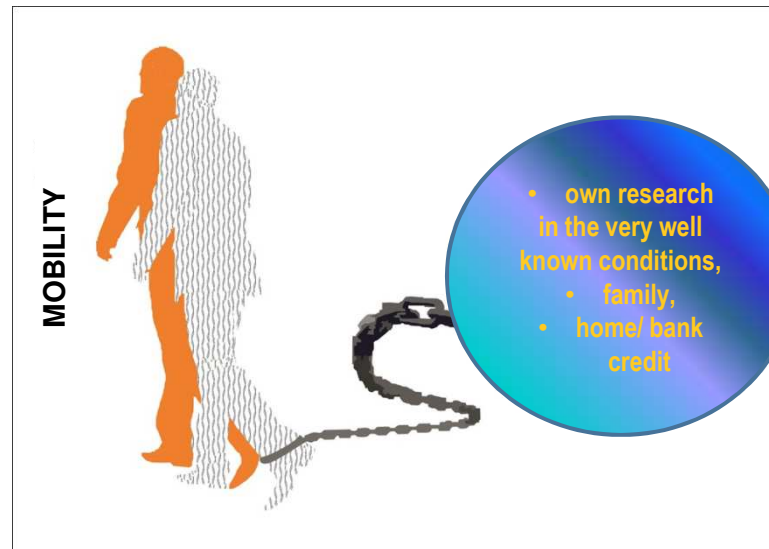# What is HR Excellence in Research Award and how to obtain it?

We already know it!

Katarzyna Markiewicz-Śliwa
Project Management Centre
International Programmes Office
Regional Contact Point

European Commission realized that the **mobility of researchers** is a huge value that allows to carry out innovative research projects to develop the European economy.

The Commission wonders how to simplify it.

SOLUTION????
STANDARISATION of working conditions.

What is Charter & Code?

European Charter for Researchers
and *Code of Conduct for the Recruitment of Researchers*
*were adopted in 2005 by the European Commission*

✓ **addressed to researchers as well as research employers and funders** in both the public and
private sectors,
   ✓ **includes key elements in the EU's policy to boost researchers' careers.**

The **EUROPEAN CHARTER FOR RESEARCHERS** covers (amongst others):

- Recognition of the profession
- Career development
- Research freedom
- Value of mobility

The **CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS**
covers (amongst others):

- Recruitment principles
- Selection criteria
- Recognition of qualifications
- Postdoctoral appointments

https://euraxess.ec.europa.eu/jobs/charter
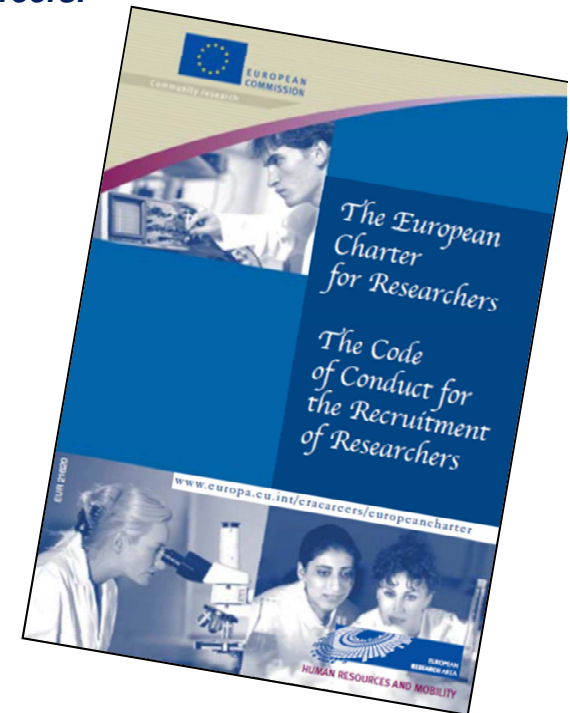
Silesian University of Technology has already proved that it fulfills the principles of the Charter & Code

European Commission recognized us with HR Excellence in Research Award

Benefits of the HR Excellence in Research Award

➢ **HR Excellence in Research Award** is an international certificate confirming that the institution fulfills the Charter and Code like ISO

➢ **Preference in obtaining grants** not only from the Horizon 2020 but also from national funders (in Poland, e.g. Ministry of Science and Higher Education, National Science Centre, National Centre for Research and Development)

➢ **Extra points** for institutions during the evaluation of research organization carried out by the national authorities

➢ **Raising the status of researcher development** including a perception that this marks out the institution as 'being one of the best'

➢ **European Commission promotes institutions with HR Award** as the best places to carry out research work

Additional advantage: Eye-catching offers on EURAXESS portal

Declarations of endorsement of Charter & Code

The Charter and the Code ensure that researchers can enjoy the same rights and obligations as in any institution all over the world.

