EURAXESS

Internal Review

Case number

2019PL376145

Name Organisation under review

SWPS University of Social Sciences and Humanities

Organisation's contact details

Chodakowska, 19/31, Warszawa, Warszawa, 03-815, Poland

Submission date to the European Commission

02/04/2019

1. Organisational Information

*Please provide an update of the key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	672
Of whom are international (i.e. foreign nationality) *	11
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	35
Of whom are women *	416
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	130
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	155
Of whom are stage R1 = in most organisations corresponding with doctoral level *	324

STAFF & STUDENTS	FTE
Total number of students (if relevant) *	13570
Total number of staff (including management, administrative, teaching and research staff) *	1752

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	6957139,53
Annual organisational direct government funding (designated for research)	496581,40
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	1564465,12
Annual funding from private, non-government sources, designated for research	9413,60

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

The SWPS Uniwersytet Humanistycznospołeczny is the first non-public university in Poland. In 2017, a strategy for the years 2017-2022 was adopted. The mission of our university is accomplished in four areas that we develop in a balanced manner in order to combine research with education, to actively participate in social changes, and to have real influence of the quality of life. In interdisciplinary teams, we perform important research projects whose results are applied in various areas of the economy and of social life. We systematically extend modern infrastructure in order to provide scientists and students good conditions for development. We establish research and innovation centers working with scientific, economic, and social partners in Poland and abroad. We present a modern approach to education by developing practical skills using the latest knowledge. At the university, there are several dozen research teams that perform advanced projects on an international scale. New workrooms and laboratories are created to enable scientists to conduct research on the highest level. In order to help our students gain knowledge and experience in a multicultural environment, we perform a number of measures intended to internationalize our organization.

2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Note: Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

Ethical and professional aspects* ⌄

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

In 2016 during initial phase the areas in the following categories turned out to be the challenges for the University: Funding and remuneration (3,47), Development of the professional career (3,46), Access to the professional career advice (3,06), Teaching (3,44), Complaints/Appeals (3,37) and Scientific supervision (3,47).

An analysis of the answers that were provided demonstrated that in both studies the majority of the scores were high. In 2016, the average score was 3.37 and in June 2018, it was 3.97, which indicates an increase by **17.8% in 2018.**

In order to improve compliance with rules, recognized practices, and fundamental ethical principles, we have implemented a number of regulations. The University's community has developed a procedure for management of conflicts of interests and obligations. As a part of the procedure, an Ombudsman for Conflict of Interests was appointed; his or her role is to support the staff in solving such conflicts. In January 2018, elections were held for the University Staff Council. The tasks of the Council include, in particular, representation of the interests and needs of the employees, participation in consultations concerning important procedures and documents, presentation of proposals concerning improvement of the work conditions and development of employees. The members of the Council are members of the research and teaching staff from every Faculty. In accordance with applicable law, there are also ethical committees at the University who handle issues related to the staff and the students, as well as ethical committees that accept research projects to be conducted by our staff.

All criteria related to ethical and professional aspect are rated very high. Ethical principles: 4,39 in 2016 and 4,49 in 2018, Principle of non- discrimination: 4,33 in 2016 and 4,47 in 2018, Freedom of scientific research 4,31 in 2016 and 4,46 in 2018, Professional responisbility 4,30 in 2016 and 4,23 in 2018, Professional approach: 4,13 in 216 and 4,26 in 2018, Popularization and use of results 4.00 in 2016 and 3.92 in 2018, Principles of good practice in scientific research 3,90 in 2016 and 4,24 in 2018. Principles of good practice in scientific research 3,90 in 2016 and 4,24 in 2018.

We are aware of the fact that we must increase our awareness of which practices are implemented in our campuses. Some respondents' comments suggest that sometimes University practices differ from those that are implemented on campuses that have quite a lot of autonomy.

Some researchers still feel, they do not have enough support from more experienced colleagues. We want to strenghten internal communication regarding compliance and ethical principles. We also want to involve scientists more closely in the process of co-creating solutions in the field of academic evaluation and appraisal system. We plan to conduct an engagement study in which we will ask questions allowing for a more detailed diagnosis of the situation on individual campuses.

Remarks (max 500 words)

Recruitment and selection* ⌄

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

General principles and requirements of the Code of Conduct for recrutment were scored - 3,67 in 2016 and 3,92 in 2018.

The results of the 2018 survey have shown that the perception of activities implemented in 2017 - 2018 is good.

The OTM-R procedures are gradually implemented in the recruitment procedures.

The solutions that were implemented in the period of 2016-2018 include:

1. Contest notices published on platforms that enable application by candidates from outside of the University.

2. Making sure to provide attractive terms of employment.

3. Members of contest committees verify the incoming applications and make sure that the participating candidates meet the highest merit-based criteria.

