

## 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, R3	yes	yes	Vice-rector for Science and Human Resources
Dr. Habil. Ewa Trzaskowska, Prof. KUL	member of SC, Chair of WG1, R3	yes	yes	Vice-rector for Education
Rev. Prof. Dr. Habil. Mirosław Sitarz	member of SC, Chair of WG3, R4	yes	yes	Vice-rector for Missions and Administration
Dr. Habil. Beata Piskorska, Prof. KUL	member of SC, Chair of WG4, R3	yes	yes	Vice-rector for Students, Doctoral Students and Development
Rev. Prof. Dr. Habil. Marcin Składanowski	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

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, R1	yes	yes	Faculty of Humanities
Patrycja Wośko, MA	member of WG2, R1	no	yes	Faculty of Social Sciences
Anna Kruczyńska, MSc	member of WG4, R1	no	yes	Faculty of Medicine
Milena Kloczkowska, MA	member of WG4, R1	yes	yes	Faculty of Law, Canon Law and Administration
Paweł Adamiec MSc, Eng.	member of WG3, R1	no	yes	Faculty of Natural and Technical Sciences
Piotr Kociuba, MSc	member of WG3, R1	no	yes	Faculty of Natural and Technical Sciences
Artur Truszkowski, PhD	member of WG3, R1	yes	yes	Faculty of Humanities
Agnieszka Kuźniar, PhD	member of WG4, R2	yes	yes	Faculty of Medicine
Aleksandra Krauze-Kołodziej, PhD	member of WG2, R2	no	yes	Faculty of Humanities
Katarzyna Kołakowska, PhD	member of WG4, R2	no	yes	Faculty of Humanities

Dariusz Zapała, PhD	member of WG1, R2	no	yes	Faculty of Social Sciences
Alina Betlej, PhD	member of WG2, R2	no	yes	Faculty of Social Sciences
Agnieszka Marek, PhD	member of WG1, R2	no	yes	Faculty of Social Sciences
Dr Habil. Muriel Waterlot	member of WG4, R3	no	yes	Faculty of Humanities
Dr. Habil. Aliaksandr Chychuryń, Prof. KUL	member of WG1, R3	no	yes	Faculty of Natural and Technical Sciences
Dr. Habil. Eng. Andrea Baier, Prof. KUL	member of WG2, R3	no	yes	Faculty of Medicine
Dr. Habil. Viktoria Durkalevyč, Prof. KUL	member of WG3, R3	no	yes	Faculty of Humanities
Antonina Gavryshkiv, MA	member of WG3, R1	no	yes	Faculty of Social Sciences
Iryna Kozak-Balaniuk, PhD	member of 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

		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
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 April 2024: preparation of research tools / survey organisation: March 2024; the administration of the survey: March-April 2024; preparation of a survey report: April 2024; 784 persons were employed in the aforementioned positions in the reference period, which means that 58% of staff members conducting research activities took part in the survey (N=458)

**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.

After receiving another evaluation of the documentation sent to the European Commission suggesting a minor correction, the following action was taken: a meeting of representatives of the Steering Committee and representatives of individual working groups (I-IV, i.e. R1-R4 employees) was organized; a decision was made to repeat the survey despite the discrepancies in the assessment the degree of feedback of the surveys, the proposed projects in the Action Plan and other documents were analyzed in accordance with the reviewers' comments. Following comments of the reviewers, the Steering Committee (i.e. the coordinating and management team) included representatives of all groups of scientists R1-R4 and the changes in the composition of the committee were formalized by the Order of the Rector of the Catholic University of Lublin No. ROP-0101-80/24 of 25.04 2024. During the entire period of developing and correcting this documentation, many activities proposed in the first year and subsequent years were undertaken and effectively implemented at KUL, regardless of the fact of applying for the HR Excellence in Research award. Therefore, the team, based on the current research results of the academic community, modified the list of new projects adequate to the current situation, gap diagnosis and needs of the University. Again, the results of the work in the form of updated documents necessary to apply for the HR Excellence in Research distinction were presented at the meeting of the Coordination and Management Team on 29.04.2024. By the decision of the Team, the presented results of the work were accepted and forwarded for further processing, i.e. the final decision of 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.

After receiving another evaluation of the documentation submitted to the European Commission, the Gap Analysis was updated based on the results of another survey (i.e. report prepared by the KUL Centre for Social and Economic Analyses, available at: <https://www.kul.pl/hr-excellence-in-research,110279.html>). Survey respondents were recruited primarily via e-mail addresses, to which an invitation to the survey was distributed twice with a link to the survey (19.03.2024, April 15, 2024). Moreover, the Chair of the Coordination and Management Team for HR Excellence in Research, S. Dr. Habil. B. Zarzycka, Prof. KUL, developed and electronically distributed a letter to the Directors of KUL Institutes with a request to promote the study and encourage researchers (R1-R4) to participate in the survey. This message was also delivered at the meeting of the University Science Committee (14.03.2024).

Based on the information collected (repeated surveys, meetings), the following corrections (in a form of additional text, data, explanations) were made:

- organizational data of the university, rounded to whole numbers, in all documents;
- the Gap Analysis, complementing the description of diagnosed deficiencies, obstacles, and limitations as a result of the results of previously conducted focus group interviews, the repeated survey and the meeting of working groups and the steering committee;
- taking into account the competences and tasks of individual vice-rectors, the composition of the Steering Committee was verified again (10 members, including 9 members are R1-R4 researchers, pursuant to the Order of the Rector of KUL No. ROP-0101-80/24 of April 25, 2024) and four working groups (group I - 13 members; group II - 13 members; group III - 13 members; group IV - 14 members consisting of representatives of R1-R4 researchers and foreign

researchers), which, on the one hand, ensured the representativeness of researchers from each of the R1-R4 groups, and on the other hand, they turned out to be optimal for conducting discussions and further work on the next version of the documentation;

- Action plan (substantively grouped new proposals with specific measurable, numerical indicators and target groups. As not every progress can be expressed by numerical targets/metrics, where applicable, more qualitative evaluation was proposed);
- description of the proposed actions with the current three strategic documents of the University, showing the extent to which the new actions fit into the University's development policy;
- description of the current strengths and weaknesses in the four groups of principles of the Charter and Code as a result of team meetings, the results of quantitative and qualitative research, taking into account constantly introduced changes and updates.

The final versions of the corrected documents were submitted again in the EURAXESS submission system and posted on the KUL websites dedicated to HR Excellence in Research in both language versions (the websites included templated documents in pdf formats which had been downloaded originally from the EURAXESS website).