882 organisations have endorsed the Charter & Code principles

Czech Republic
- CEITEC - Central European Institute of Technology
- Charles University in Prague
- The Academy of Sciences of the Czech Republic (ASCR)

Slovakia
- The Rectors of the Slovak Higher Education Institutions
- The Slovak Academy of Science

Poland
- 109 different research organisations

HRS4R Acknowledged Institutions

- The "HR Excellence in Research" award gives **public recognition to research institutions** that have made progress in aligning their human resource policies with the principles set out in the "Charter & Code".

- Institutions that have been awarded the right to **use the icon** can use it to highlight their commitment to implement fair and transparent recruitment and appraisal procedures for researchers.

Examples:

HR EXCELLENCE IN RESEARCH

332 institutions already awarded

United Kingdom – 96 Spain – 53 Poland – 44	Italy – 11 Germany – 9 France – 7
Croatia – 16 Belgium – 14 Netherlands – 12	Austria – 5 Czech Republic – 0 Slovakia – 0

How to implement the principles of C&C and get HR Excellence in Research Award

Strategy launched in 2008 consists of:

Step 1 - Internal **gap analysis** by institution, involving key institutional stakeholders including researchers

Step 2 - Development and publication of institutional HR strategy for researchers and **action plan** in response to gaps identified. It should summarise the main results of the internal analysis and present the actions proposed to ensure and improve alignment with the Charter & Code principles

Step 3 - Acknowledgement of **progress** by Commission

Step 4 - Self-assessment of implementation after two years

Step 5 - External evaluation: at least every 4 years, institution drafts a short report, showing the progress made towards the objectives of its HR Strategy for Researchers and its compliance with the principles of the Charter & Code

Our way to obtain HR Excellence in Research Award

Jan 2016 > **Feb 2016** > **Mar 2016** > **Apr 2016** > **May 2016** > **June – Dec 2016** > **Jan 2017**

- Establishment of a strategic project

- Internal analysis of the regulations

- Appointment of people responsible for filling in questionnaires

- Template questionnaires completed with national and internal regulations for analysis

- Questionnaire tools developed by SUT's ICT Centre

- Questionnaires sent to appointed people

- Deadline for questionnaires submission

- Compilation of questionnaires results

- Development of report

- Report review by the working group

- Report and strategy translated and sent to the EC

- Stage of validation and making changes according to the EC comments

- **GRANTING THE HR LOGO TO SUT**

hr
HR EXCELLENCE IN RESEARCH

ESTABLISHMENT OF A STRATEGIC PROJECT

Jan 2016

- In April 2015 the Rector of SUT, Prof. Andrzej Karbownik, signed Declaration of Commitment to "The European Charter for Researchers" and "The Code of Conduct for the Recruitment of Researchers".

- In February 2016 the project *„Development of the programme for implementation of «The European Charter and Code for Researchers» for researchers recruitment"* was initiated by Rector's Ordinance no. 32/15/16.

The working group for the project was established:

1. **Dr hab. inż. Krzysztof Wodarski,** prof. nzw. w Pol. Śl. – Head of the project, Director of the Project Management Centre

2. **Prof. dr hab. inż. Leszek Blacha** – Vice-Rector for Organization and Development

3. **Prof. dr hab. Wojciech Moczulski** - representative of researchers

4. **Prof. dr hab. inż. Joanna Polańska** - representative of researchers

5. **Prof. dr hab. inż. Andrzej Szlęk** - representative of researchers

6. **Beata Borszcz – Grela** – Head of HR Department

7. **Ewa Brońka** – Legal counsel

8. **Anna Kiljan** – representative of PhD students

9. **Agnieszka Kwiatkowska** – European Projects Office specialist

10. **Katarzyna Markiewicz-Śliwa** – Vice-head of the project, Head of European Projects Office