4. Contest notices are published on Euraxess web pages in accordance with the template and the requirements.

5. Contest notices are published on the web pages of the National Science Center and of the Ministry of Science and Higher Education.

6. Rules of contests for academic posts clearly specify the criteria for selection of candidates and the selection procedure.

7. Rules of contests for academic posts contain guidelines concerning the composition of contest committees.

8. Rules of contests are published online together with notices of recruitment contests posted on the University's website.

9. Works are ongoing to update the recruitment procedure, which also goes in line with the OTM-R guidelines.

10. Personal data protection complies with the amended provisions of the GDPR.

We still need to work to ensure that recruitments for academic positions are carried out in accordance with the procedures implemented.

For some employees, it is still challenging to abandon old habits and conduct recruitment in accordance with the OTMR guidelines.

For this we envisage numerous trainings and individual consultancy for researchers and recruiters. The Director of the Human Capital together with his team is responsible for that.

The new recruitment procedure will be implemented by the 1st quarter of 2019, in addition to maintaining the solutions that have been implemented, includes:

1. Use of the eRecruiter system to manage applications.

2. Ensuring equality of genders in the composition of contest committees.

3. Introducing standard formats of recruitment applications to enable easy publication of contest notices.

4. Introduction of a Candidate Card to enable objective evaluation of candidates.

5. Reduction of the quantity of documents that the applying candidates are required to submit.

6. A description of the agenda of meetings of the contest committees.

7. Informing all candidates who have submitted their applications about the end of the recruitment.

8. Introduction of the requirement to inform all persons participating in a contest about the result of the contest, with a brief substantiation of the decision made by the recruitment committee.

9. Implementation of an appeal procedure.

10. Assignment of a dedicated employee of the HR department to monitor compliance with the OTM-R guidelines at each stage of the recruitment process (process control system).

11. Creation of contest regulations for each of the four types of academic positions listed in the OTM-R documents.

12. Presentation of the recruitment procedure to representatives of the University who are involved in selection of academic staff.

13. Training on the recruitment procedure conducted by employees of the HR department assigned to supervise the contests.

14. Brief training for members of each contest committee on the recruitment standards.

Moreover, the changes in the system of remuneration of academic workers comply with the EU directives that pertain to increasing of attractiveness of their remuneration.

In 2019 we are going to publicate the OTM-R guidelines applied by the University on a website. We will create of an internal evaluation system that will make it possible to determine whether the OTM-R policy achieves its objectives and how the provisions specified in the new procedure are implemented. W should implement some good practices eg: The commissions should always writes the report with detailed explanation of all steps of the selection procedure and explains the reasons of the choice.

Remarks (max 500 words)

The SWPS University, acting with the aim to improve the standards of recruitment of its research and teaching staff, makes efforts to support quality-promoting activities. These include: employment in 2017 of a Director for Human Capital Management, whose role is to implement the measures stipulated in the strategy, related to development of employees, creation of optimum work conditions, and implementation of the European Charter for Researchers.

In 2018, an experienced expert was hired in the position of a recruitment specialist; once the needs related to support in the area of recruitment for academic positions were determined, he updated the recruitment procedures and rules. They are implemented in successive months of the academic year. The recruitment process was described; it includes different modes of selection and detailed rules that are in force at every stage of the process. Internal procedures are supplemented with provisions of the procedure titled "Open transparent merit-based recruitment" (OTM-R). Plans are made to conduct training on standards of interviews and contest procedures. The recruitment specialist or the Director for Human Capital Management will attend the meetings of the recruitment committees. The HR team ensures compliance with standards and provides support to the recruitment committees. It collects applications, conducts preliminary evaluation and selection, and provides essential support in the decision-making process concerning the selection of the candidates.

Working conditions* ⌄

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

From the beginning of the implementation process, we have been working on various aspects related to working conditions and the undertaken actions at the following principles: Research environment, Working conditions, Funding and salaries, Career Development.

As the improvement of the financial conditions of the employees of the SWPS University to a large extent results from their scientific promotion (a PhD, habilitation, professorship), the actions supporting the scientific promotion of a young staff were strengthened.

The 2016 HR Excellence Strategy included a plan to develop and implement a generally accessible information handbook with detailed information on the guaranteed financial and non-financial benefits available to the University's staff. In the University's Intranet, which is accessible to all employees, information was published on the benefits available to the employees, such as:

- instruction concerning rates and rules for determination of remuneration for overtime;
- rules concerning bonuses paid to researchers for highly scored publications;
- information about use of up to 30% of indirect costs for principal investigators;
- regulations concerning performance of research projects (Office for Scientific Research);
- employee benefits (healthcare, insurance, sport activities, culture, education).

