

Internal Review

Case number: 2019PL389546

Name Organisation under review: University of Warsaw

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1. Organisational Information

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

STAFF & STUDENTS (31.12.2021)	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. Students either full-time or part-time involved in research *	3 210 employees + 2 127 doctoral students
Of whom are international (i.e. foreign nationality) *	231 employees + 260 doctoral students



Of whom are externally funded (i.e. for whom the organisation is host organisation) *	130 employees
Of whom are women *	1 460 employees + 1 047 doctoral students
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	1 646 employees
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	1 422 employees
Of whom are stage R1 = in most organisations corresponding with doctoral level *	142 employees + 2 127 doctoral students
Total number of students (if relevant) *	37 852
Total number of staff (including management, administrative, teaching and research staff) *	7936
RESEARCH FUNDING (figures for most recent fiscal year)	in thousands €
Total annual organisational budget	112 315,81
Annual organisational direct government funding (designated for research)	32 986,54
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	13 581,82
Annual funding from private, non-government sources, designated for research	0,00

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

The University of Warsaw (UW) founded in 1816, is the largest university and the best research centre in Poland. The UW consists of 24 faculties, 4 doctoral schools and approx. 30 research and didactic centres; it offers a world-class education delivered in the Humanities, Social Sciences, and Natural Sciences.

In 2019, the University of Warsaw was granted the status of a research university in the “Excellence Initiative – Research University (2020-2026)” competition by the Ministry of Science and Higher Education. The UW is a leader among the Polish beneficiaries of EU FP Horizon 2020. The UW researchers won 22 ERC grants, out of 53 allocated in Poland.





2. Strengths and weaknesses of the current practice

Please review the strengths and weaknesses under the four thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should 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:

- Academic freedom and reliability guaranteed under national law and the Statute of the University of Warsaw
- Regular assessment of the academics and doctoral students
- Improved system of promotion for a university professor position; increased number of female university professors
- Equality and antidiscrimination actions, Gender Equality Plan

Weaknesses:

- A document integrating the ethical principles is needed

Academic freedom is guaranteed internally by the Statute of the UW and remains one of the crucial values of the University. According to the survey from 2021, the academics view themselves as experts in their disciplines. Their voice is frequently heard in the public debate, which was especially significant during the covid-19 pandemic when calculations made by the UW researchers helped to estimate the subsequent waves of pandemic.

Periodic assessments of academic staff are conducted at the University in a transparent manner, according to the uniform rules and based on the criteria communicated publicly in a timely manner. The members of academic staff are subject to assessment at least every four years and no more often than once a year. The assessment is carried out by a special committee which takes into consideration the following criteria: activity and scientific achievements assessment, activity and teaching achievements assessment, activity and organisational achievements assessment, professional competencies improvement assessment and also the copyright and related rights, as well as industrial property regulations compliance assessment. The periodic assessment of

doctoral students is conducted with reference to the previously drafted Individual Research Plan. The assessment is conducted by the committee of experts.

The promotion to a university professor position is based on a procedure that is separate from a periodic assessment and the habilitation procedure. Two external reviewers assess the achievements of the academic in the field of research, teaching and organisational tasks. Furthermore, the academic is required to obtain a positive opinion of the Senate of the UW. In recent years, the number of persons promoted to a university professor position due to excellent performance has increased, most noticeably among women.

The University offers guidebooks, recommendations and online/ on-site training on issues such as equality, diversity, antidiscrimination and anti-mobbing to the whole community, supported by the social campaign *We Are All Equal* and the introduction of the Gender Equality Plan (the first such initiative in Poland). The academic community can seek help from the Academic Ombudsman, Rector's Committee for Prevention of Discrimination and Rector's Anti-mobbing Committee. Notwithstanding the enormous progress made in building the awareness of gender equality and creating a supportive working environment for women, including female researchers, as evidenced by the increasing number of applications to the antidiscrimination and anti-mobbing bodies, the equality and diversity policies and actions still require more promotion strategies to be implemented. The University aims to improve the gender balance in the higher academic positions.

The majority of the academics recognize the ethical rules of their disciplines and general ethical rules in science. The ethical aspects of research projects are monitored by the Rector's Committee for the Ethics of Research Involving Human Participants. However, there is a need to implement an ethical code of conduct at the University and training dedicated to the dissemination of knowledge and building awareness.

Remarks (max 500 words)

The introduction of the higher education system reform of 2018 led to a change in some priorities, e.g. the implementation of periodic assessment for administrative staff supporting academics in the implementation of research tasks was abandoned. Due to the expected change in the criteria for the periodic assessment of academics, the implementation of an IT tool supporting the process was slowed down. The plan for a wider implementation of this tool was moved to the Plan for 2022 - 2027. Similarly, the next Plan assumes that the equality training, so far realised for those interested in the subject, will become obligatory for selected groups of the employees.



