubiński, Prof. KUL | member of WG1, R3 | no | yes | Faculty of Natural Sciences and Health |

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|--|------------------------|----|-----|--|
| Elżbieta Nawrocka, MA | member of WG1 | no | yes | administrative staff of Faculty of Law, Canon Law and Administration |
| Magdalena Brzezińska, MA | member of WG1, WG3-WG4 | no | yes | Head of Personnel Affairs Department |
| Małgorzata Panas, MA | member of WG1, WG4 | no | yes | Organisational and Legal Department |
| dr hab. Justyna Szulich-Kałuża, prof. KUL | member of WG2, R3 | no | yes | Faculty of Social Sciences |
| Dr. Habil. Anna Nakonieczna-Szafranek, Prof. KUL | member of WG2, R3 | no | yes | Faculty of Natural Sciences and Health |
| Damian Liszka, MA | member of WG2 | no | yes | Head of Department of Academic Performance Evaluation |
| Agnieszka Pajdowska, MSc, Eng | member of WG2 | no | yes | administrative staff of Faculty of Social Sciences |
| Agnieszka Hunicz, MA | member of WG2 | no | yes | Personnel Affairs Department |
| Katarzyna Misiewicz-Osemek, MA | member of WG2-WG3 | no | yes | Head of Organisational and Legal Department |
| Rev. Dr. Habil. Paweł Kaleta, Prof. KUL | member of WG3, R3 | no | yes | Faculty of Law, Canon Law and Administration |
| Rev. Dr. Paweł Lewandowski | member of WG3, R2 | no | yes | Faculty of Law, Canon Law and Administration |
| Agnieszka Dębska, MA | member of WG3 | no | yes | administrative staff of Faculty of Theology |
| Dr. Habil. Paweł Nowik, Prof. KUL | member of WG4, R3 | no | yes | Faculty of Law, Canon Law and Administration |
| Małgorzata Torój, PhD | member of WG4, R2 | no | yes | Faculty of Social Sciences |
| Barbara Wawryca, MA | member of WG4 | no | yes | administrative staff of Faculty of Philosophy |
| Nina Klekot, MA | member of WG1-WG4, R1 | no | yes | Faculty of Humanities |
| Patrycja Wośko, MA | member of WG1-WG4, R1 | no | yes | Faculty of Social Sciences |
| Anna Kruczyńska, MSc | member of WG1-WG4, R1 | no | yes | Faculty of Medicine |
| Milena Kloczkowska, MA | member of WG1-WG4, R1 | no | yes | Faculty of Law, Canon Law and Administration |
| Paweł Adamiec MSc, Eng. | member of WG1-WG4, R1 | no | yes | Faculty of Natural and Technical Sciences |
| Piotr Kociuba, MSc | member of WG1-WG4, R1 | no | yes | Faculty of Natural and Technical Sciences |
| Artur Truszkowski, MA | member of WG1-WG4, R1 | no | yes | Faculty of Humanities |
| Agnieszka Kuźniar, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Medicine |
| Aleksandra Krauze-Kołodziej, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Humanities |
| Katarzyna Kołakowska, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Humanities |

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|--|-----------------------|----|-----|--|
| Dariusz Zapała, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Social Sciences |
| Alina Betlej, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Social Sciences |
| Agnieszka Marek, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Social Sciences |
| Dr Habil. Muriel Waterlot | member of WG1-WG4, R3 | no | yes | Faculty of Humanities |
| Dr. Habil. Aliksandr Chychuryń, Prof. KUL | member of WG1-WG4, R3 | no | yes | Faculty of Natural and Technical Sciences |
| Dr. Habil. Eng. Andrea Baier, Prof. KUL | member of WG1-WG4, R3 | no | yes | Faculty of Medicine |
| Dr. Habil. Viktoria Durkalevych, Prof. KUL | member of WG1-WG4, R3 | no | yes | Faculty of Humanities |
| Antonina Gavryshkiv, MA | member of WG1-WG4, R1 | no | yes | Faculty of Social Sciences |
| Iryna Kozak-Balaniuk, PhD | member of WG1-WG4, R2 | no | yes | Faculty of Law, Canon Law and Administration |

Note: You may add new management departments if needed.