The Rector's instruction concerning the payment rules and the rates payable for overtime in different job categories was implemented. The most active researchers receive bonuses for publications. A regulation concerning performance of research projects and rates applicable on those projects was developed. In accordance with the recommendations of the National Science Center, a part of revenues related to indirect costs of performance of research projects is used by the University to finance activities indicated by principal investigators.

In order to improve the work conditions and the wages, a decision was made to start a project whose objective is to describe and evaluate different jobs, with a new remuneration system as its final product. The project was started in October 2017. It was performed with the support of the international consulting company Korn Ferry Hay Group. Academic workers were involved at each stage of the project, starting from focus groups through description of jobs, to evaluation of jobs. Working group - including Deans, Deputy Rectors, and the Rector prepared detailed job descriptions for two paths: the research and teaching path and the teaching path. The team jointly specified the expectations applicable to Instructors, Assistants, Lecturers, Professors, and University Professors. During the next stage of the project, the jobs were evaluated in accordance with the KFHG methodology, which had been used to evaluate academic jobs at several Western universities. We gained knowledge about the remuneration practices used in universities outside of Poland. Assumptions were developed for the remuneration model, which assumed possibility of financial promotion, depending on, among other things, scientific and teaching achievements. Those assumptions put emphasis on criteria that are independent on gender or other potentially discriminatory factors, while strictly applying the principle of equal opportunity. Works continue on the definition of a new structure, resulting both from the requirements imposed by the new Act on higher education and science, and from the needs of the University. A task force consisting of persons in management positions in the academic area and of the Director for Human Capital Management, is working on a list and descriptions of requirements applicable to the functions that will be needed at the University after the management structure is changed (October 2019). Consultations are held with the participation of the University Staff Council and Faculty Staff concerning the planned changes. '

Criteria will be specified for promotion to different pay grades, which will make it possible to play career paths.

The plan is to implement the changes related to the new system in the 1st and 2nd quarter of 2019. All academic workers will be able to participate in training intended to clarify the assumptions of the model and of the system. Our goal is to implement solutions that will be transparent, generally accessible, comprehensible, and motivating for the most active staff who will demonstrate attitudes that comply with academic value.

Researchers who obtain grants for the University and who perform them at the SWPS University have guaranteed support of the Office for Scientific Research.

In January 2017, new rules and regulations were implemented that apply to performance of research projects. Regulations were prepared for additional remuneration on research projects, as well as a procedure for control of indirect/overhead costs related to performance of research projects. The procedure facilitates research as it provides researchers with additional funds and gives them more freedom in spending of those funds.

In order to improve the work conditions, the authorities of the University decided to introduce an Employee Pension Program. It is undergoing registration with the Polish Financial Supervision Authority. The main advantages of this program are that our employees will be able to save additional money for their retirement and that their employer is able to pay pension contributions. We are planning to start the program in early 2019. We want also to implement an anti-mobbing procedure to give people a sense of security and protection.

Remarks (max 500 words)

Training and development* ⌄

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

Our community highly appreciated the various aspects and possibilities of training and development.

In the HR team, a Training Specialist job was created. The Deputy Rector for Teaching, together with a team of internal expert team from the area of science and teaching, developed a plan for a project of development of teaching skills, to be performed as a part of the Integrated University Development Program (Operational Programme Knowledge Education, Development - POWER).

The project will continue until 2022. The University supports professional development of research and teaching staff by providing them with training that develops teaching skills and by financing participation in scientific conferences. In the last academic year, 30 teaching workers participated in the Erasmus program, including 18 in EU countries and 12 in partner countries.

In the framework of the development programs, research and teaching staff can take advantage of a broad development offer, starting with annual editions of the Teaching Competence Weeks, through internships abroad, learning from foreign experts as a part of Masterclasses training, and individual methodical consultations, to training improving class teaching and communication in the English language.

Our researchers have access to the Office for Scientific Research, which supports then in obtaining funding, performing, accounting for, and reporting on research projects financed from both public and private funds. As a part of their duties, employees of the Office conduct individual consultations with principal researchers and support them in formal and financial matters related to performance of projects. Also, regular training sessions and presentations are conducted for doctoral students of the SWPS University on the rules for acquiring and accounting for funds designated for research projects. Whenever necessary, such training is also conducted for academic workers.

Unfortunately, we are aware that even if there are internal regulations in place, the relation between a employee and a supervisor is influenced by their personalities and may look differently in different teams. The 2017 survey (open comments area) revealed that there is a need to provide soft-skills training for team leaders, deans, heads of departments and supervisors in the field of HR management and mentoring. This will allow them better and more effectively play their roles as managers, leaders, supervisors. We will support them and encourage them to participate in group coaching and other development offers.