Recruitment and selection:



Strengths

- OTM-R principles vastly implemented in terms of setting clear rules and a unified approach towards the recruitment of academics and students for the doctoral schools
- Clear rules for the appointment and composition of the selection committees
- At least 50 % of the candidates selected for the academics' positions and 40% of the selected candidates for doctoral schools are women
- Implementation of the excellence threshold approach in the recruitment
- Clear appeal procedures in place

Weaknesses

- No regular training for selection committees (with the exception of doctoral schools)
- Not user-friendly process of application for the academic positions and a general lack of an IT tool for recruitment (with the exception of doctoral schools)
- The candidates are not provided with the feedback on the strengths and weaknesses of their applications

The list of the academic positions and compulsory requirements for every position have been specified in the University Statute. The detailed rules and procedures for conducting a competition for the academic positions (R2-R4) was regulated by the Rector in 2019. The rules for recruiting candidates for the doctoral schools (R1) were regulated by the Senate in 2021. Thus the recruitment process takes place according to clearly defined, uniform rules valid for the entire University.

All announcements, having been checked by the Human Resources Office, are published simultaneously, in Polish and English, on the website of the University, the Ministry of Education and Science and EURAXESS, at least 30 days before the application deadline.

All competitions are conducted by selection committees with a carefully selected composition. Committee members are bound by the principle of avoiding a conflict of interest.

Selection of the candidates during competition procedures constitutes the first part of the selection process. The employment motion needs to be submitted for the opinion of the organisational unit council or shall receive a positive opinion of the Senate of the University (concerns both the professor and university professor positions).

The competition may be terminated in the absence of suitable candidates. The Rector may cancel the competition conducted in violation of the law. Candidates may access the competition documentation, including the ranking list and scores.



In the next step the University needs to place more emphasis on familiarising the selection committees with the OTM-R principles and to equip them with tools to better assess a variety of qualifications by preparing the training and a guidebook for committees members.

Announcements do not sufficiently present all the advantages of the University as an employer (employer value proposition). Candidates do not receive comprehensive information on the strengths and weaknesses of their applications.

There is a need to implement an IT tool to facilitate the submission of applications and to enable the central acquisition of information on the applying candidates. Due to the lack of an IT tool, the process of browsing through and sorting applications and finally, the selection of candidates is carried out manually. Work on these issues will be carried out in the next period while ensuring that the practices implemented so far are maintained.



Remarks (max 500 words)

The UW has adapted to the principles of the new law on higher education and science and made a number of changes to internal regulations, including those concerning the conduct of competitions and the employment of academic positions. The previous rules have therefore been even more in line with the OTM-R principles

One of the major innovations was also the change in the system of educating doctoral students and preparing them for scientific work. Doctoral schools were established, and subsequently the procedures for enrolment in doctoral schools were revised, and standardised.

Such numerous changes made it necessary to redefine the priorities set in the 2015-2021 Action Plan and, as a result, some activities were not implemented. Not all the changes regarding the procedure of recruitment have taken place, e.g.: the IT tool for candidates to apply has not been implemented. However, the implementation of an application for the publication of competition notices for the academic staff positions has been introduced.



Working conditions:**Strengths:**

- Employment security
- Access to social benefits
- Availability and quality of the working environment (infrastructure, equipment, housing conditions)
- Work-life balance and support for families

Weaknesses:

- Low wages, especially for early stage academics
- Access to research funding at the University
- Comparatively weak support for international employees

According to the survey for academics conducted in December 2021, the UW is well evaluated in terms of working conditions in the fields of employment security which is associated with the stability and access to social benefits. The academics also recognize the availability and quality of the working environment, such as infrastructure, access to equipment and space conditions (with some exceptions). The access to the research core infrastructure will be further improved. The offer of research infrastructure, equipment and quality of academic buildings is subsequently improved due to the strategic programmes and funding within *the Multi-Annual Plan* and *Level Up Programme* agendas.

The academics recognise the University of Warsaw as a relatively family-friendly workplace. The University offers one kindergarten and one nursery; it is currently working on the development of care facilities for children, as a part of the GEP. The GEP has introduced recommendations on the work-life balance e. g. friendly formal meetings, time-schedules and a coordinated variety of family-friendly solutions offered at the University on one sub-website (part of the present University equality website). In 2022, the equality unit will carry out a survey on the needs and recommendations of the academics who are parents.