11. **Grażyna Maszniew** – Head of Education and Students Office

12. **Dr inż. Jerzy Mościński** – Head of International Scientific Cooperation Office

13. **Joanna Mrowiec-Denkowska** – Head of International Mobility Office

14. **Anna Nogieć** – Rector's Plenipotentiary for Disabled People

15. **Anna Ober** – Head of Structural Projects Office

16. **Marta Snopkowska** – Head of Research Office

17. **Małgorzata Sołtyńska-Rąb** – Head of Student Career Office

18. **Dr inż. Arkadiusz Szmal** - Head of Innovation and Technology Transfer Centre

19. **Witold Ścieszka** – project's secretary, Head of Organization Management Department
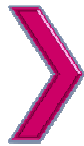
INTERNAL ANALYSIS OF THE REGULATIONS

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers

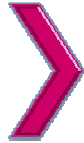**A Human Resources Strategy for Researchers incorporating the Charter and Code**

I. ETHICAL AND PROFESSIONAL ASPECTS

1. Research freedom
Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Relevant legislation (permitting or impeding the implementation of this principle)	Existing institutional rules and/or practices	Actions required	When/Who
1. Higher Education Law Art. 4.1-4.3 2. Copyright and Related Rights Law 3. Industrial Property Law 4. Breach of Discipline of Public Finances Law	1. Statute of Silesian University of Technology ch. II §7, I § 3 pt.2 2. Internal resolution on IPR 3. Internal resolution on research infrastructure exploitation 4. Internal regulation on financial controlling with amendments	No action required	–

2. Ethical principles
Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

1. Principles of research funding Law art. 12 2. Higher Education Law art.139, 144, 144a	1. Internal resolution on code of academic ethics 2. Internal regulation on the system of ensuring the quality of teaching - procedure PU6	No action required	–

3. Professional responsibility
Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere. They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted. Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

1. Higher Education Law art. 139-150 2. Unfair Competition Law	1. Internal resolution on code of academic ethics 2. Internal resolution on IPR 3. Internal resolution on research infrastructure exploitation 4. SUT patent database PATLIB (more at http://www.citt.polsl.pl/PatLib) 5. Internal regulation on the system of ensuring the quality of teaching 6. Call/grant application documents	1. Implementation of a regulation regarding training on Intellectual Property Rights *(including tranings to promote the practice of a broad analysis of the state-of-the-art, using PATLIB database)*	1. December 2016/ITTC

Obligatory template can be found at:
https://euraxess.ec.europa.eu/useful-information/policy-library#document-collapsible-research-careers-strengthened-hrs4r-process

APPOINTMENT OF PEOPLE RESPONSIBLE FOR FILLING IN QUESTIONNAIRES

In February 2016 questionnaire was prepared with the on-line tool to fill it in.

The target group was determined based on the employment structure at the University.

All academic staff groups were included and special attention was paid to keep the **gender balance.**

Faculties/units	Professors		Associated professors		Assistant professors		Doctors		PhD students		Academic teachers	
	F	M	F	M	F	M	F	M	F	M	F	M
Architecture				1	5	5					1	2
Automatic Control, Electronics and Computer Science		3		4	5	27	1	5	12	27		2
Civil Engineering		1		2	3	9	2	1	4	10	1	1
Chemistry		2	1	2	6	4	1	2	12	5		1
Electrical Engineering		2		2	1	15		1	3	5		2
Mining and Geology		1		4	5	11	1	1	4	3	1	2
Biomedical Engineering		1	1		2	4						
Energy and Environmental Engineering	1	3	1	3	9	13	1	2	12	16		1
Physics		1		1	2	3					1	1
Mathematics		1		1	2	3		1		1	1	2
Mechanical Engineering	1	2	1	5	6	22		2	10	15		
Material Engineering and Metallurgy	1	2	1	4	4	7		1	3	5	1	2
Transport				1	1	6						2
Organization and Management		1	2	3	11	11	1		6	5	1	1
Sport Centre											1	3
Geometry and Graphics Engineering Centre					1							
Foreign Langugages Centre											14	1
Foreign Langugages College					1						3	1
Pedagogy College					1						1	
Biotechnology Centre								1				
Total	500											