Remarks (max 500 words)

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

The University's actions related to HR in the years 2018-2021 should focus on:

- implementation of new recruitment procedures and best recruitment practices and, as a consequence, on hiring the best candidates;
- implementation of solutions aimed to increase the attractiveness of employment at the University; implementation of career paths, possibility of financial promotion, improvement of the bonus and remuneration system, ensuring professional development opportunities;
- promoting involvement and supporting researchers and teachers in development of their competences;
- systematic monitoring and analysis of effectiveness of the actions taken.

Main tasks to be performed in the years 2018-2021

- implementation of new recruitment procedures;
- implementation of a new remuneration system and career paths;
- continuation of training conducted by the Office for Scientific Research and the Knowledge Transfer Office;
- performance of training and other development activities as a part of the Integrated University Development Program - Project 5 - Development of teaching competencies;
- preparation of modifications and implementation of a system for evaluation of research and teaching staff.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? (max 500 words)

One of the most important circumstances that accelerated implementation some of the planned actions were new legal regulations in Poland.

We had to intensify various actions in order to prepare new salary regulations before October 1st, 2019. Due to numerous activities related to the need to adapt the university to the new legal regulations, we have not implemented all the activities that we had planned in the HR strategy. We plan to intensify activities and continue the plans set out in the strategy.

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

Such decisions are not planned.

3. Actions

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS

Action 1

Development and implementation of a generally accessible information handbook with detailed information on the guaranteed financial and non-financial benefits available to the University's staff.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
24. Working conditions 26. Funding and salaries	2018/2Q	Deputy Rector for Science Human Resources Director	Accessible information handbook with detailed information on the financial and non financial benefits - published on intranet.

Current Status	Remarks
COMPLETED	The SWPS University, taking into consideration the increase in the awareness of the scientific staff as regards finances and employment policy, takes steps supporting communication in this area. For this purpose a widely available handbook was prepared and implemented, containing detailed information regarding guaranteed financial and beyond financial benefits for the University employees. The data contained in the document enable building of awareness and full flow of information regarding issues connected with finances and employment at the SWPS University. Actions completed by September 2018 On the Virtual University website (Intranet), information was posted on the financial and non-financial benefits available at the University, such as: ● instruction concerning rates and rules for determination of remuneration for overtime; ● rules concerning bonuses paid to researchers for highly scored publications; ● information about use of up to 30% of indirect costs for principal investigators; ● regulations concerning performance of research projects (Office for Scientific Research); ● employee benefits (healthcare, insurance, sport activities, culture, education).

Proposed ACTIONS

Action 2

Evaluation of the system of assessment of research and teaching staff where employees may consult the development of their career paths with their supervisors/scientific supervisors.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
11. Evaluation/ appraisal systems 28. Career development	2018/Q1	Deputy Rector for Science	Rules for Assessment of Academic Workers implemented.

Current Status	Remarks
COMPLETED	In 2017, works were ongoing that were aimed to define the rules for assessment of academic workers. In January 2018, the University Senate adopted the new Rules for Assessment of Academic Workers. The assessment process was simplified and covers areas and requirements that had been agreed with the research and teaching staff. Assessments are conducted by direct supervisors and then accepted by the Dean (a two-stage assessment). If the assessed person does not agree with the assessment, there is a clear appeal procedure in place.

Proposed ACTIONS

Action 3

Publication of information on the University's internal network about career paths of research and teaching staff and rules governing academic promotions.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
15. Transparency (Code) 28. Career development	2017/Q1 until 2019/Q2	Deputy Rector for Science Deputy Rector for Teaching Director for Human Capital Management	

Current Status	Remarks
IN PROGRESS	Actions completed by September 2018 As a part of work on the We, University Strategy, the needs of at least two academic development paths were identified. Those actions were reinforced by the new Act on higher education. Meetings were held in individual faculties where the new opportunities and requirements associated with the Act were presented. Irrespective of the new Act, the process of description of academic jobs and evaluation was conducted for two development paths (research and teaching path, and teaching path). The process involved representatives of all faculties and the governing bodies of the University. Planned actions: Works are ongoing (related to the Act 2.0, which became effective on 1 October 2018), which are aimed to specify and clarify the shape of the development paths. The promotion criteria will be specified for each of the development paths. Works are ongoing, which are aimed to define the necessary functions in the research area and the teaching area and to specify requirements and responsibilities for them. The developed rules will be posted on the University's internal network. The employees will be familiarized with them during training sessions that are planned to be held in the 1st quarter of 2019.