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

Provide information on how the researchers groups were involved in the GAP-analysis:

| Stakeholder group | Consultation format | Contributions |
|--|---|---|
| research and teaching staff members, researchers, administration staff representatives | on site and online meetings (MS Teams) of WG1-WG4 | series of meetings (a total of 18 meetings) concerning the analysis of internal and national guidelines (acts, regulations, resolutions, orders, etc.) governing and affecting the degree of implementation of principles set out in the Charter & Code (desk research) and an attempt to assess the degree of implementation took place between February and May 2022 |
| research and teaching staff members, technical and research staff members, researchers and doctoral students at the KUL Doctoral School (i.e. researchers ranging from R1 to R4) | an online questionnaire completed by respondents (CAWI - Computer-Assisted Web Interview) prepared by the KUL Centre for Social and Economic Analyses | the survey was conducted between March and May 2022: preparation of research tools / survey organisation: March 2022; the administration of the survey: March-April 2022; preparation of a survey report: May 2022; 820 persons were employed in the aforementioned positions in the reference period, which means that 40% of staff members conducting research activities took part in the survey (N=327) |
| research and teaching staff members, researchers, administration staff representatives | on site meetings | series of meetings (a total of 5) of Steering Committee members and representatives of the Working Groups concerning the evaluation panel's comments on the submitted GAP-analysis and |

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| | | other documents as well as the degree of implementation of the Charter & Code principles in KUL in a survey; series of meetings resulted in an update of GAP-analysis. The meetings took place between March 2023 and January 2024 |
| research and research-teaching staff members (ranging from R1 to R4), including Polish and foreign researchers | on site and online meetings (MS Teams) of WG1-WG4 in a form of FGIs (FGIs - Focus Group Interviews) | series of meetings (a total of 5) concerning a continuation of the analysis of the principles of the Charter & Code (a focus group interview type study) and discussions on the assessment of their degree of implementation at KUL in the survey; series of meetings resulted in the development of an updated and final version of GAP-analysis. The meetings took place between December 2023 and January 2024 |

Note: You may add new stakeholder groups if needed.

Please describe how the Committee overseeing the process was appointed and how it worked (meetings, decisions, etc.):

Under the order of the Vice-Rector for Science and Human Resources No. ROP-0102-11/21 dated 17 December 2021 a Coordination and Management Team for HR Excellence in Research was appointed and its rules of procedure were specified. The Team's responsibilities included: 1) preparation and submission to the Rector for approval of complete documentation required to apply for the HR Excellence in Research award, including, i.e., the developed strategy and internal procedures consistent with the recommendations laid down in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, 2) submission of the developed HR strategy to the Rector, to be further implemented at the University, 3) submission to the Rector of the developed Action Plan aimed at implementing the principles set out in the HR strategy, 4) submission of annual reports on the monitoring of the implementation of principles included in the strategy and the Action Plan. The meeting to inaugurate the Team's operations was held on 28 January 2022. Under the Team's decisions, four Working Groups (WGs) were appointed to perform the above tasks: 1) WG1 dealing with ethical and profession-based aspects, 2) WG2 dealing with researcher recruitment procedures, 3) WG3 dealing with the definition of working conditions and social security, 4) WG4 dealing with training and career development procedures. The tasks of individual work groups included: 1) examining the current degree of the University's compliance with the principles and guidelines set out in the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers; 2) developing proposals for changes, improvements or new regulations covering the subject-matter of individual groups, in line with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers; 3) holding consultations with internal and external stakeholders to evaluate the developed solutions; 4) submitting draft documents and regulations to the Team. With a view to ensuring the efficient performance of the tasks entrusted to WGs, each group appointed a chair and a secretary from among its members. In order to facilitate the performance of the tasks specified for each WG, a possibility was provided to appoint external experts according to the needs defined by the chairs of the groups. A schedule of work groups was also prepared. A separate e-mail address (research@kul.pl) was created to allow seamless communication and exchange of correspondence. The works of individual WGs were conducted according to the set schedule of meetings, held both online via the MS Teams platform and on site (WG1: 16.02.2022, 15.03.2022, 29.03.2022, 31.05.2022); WG2: 24.02.2022, 10.03.2022, 24.03.2022, 08.04.2022, 29.04.2022, 26.05.2022; WG3: 18.02.2022, 13.04.2022, 01.06.2022; WG4: 17.02.2022, 05.04.2022, 18.05.2022, 06.06.2022). All Meetings of the Team and WGs were recorded by way of minutes. Any documentation related to applying for the EC award (Declaration of Endorsement of and Commitment to the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, covering letters, research tool model, and others) and the results of works performed by individual WG have been filed at the Research Projects Department. The results of works performed by individual WGs and other documents required to apply for the HR Excellence in Research award were presented at the meeting of the Coordination and Management Team on 22 June 2022. Under the Team's decision, the results of works were approved and referred to further procedures, i.e. the final decision to be issued by the KUL Rector.