QUESTIONNAIRE TOOLS DEVELOPED BY SUT'S ICT CENTRE
QUESTIONNAIRES SENT TO APPOINTED PEOPLE

The on-line questionnaire was made available to **500 selected responders** in March 2016 at:
https://eczp.polsl.pl/ankiety/ankieta.aspx

---

hr HR EXCELLENCE IN RESEARCH

Europejska Karta Naukowca i Kodeks Postępowania przy rekrutacji pracowników naukowych.
Badanie opinii pracowników naukowych Politechniki Śląskiej

Agnieszka Kwiatkowska [Wyloguj]

	Wstęp
	Metryczka
1	Wolność badań naukowych
2	Zasady etyczne
3	Odpowiedzialność zawodowa
4	Profesjonalne podejście
5	Zobowiązania wynikające z umowy lub przepisów
6	Odpowiedzialność
7	Zasady dobrej praktyki w badaniach naukowych
8	Upowszechnianie, wykorzystywanie wyników
9	Zaangażowanie społeczne
10	Zasada niedyskryminacji
11	Systemy oceny pracowników
12	Rekrutacja
13	Rekrutacja
14	Dobór kadr
15	Przejrzystość
16	Ocena zasług
17	Odstępstwa od porządku chronologicznego życiorysów
18	Uznawanie doświadczenia w zakresie mobilności
19	Uznawanie kwalifikacji
20	Staż pracy
21	Stanowiska dla pracowników ze stopniem doktora
22	Uznanie zawodu
23	Środowisko badań naukowych

ANKIETA

SZANOWNA PANI/ SZANOWNY PANIE,

Politechnika Śląska realizuje projekt strategiczny, którego celem jest wdrożenie **Europejskiej Karty Naukowca i Kodeksu Postępowania przy rekrutacji pracowników naukowych (dokument do pobrania)** określających prawa i obowiązki naukowców, instytucji ich zatrudniających inaukowców zapewniające ich równe traktowanie w Europie. Instytucje, które podejmą się działań na rzecz wprowadzenia w/w zapisów odznaczane są przez Komisję Europejską **logiem HR – Excellence in Research.** Uzyskanie tego wyróżnienia zapewni naszej Uczelni lepszą rozpoznawalność na arenie międzynarodowej, dodatkowe punkty w ocenie niektórych projektów i w ocenie parametrycznej, a także pozwoli na uporządkowanie zasad panujących w naszej Uczelni odnośnie warunków pracy dla naukowców.

Aby ubiegać się o logo HR konieczne jest poznanie opinii pracowników naukowych Uczelni na temat dotychczasowego funkcjonowania zapisów Karty i Kodeksu w naszej instytucji. Do udziału w badaniu została Pani wytypowana/został Pan wytypowany przez Dziekana/Dyrektora Jednostki.

Liczymy na Pani/ Pana pełne zaangażowanie w tak ważnym projekcie. Prosimy o podzielenie się Pani/Pana opinią opartą o własne doświadczenia wynikające z działalności naukowej prowadzonej w Politechnice Śląskiej.

INSTRUKCJA WYPEŁNIENIA ANKIETY:

1. Ogólne wytyczne KE dla poruszanych zagadnień, stanowiące kontekst dla zadawanych pytań, zostały przytoczone w szarych polach ankiety.
2. W białych polach sformułowano pytania na które należy udzielić tylko jednej z trzech odpowiedzi -„TAK", „NIE", „Trudno powiedzieć" - najlepiej prezentujących Pani/Pana opinię odnośnie pracy na stanowisku naukowca w Politechnice Śląskiej.
3. Każdą odpowiedź „TAK" lub „NIE" można uzupełnić krótkim komentarzem.
4. Dla odpowiedzi „Trudno powiedzieć" komentarz jest obowiązkowy, a jego maksymalna długość wynosi 1000 znaków.
5. Ankieta pozwala na zapisanie danych i powrócenie do rozpoczętej pracy po ponownym zalogowaniu się.
6. Ankietę należy wypełnić i przesłać w terminie **do 11 marca 2016 roku.**

Metryczka

The survey included all **40 questions from the Charter& Code** (e.g.):

1. Do you as a scientist working at the Silesian University of Technology comply with recognized practices, rules and ethical standards regarding to your scientific discipline?