Proposed ACTIONS

Action 4

Introduction of a training cycle improving the qualifications of research and teaching staff related to teaching of classes.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
33. Teaching			
38. Continuing Professional Development	From 01. 2017 until end of 2022	Deputy Rector for Teaching Director for Human Capital Management	
39. Access to research training and continuous development			

Proposed ACTIONS

Current Status	Remarks
COMPLETED	Actions completed by September 2018 Teaching and popularization of knowledge are important elements of professional development of researchers. High teaching competencies of academic teachers are among priorities of management of the quality of studies at the SWPS University. The human resources policy of the University in relation to academic teachers is based on the assumption that the unique characteristics of academic studies consists in a strict link between teaching and the latest results and methods in specific fields; thus, teaching competencies consist of scientific achievement and skills related to transfer of knowledge. Since 2016, regular workshops and training courses are conducted at the SWPS University; they are referred to as Teaching Competencies Week (TCW) and are intended for the teaching staff. The first edition of the TCW was held at the SWPS University on 26-30 September 2016. As a part of the event, in all campuses, workshops were held for teaching staff; they were attended by 228 persons. The event was organized in the entire University for the first time. Before the training opportunities were offered, the employees were able to express their own training needs and to indicate the areas in which support and improvement is most needed. Based on the results of the survey that was conducted, workshops were offered on different topics (12 topics), such as: · Vocal pedagogy · Motivational coaching of students · Innovative teaching skills – Design Thinking · Activating methods in academic teaching · Handling difficult situations during studies with students from different cultures and handicapped persons In March 2017, the second edition of the TCW was held. It included training on over ten topics, including 11 workshops that were the most popular among research and teaching staff. The workshops were attended by 190 persons from all faculties: The e-Learning Center conducts periodic training for all lecturers (regardless of the form of their employment) on the Moodle platform. The training is conducted both in a stationary form (1 day) and in the form of online courses lasting for several weeks. The

Proposed ACTIONS

	Current Status	Remarks
		workshops are intended for both beginners and persons who are more proficient with technologies. The topics of the training include resources and activities of the Moodle platform, other tools that support online teaching (e.g. used to create one's own audio recordings or screencasts, tools compatible with Moodle), and good online teaching practices. Moreover, employees can participate in professional training on methodology and statistics. Planned actions: In August 2017, a comprehensive training program was prepared in order to support development of competencies among academic workers in the period from 2018 until 2022. The program includes the annual Teaching Competencies Weeks, international internships, training conducted by foreign experts, individual methodical consultations conducted at each faculty, training on self-presentation and public speaking, exchange of knowledge and experiences, and training to improve language skills. Works are ongoing that are intended to improve the training offer so that it even better addresses the needs of the employees. Information about training is distributed in an internal newsletter. Training is and will be available to all members of the research and teaching staff.

Proposed ACTIONS

Action 5

Introduction of the program for sharing of good practices among employees of the University

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
33. Teaching 38. Continuing Professional Development	09.2018	Deputy Rector for Teaching	

Current Status	Remarks
COMPLETED	Actions completed by September 2018 In the academic year 2016/2017, the Deputy Rector for Teaching initiated a new practice of regular meetings with leaders of the different fields of study from all campuses of the SWPS University. The employees working at the Warsaw campus participate in the meetings in person, while employees of campuses outside of Warsaw participate in the meetings via online communication. The main objectives of those meetings are to exchange good practices among employees performing organizational tasks at the University (organization of teaching), to consult the actions of the Deputy Rector and the Director for Higher Education Studies that are intended to improve the organization of teaching at the University, and to integrate the employees working at different campuses. Since November 2016, the meetings have been held regularly every 4-6 weeks. The exchange of experiences that takes place during those meetings is an important way to support employees in their daily work and to improve their competencies relating to handling of organizational problems. One can also notice that, as a result of the meetings, there has been a significant improvement in the flow of information between the Deputy Rector and his office and the organizers of teaching at the different fields of study.

Proposed ACTIONS

Action 6

Appointment of a "person of trust" - a mediator, a person independent of the University's management structure, to consider complaints and appeals of researchers

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
34. Complains/ appeals 35. Participation in decision-making bodies	03.2018	Director for Human Capital Management	

Current Status	Remarks
COMPLETED	Actions completed by September 2018 In June 2017, the University's Senate established a Committee for preparation of the University's rules for management of conflicts of interest and obligations. The team has elaborated solutions that, while focusing on increasing the activity of the employees, enable customized and independent evaluation of presence of possible conflicts of interest. The procedure for management of conflicts of interest was developed by the University's community, with the involvement of the Council of University's Employees, and became effective in March 2018. As a part of the procedure, an Ombudsman for Conflict of Interests was appointed; his or her role is to support the staff in solving such conflicts. With the intent to promote dialogue, mutual trust, and cooperation, and to improve the existing solutions and to jointly create new ones, the Council of University's Employees, whose members are elected, was established in January 2018. The role of the Council is: to represent employees' interests and needs; to participate in consultations related to significant procedures and documents; to present proposals concerning improvement of the work conditions and development of employees. The Council, among other things, contributes to promotion of a fair and equal treatment of employees and to improvement of the general quality of the work environment. Works are ongoing to develop a procedure for preventing mobbing at the University.