After receiving the result of the evaluation assessment of the submitted documentation to the European Commission, a series of meetings were organised between representatives of the Steering Committee, representatives of the individual Working Groups (I-IV) together with the appointed new members (R1-R4, including a group of foreign research and research-teaching staff from Ukraine, Belarus, Germany, Belgium) to discuss 1) the comments of the evaluation

panel on the submitted GAP-analysis and other documents, 2) the assessment of the degree of implementation of the principles of the Charter & Code at KUL in the survey; and 3) to develop an updated and final version of the GAP-analysis and other documents (e.g. update of Action Plan). As in the previous reporting period, the work of the described above teams proceeded according to the agreed schedule of meetings both online via the MSTeams platform and in the form of on-site meetings (Working Groups I-IV: 11.12.2023, 14.12.2023 (2 meetings), 18.12.2023, 5.01.2024; representatives of the Steering Committee, representatives of Working Groups I-IV: 21.03.2023, 13.04.2023, 1.12.2023, 11.12.2023, 19.01.2024). Again, the results of the work in the form of updated documents necessary to apply for the HR Excellence in Research award were presented at the meeting of the Coordination and Management Team on 19.01.2024. By the decision of the Team, the presented results of the work were approved and referred to further procedures, i.e. the final decision to be issued by the KUL Rector.

Please describe how the Working Group doing the Gap Analysis was appointed:

Work groups (WGs) were established under the order of the Vice-Rector for Science and Human Resources No. ROP-0102-11/21 dated 17 December 2021, and as a result of a decision made by the Coordination and Management Team for HR Excellence in Research on the Chairs of the groups. Given the categories of the principles set out in the Charter and the Code, four Working Groups (WGs) were established: 1) WG1 dealing with ethical and profession-based aspects, 2) WG2 dealing with researcher recruitment procedures, 3) WG3 dealing with the definition of working conditions and social security, 4) WG4 dealing with training and career development procedures. Each WG was composed of the Chair of the group, invited members of WGs representing research and administration staff of the University, and a secretary. Works on the Gap Analysis proceeded along two lines: 1) a desk research into internal and national guidelines (acts, regulations, resolutions, orders, etc.) governing and affecting the degree of implementation of the Charter and the Code, and 2) an anonymous survey with a questionnaire completed independently by researchers (CAWI) who have qualifications characteristic of the defined R1-R4 categories.

During the WG meetings an attempt was made to define the degree of implementation of principles set out in the Charter and the Code on the basis of internal and national legal regulations and the practices adopted by the University. At the same time, the chairs and members of all WGs received the schedule of works on the survey and a draft questionnaire for verification purposes. The objective of the survey was to assess whether the provisions of the Charter and the Code and the practices in place at the University are consistent, on the basis of the opinions expressed by research staff members. The sample group included N=334 respondents. The respondents were recruited: 1) via office e-mail addresses where an invitation to take part in the survey was sent three times with a link to the questionnaire (24.03.2022, 14.04.2022, 28.04.2022), and via the e-KUL platform where an announcement about the survey was published (24.03.2022, 14.04.2022) Moreover, the Chair of the Coordination and Management Team for HR Excellence in Research, S. Dr. Habil. B. Zarzycka, Prof. KUL, sent a letter to Directors of KUL Institutes with a request to remind the academic staff about the ongoing survey. Such communication was also made at the formal meetings of the University Committee for Science.

Based on the provided answers, a survey report was prepared by the KUL Centre for Social and Economic Analyses (available at: <https://www.kul.pl/hr-excellence-in-research,210279.html>). Having read the survey report, the members of the WGs again analysed the degree of implementation of principles set out in the Charter and the Code, and prepared the final version of the Gap-Analysis and the Action Plan at the last meetings.

After receiving the results of the evaluation assessment of the submitted documentation to the European Commission, the formulation of the work on the GAP-Analysis was extended to include a qualitative research component: focus group interviews with members of Working Groups I-IV, i.e. representatives of groups R1-R4, including foreign research and research-teaching staff. Specifically, representatives of group R1 (8 researchers out of a total of 46 employed at KUL = 17%) and representatives of groups R1-R4 who are foreign employees of the University (6 researchers out of a total of 38 employed at KUL = 16%) were invited to participate in the work. Based on the results of the work of the members of the Working Groups, the representatives of the groups together with representatives of the Steering Committee, analysed and drafted the updated, final version of the Gap-Analysis and the Action Plan.