2. Do you think that admissions committees at the Silesian University of Technology are properly organized and guided by the best practices?

3. Do you think that the funders (including National Science Centre, National Centre for Research and Development, Ministry of Science and Higher Education, EC) and/or the Silesian University of Technology ensure adequate working conditions for all researchers?

4. Are you, as a researcher, looking for possibilities of continuing your professional career development?

5. Do you think that, as a scientist working at the Silesian University of Technology, you are properly assessed for your professional achievements?

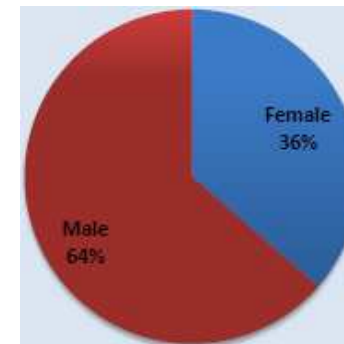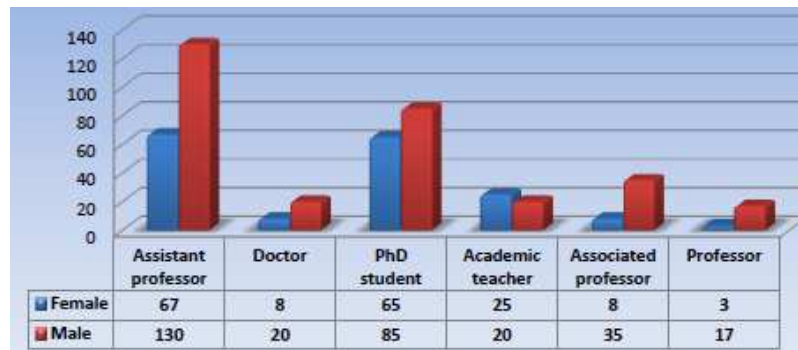| YES	NO	Don't know
REMARK	REMARK	REMARK required

COMPILATION OF QUESTIONNAIRES RESULTS

- **483 responders (96,6%)** completed the questionnaire. Responders could add their remarks and **3388 comments** were made in total.

- The number of responders and answers to respective questions by groups of staff and gender are shown in two following charts:

	Assistant professor	Doctor	PhD student	Academic teacher	Associated professor	Professor
Female	67	8	65	25	8	3
Male	130	20	85	20	35	17

Female 36%
Male 64%

- **25 questions with less than 80%, 'Yes', with more than 88% 'No', and more than 80% 'Don't know' answers were analyzed in detail.**

- The questions regarding discrimination at work for gender, age, job position or other reasons were also thoroughly analyzed.
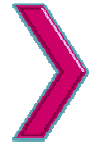
DEVELOPMENT OF REPORT

REPORT REVIEW BY THE WORKING GROUP

- Based on the internal analysis and outcome of the survey, the same group made the Human Resources Strategy for Researchers – Action Plan that contains priority areas in which SUT has to make additional effort in implementation of the principles from C&C.

- As it was mentioned, 25 questions with less than 80% 'Yes', with more than 88% 'No' and more than 80% 'Don't know' answers were analyzed in detail and this activity leaded to identify **12 tasks that must be implemented to University's procedures.**

TASK	AREA 1	AREA 2	AREA 3
	Ethical and professional aspects	Recruitment	Working conditions and social security
1. Implementation of a regulation regarding training on Intellectual Property Rights	✔		✔
2. Modification of the ordinance on the Projects Management System	✔		
3. Creation of a central repository of protected work results and regulations to use it	✔		
4. Modification of the criteria for employees evaluation	✔	✔	✔
5. Creation of a website providing information on career development		✔	✔
6. Modification of the ordinance on researchers recruitment		✔	✔
7. Verification of the ordinance on work referrals and delegations		✔	
8. Improvement of the system for use and settlement costs for Research Infrastructure			✔
9. Insertion of teleworking to internal work regulations			✔
10. Development of procedures for reporting and application of necessary improvements to be implemented by the Plenipotentiary for Disabled People			✔
11. Development of a motivating system for researchers			✔
12. Information about the possibilities for submitting complaints and appeals by researchers			✔