Proposed ACTIONS

Action 7

Evaluation of the system for assessment of the research and teaching staff in relation to cooperation of researchers with their supervisors

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
11. Evaluation/ appraisal systems	01.2018	Deputy Rector for Science	

Current Status	Remarks
COMPLETED	In November 2017, a work group headed by the Deputy Rector for Science started its work; the members of the group were representatives of all faculties of the SWPS University and its objective was to prepare a new, simplified Academic Assessment Regulation. The results of the work of this committee and further consultations held at different faculties made it possible to reduce the number of filed documents, to simplify the scale of assessment, and to elaborate common criteria for evaluation of scientific achievements in different scientific disciplines and criteria for evaluation of teaching achievements and organizational achievements, the same for all disciplines. The new version of the Regulation for Assessment of Academic Teachers was adopted by the resolution of the Senate of the SWPS University on 26 January 2018. The new Regulation maintains the principle of direct evaluation of an academic teacher by his or her supervisor and the annual interview during which the achievements of an academic teacher in the previous academic year are summed up. Action plan: - Updating and refining the assessment principles and procedures in connection with the new structure and the requirements set forth by the Act 2.0.

Proposed ACTIONS

Action 8

Training on formal and informal aspects of academic development (e.g. scientific promotions, publications, submission of grant applications and performance of grants).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
7. Good practice in research			
8. Dissemination, exploitation of results			
38. Continuing Professional Development	09.2018	Deputy Rector for Science	
39. Access to research training and continuous development			

Proposed ACTIONS

Current Status	Remarks
COMPLETED	Training on formal and informal aspects of academic development (e.g. scientific promotions, publications, submission of grant applications and performance of grants). Actions completed by September 2018 The Office for Scientific Research organized regular training sessions for employees of the University. The most frequent training sessions concern possibilities to obtain funding for research projects. Such training sessions are intended most of all for young researchers who do not have extensive experience in obtaining external funding for research. Also, training is organized on different financing programs and sources and on preparation of grant applications for specific contests. Training sessions and classes on drafting of grant applications are also held for doctoral students. Training sessions on essential aspects of drafting of grant applications are conducted by researchers with extensive scientific achievements and are intended for researchers with smaller experience and specialists in other fields. An example is "Workshop on methodology of social sciences" held in May 2018 for researchers in the field of legal science of the Law and Social Communication Faculty in Wrocław. In addition to training and workshops organized by employees of the University, training sessions and workshops are organized that are conducted by representatives of financing institutions, e.g. the National Science Center, and institutions that support acquisition of funds designated for research, such as: Office for Scientific Excellence of the Polish Academy of Sciences - an information training for persons who are considering submission of applications in ERC contests. Regional Contact Points - training on possibility to acquire funds from the Horizon 2020 program and individual scholarships for scientists as a part of the Marie Skłodowska-Curie Actions. As a part of the doctoral studies program, classes are held on acquiring funds designated for research projects and on drafting of grant applications. As a part of the Interdisciplinary Doctoral School, coaching is provided for doctoral students. In order to improve the University's practices related to

Proposed ACTIONS

	Current Status	Remarks
		support of scientists in their professional development, the role of a mentor was established. A mentor is a professor with very high scientific achievements, also on the international scale, who shares the best practices while supporting young scientists, monitoring their progress, and providing them with constructive feedback. Moreover, the managing staff in the academic area benefits from external support of professional coaches. Coaching processes are used to develop management competences and to strengthen confidence in respective roles. Action plan: Cooperation was started with the Vitae Foundation - https://www.vitae.ac.uk/membership/vitae-membership-subscribers As a part of the cooperation the University will conduct the MASTER TRAINING on planning and implementation of professional development for supervisors and promoters in the Interdisciplinary Doctoral Studies (IDS). Establishing the Young Scientists' Council as an advisory body. The members of the Council will be young scientists representing each faculty. The Council will perform advisory functions related to professional development, participate in elaboration of actions intended to integrate young scientists at the University, recommend actions intended to eliminate barriers in development of scientific careers, and support implementation of the HR Strategy for Researchers.

Unselected principles:

1. Research freedom   2. Ethical principles   3. Professional responsibility   4. Professional attitude   5. Contractual and legal obligations

6. Accountability   9. Public engagement   10. Non discrimination   12. Recruitment   13. Recruitment (Code)   14. Selection (Code)

16. Judging merit (Code)   17. Variations in the chronological order of CVs (Code)   18. Recognition of mobility experience (Code)

19. Recognition of qualifications (Code)   20. Seniority (Code)   21. Postdoctoral appointments (Code)   22. Recognition of the profession

23. Research environment   25. Stability and permanence of employment   27. Gender balance   29. Value of mobility

30. Access to career advice   31. Intellectual Property Rights   32. Co-authorship   36. Relation with supervisors

37. Supervision and managerial duties   40. Supervision

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.
Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL *:

https://english.swps.pl/research/hr-excellence-in-research (https://english.swps.pl/research/hr-excellence-in-research)

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Initial Phase)

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

Actions addressing the implementation of the OTM-R:

The OTM-R procedures are gradually implemented in the recruitment procedures.

The solutions implemented in the period of 2016-2018 include:

1. Contest notices published on platforms that enable application by candidates from outside of the University.

2. Making sure to provide attractive terms of employment.

3. Members of contest committees verify the incoming applications and make sure that the participating candidates meet the highest merit-based criteria.

4. Contest notices are published on Euraxess web pages in accordance with the template and the requirements.

5. Contest notices are published on the web pages of the National Science Center and of the Ministry of Science and Higher Education.

6. Rules of contests for academic posts clearly specify the criteria for selection of candidates and the selection procedure.

7. Rules of contests for academic posts contain guidelines concerning the composition of contest committees.

8. Rules of contests are published online together with notices of recruitment contests posted on the University's website.

9. Works are ongoing to update the recruitment procedure, which also goes in line with the OTM-R guidelines.

10. Personal data protection complies with the amended provisions of the GDPR.

Planned actions:

The new recruitment procedure to be implemented by the 1st quarter of 2019, in addition to maintaining the solutions that have been implemented, includes:

1. Use of the eRecruiter system to manage applications.

2. Ensuring equality of genders in the composition of contest committees.

3. Introducing standard formats of recruitment applications to enable easy publication of contest notices.

4. Introduction of a Candidate Card to enable objective evaluation of candidates.

5. Reduction of the quantity of documents that the applying candidates are required to submit.

6. A description of the agenda of meetings of the contest committees.

7. Informing all candidates who have submitted their applications about the end of the recruitment.

8. Introduction of the requirement to inform all persons participating in a contest about the result of the contest, with a brief substantiation of the decision made by the recruitment committee.

9. Implementation of an appeal procedure.

10. Assignment of a dedicated employee of the HR department to monitor compliance with the OTM-R guidelines at each stage of the recruitment process (process control system).

11. Creation of contest regulations for each of the four types of academic positions listed in the OTM-R documents.

12. Presentation of the recruitment procedure to representatives of the University who are involved in selection of academic staff.

13. Training on the recruitment procedure conducted by employees of the HR department assigned to supervise the contests.

14. Brief training for members of each contest committee on the recruitment standards.

Moreover, the changes in the system of remuneration of academic workers comply with the EU directives that pertain to increasing of attractiveness of their remuneration.

Actions planned to be performed later:

1. Publication of the OTM-R guidelines applied by the University on a website.

2. Creation of an internal evaluation system that will make it possible to determine whether the OTM-R policy achieves its objectives and how the provisions specified in the new procedure are implemented.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL:

4. Implementation

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

The process of implementation of the actions in the years 2016-2018 involved employees of all faculties.

Many work teams were established and all solutions (e.g. the evaluation system, the regulations, etc.) were developed in cooperation and dialogue with the stakeholders.

The overal control over the process has been carried out by the HR Excellence steering committee led by Head of HR and currently comprising 10 people representing researchers, management, and administration.

We are aware that we need to we need to involve a wider group of people in the implementation of solutions eg.: representative of postdoctoral fellows, representative of PhD students. Our academic community doesn't always want to get involved in building solutions. Due to this fact we will work on better communication of activities so that the researchers understand the benefits of developing and implementing HR Excellence solutions.

The last two years have been the time of a huge number of activities and changes related to adapting the university to new legal regulations. We know that we were able to involve researchers more closely, but at the same time - still too few resources prevented us from doing everything we planned and taking into account the involvement of all stakeholder groups. We hope that the next years will allow us moore calmly implement all planned activities.

Make sure you also cover all the aspects highlighted in the checklist, which you will need to describe in detail:

Note: Click on each question of the checklist to open the editor.

How have you prepared the internal review?* ⌄

Detailed description and duly justification (max. 500 words)

In order to conduct an internal analysis, a survey study was conducted. We extended an invitation to participate in the survey to all research and teaching staff, i.e. 320 persons on all stages of professional career: from the assistant level to the level of professor. Before the survey was conducted, a Rector's letter was sent to encourage participation in the internal survey.