May 2016 ➤ June – Dec 2016 ➤ Jan 2017

- Report and strategy translated and sent to the EC

- Launching a website dedicated to HRS4R

- Stage of validation and making changes according to the EC comments

- **GRANTING THE HR LOGO TO SUT**

hr
HR EXCELLENCE IN RESEARCH

'Sharing experience to better implement the Human Resources Strategy for Researchers'

CONSENSUS report form
(to be filled by the lead assessor)

European Commission

APPLICATION
for the 'HR excellence in research' award submitted by:
.........Silesian University of Technology............

Based on the assessment of the gap analysis and action plan your institution submitted, the 3 independent assessors came to the following conclusions (including strengths and weaknesses of your application):

Gap Analysis:
Documents have been properly updated

Institutional HR Strategy for Researchers / Action Plan
Action Plan includes a new required action about information of appeals and complaints for researchers, according to gap analysis.

Publication

Your application has been filed as (please indicate):

XO **ACCEPTED**
Your application meets the criteria and the 'HR award' is granted. The assessors might have commented on the application asking for future focus on a particular aspect/criterion if appropriate, so please refer to the comments given above.

O ACCEPTED pending minor alterations
Your application broadly meets the criteria but the assessors have some concerns/questions about specific areas/criteria. Please reflect about the feed-back given above update the documentation before resubmitting; till then the 'HR award' is put on hold.

O DECLINED pending (major) revision
Your application does not meet the criteria and the 'HR award' is put on hold until the next submission deadline so your organisation can make the appropriate changes and resubmit an application taking into account the comments of the 3 assessors (as above).

Important!
- HRS4R NEW APPLICATION MODALITIES

On 1 January 2017, the **'strengthened' HRS4R implementation procedure** has been entering into force.

All institutions already involved in or 'newcomers' to the process will switch to the strengthened process as soon as their next assessment is coming up.

Important elements are:

- to start the process an **endorsement AND commitment letter** is now mandatory
- a **well-defined timeline** applies throughout the whole process
- the **use of templates** is now MANDATORY:
  https://euraxess.ec.europa.eu/useful-information/policy-library#document-collapsible-research-careers-strengthened-hrs4r-process

- **no deadlines for submission** of applications

- questions about new procedure **RTD-CHARTER@ec.europa.eu**

How to start…

All beneficiaries of H2020 **should sign C&C and implement the HRS4R**

Beneficiaries:　　　　　any organisation employing or funding researchers
(i.e. universities, private companies, research centres)
may be located all over the world
do not have to be based in the European Union

How to sign the Charter and Code?

If the beneficiary's organisation agrees with the principles of the Charter and Code, it sends an **'endorsement letter'** to:

RTD-CHARTER@ec.europa.eu

The letter needs to be signed by the **highest authority** to start the process.

Article 32 of the H2020 Grant Agreement

RECRUITMENT & WORKING CONDITIONS for researchers

32.1 - OBLIGATION to take measures to implement the Charter & Code

Article 32 is a „**best effort obligation**"

This means that the **beneficiary must be proactive and take specific steps** to address conflicts between their policies and practices and the principles set out in the Charter and Code of Conduct. In this sense, the **obligation to keep appropriate documentation** refers primarily to documentation evidencing the steps taken and measures put in place.

32.2 - CONSEQUENCES of non-compliance *(described in chapter 6 of Annotated Model Grant Agreement)*

- Rejection of costs claimed
- Reduction of the maximum grant amount
- Recovery of undue amounts
- Administrative and financial penalties
- Suspension of project/contract/payments
- Termination of project/contract
- Termination of participation of beneficiary

For more information about
HR Excellence in Research Award
visit EURAXESS website

https://euraxess.ec.europa.eu/jobs/hrs4r

Thank you for your attention

Katarzyna Markiewicz-Śliwa
Silesian University of Technology
Project Management Centre
International Projects Office
Regional Contact Point
Banacha 10, St.
44-100 Gliwice
Phone: + 48 32 237 19 98
rpk@polsl.pl
www.rpk.polsl.pl

REGIONALNY PUNKT KONTAKTOWY
POLITECHNIKA ŚLĄSKA