All researchers, were asked to fill in the questionnaire. It is noteworthy that each question can be complemented by a comment. All comments are taken into consideration while drafting/ improving the action plan.

The ratio of participation in the survey was **28.4%.** The results of the survey were presented to a large (app 50) group of persons who are members of the Rector's College then we have discussed conclusions.

 Then we discussed action plan and goals by the 8 members of the team for Implementation of the European Charter for Researchers.

The team analyzed the actions that were taken. The collected information was used to determine which actions were performed properly and brought the assumed results, and which require further work and implementation of additional solutions.

Then - we have agreed strategic goals for 2018 -2022.

We will comunicate them on the beginning of 2019/2020.

Internal review was co-created by the steering committee and reviewed and accepted by the Rector and university authorities.

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

Detailed description and duly justification (max. 500 words)

All action included in implemantation process were consulted and realized together with research community and main stakeholders. Researchers were involved in the development of solutions. They participated in working groups. They defined training and development needs. The were reviewing recrutment procedures proposals. All solutions were discussed with researchers on various stages of career.

We involve the research community in the implementation process in various ways: by means of their active participation in self-evaluation, by means of notifications published on the university website as well as sent via e-mails from Human Resources by involving researchers of all career stages in the HR Working Group.

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

Detailed description and duly justification (max. 500 words)

We have steereng cometee - but we intend to expand the composition of steering group and appoint a formal working group - in which there will be representatives of PhD students and researchers at various stages of their careers will be represented.

We want to intensify our work with wider group of people from October 2019.

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 * ⌄

Detailed description and duly justification (max. 500 words)

HRS4R is recoginzed in the universities strategy.

On of our main strategic goal is: **Develop the potential of our faculty members** by: a. Providing various career paths for faculty members ensuring that the role of best educators is appreciated. b. Supporting development of teaching skills of our faculty, including collaboration with practitioners in related fields. c. Promoting interdisciplinary, inter-faculty and international cooperation.

 We have also highlited goal:

Develop our university as a place that is conducive to effective research and supportive of researchers at various stages of their careers by: a. Creating a model for the support of professional development, related to academic advancement and a chosen career path. b. Supporting scholars in research endeavors, promotion and practical application of research results. c. Continuing to develop doctoral studies by building a bold, internationally focused and interdisciplinary program that prepares students for their future careers in academia and other professions.

The third one goal is: To **develop the university as an attractive and friendly place of work** and strengthening our intellectual capital by:
a. Creating and implementing an employee development program, which takes into account their potential, achievements and engagement.
b. Improving management competencies, at various levels of the organization. c. Implementing the provisions of the European Charter
for Researchers, necessary to fulfill the requirements of the Excellence in Research Award.

We can say that the Human Resources Strategy for Researchers is recognised not only in the university research strategy but its strategy embracing all activity areas related with research and the academic staff.

The Strategic Research Agenda of the SWPS University is a draft document for strategic institutions in the application research department. Adopted document having the highest standards of scientific excellence, ethics and organization of scientific work. We specialize in projects, projects and tests confirmed by a documented workshop in accordance with the principles of the European Charter for Science and the Code of Conduct and HRS4R.

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

Detailed description and duly justification (max. 500 words)

HRS4R is strongly embedded in the university policy and we consider it as a continuous improvement process, not just "one shot action". Our university is getting bigger. We employ more and more employees and we must make every effort to ensure that the university is the best place to work for them - enabling effective scientific work. S*o the Steering Committee is involved in the implementation process of actions prepared either by the HR Working Group or designated people/ bodies.* We are going to verify the plan and evaluate the implementation of the objectives and assumptions that we have planned - every semester.

How are you monitoring progress (timeline)?* ⌄

Detailed description and duly justification (max. 500 words)

Human Capital Director and the Working Group is in charge of actions implementation and monitoring. This body is also responsible for the self-assessment procedure to control whether all corrective measures have been introduced.

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

Detailed description and duly justification (max. 500 words)

W have defined people/ bodies responsible for the implementation of a given action together with indicator(s) and/or target(s). We did our bests to define and plan the indicator(s) and target(s). Whenever possible, measurable indicators (eg. Number of meetings, trainings, number of persons participating in the training, coaching sessions etc) were used to make the progress measurement easier in the future.

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

Detailed description and duly justification (max. 500 words)

Due to the fact that we will systematically monitor the progress of works - we will be able to react earlier and take actions to achieve the intended goals. We must prepare the preparations earlier and involve a larger group of people in the process of making a reliable internal evaluation of the actions taken. We want to conduct a survey and focus groups at each department - to deeper understanding of the results of the survey and to be able to discuss results and conclusions with the researchers.

Additional remarks/comments about the proposed implementation process: (max. 1000 words)