In 2020, the Remuneration Regulations were implemented for the first time at the UW, organising the remuneration rules in force under the national and internal regulations. It was integrated in one document information on all the components of remuneration due to employees and made available in the Employee Handbook. The organisation of the remuneration area and the salary increases in 2019 have not significantly affected the level of salaries and their assessment by the academics (the 2021 survey). The level of wages is linked to the state expenditure on science and higher education. The University as a public finance sector unit has insignificant capacity to influence the level of salaries and funds dedicated for research activities. An in-depth study of salaries



actually paid will be carried out in the next period to investigate the possibility of further changes and to examine the impact of a new government tax changes. Research funding will be improved by obtaining the status of a research university and also by additional funds secured for research purposes.

An induction programme for newly recruited employees will be implemented, with emphasis on the international staff who may experience difficulties when starting work at the UW. This will include to implementation of a visitor registration application. The application and a register of all visitors to the UW will allow for a better identification of their needs. The implementation of the IPD, which enabled a number of initiatives to develop the competencies of the university management staff, academic teachers, doctoral students and administrative staff, will be completed. The extension of the programme was necessary due to the covid-19 pandemic which slowed down the implementation of activities. The extended implementation time allowed for a better use of funds.

Remarks (max 500 words)

Due to the status of Research University within the EIRU, the opportunities for obtaining research funding at the University have increased; the same applies to international mobility and support in publication activities. The University supports international cooperation and enables networking with academics abroad by establishing strategic alliances like 4EU+ and programs for visiting professors. Alliance 4EU+ has received support from Horizon 2020 for the Train 4EU project, the main aim of which is to exchange good practises in many areas of the University, including HR, Open Science, and Research Infrastructure Management. The implementation of the project will contribute to the exchange of experience and the implementation of the most interesting solutions at the UW.

Although the 2015-2021 Action Plan envisaged the development of a remuneration policy, the scope of the changes finally introduced was much broader than expected. The reform of science and higher education enforced the introduction of the remuneration regulations at the University, the adoption of which was preceded by negotiations with the trade unions. As part of the changes, the rules for remuneration of employees implementing programmes, projects and undertakings, especially those financed from external sources, were also developed. Detailed rules were also introduced for the remuneration of employees involved in the implementation of the EIRU Programme.

The financial situation of doctoral students was improved due to the formation of doctoral schools that offer higher scholarships of a statutory amount (although the current system offers fewer positions than the previous one).

In view of the numerous activities undertaken in the area of gender balance at the UW, it was not possible to carry out a study on the gender pay gap. This task was postponed until the next period. However, it is worth noting that the composition of the team responsible for initiating the pro-equality measures has been extended from 1 to 3 members.

As for the electronic outgoing mobility application, the University decided to abandon this activity due to a change of priorities.



Training and development:**Strengths:**

- Systemic approach to training
- Tailored training and coaching offer for managerial positions
- Wide training opportunities for academics and administration staff
- Pilot projects for early stage academic teachers

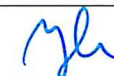
Weaknesses:

- Lack of regular advisory in the academic career development, especially for postdocs and early stage researchers
- Challenge: cooperation between the faculties and the doctoral schools

The UW established a team for the development of academics' competences financed by the IPD and EIRU. In recent years, the UW has launched some tailored made programmes: Deans Academy – a comprehensive 80-100h training on the management and leadership skills for deans and vice-deans; Academy of Academic Teaching Management – a 80h training for vice-deans responsible for the quality of academic teaching; individual coaching sessions for the employees in high research management positions; Leader in Research - a program for talented researchers from natural science; Leaders' Academy – for the administration management. In 2021, the University started a pilot training and counselling programme for early stage academic teachers and preparations for new programmes: early stage female researchers and networking for women PhD students - part of the GEP, addressing the 'leaking pipeline' phenomena diagnosed in the UW internal research.

The University offers a significant number of different training schedules, including equality, foreign languages, IT tools in teaching (Digital Competence Centre), soft skills, teaching skills and workshops on commercialization of research and intellectual property protection. Between 2020 and 2021, over 2500 academics took part in the above-mentioned form of training. The quality of training is monitored by means of surveys.

The UW plans to expand the offer of training for academics, including a new program for research project managers. The Rector's Ordinance (2021) regulates the field of employee competence development at the University, defines the rules under which employees can benefit from the development of their competences and receive financial support from the employer. It also introduced the obligation of a central system for reporting on conducted training and other forms of competence development (coaching, mentoring, etc.). Owing to the introduction of this reporting system, the managers and supervisors will get some complex information on the training of their employees; furthermore, the HR will prepare a comprehensive system of competence development.



However, the UW does not offer enough individualised consultancy on the academic career development, which can be particularly challenging for postdocs. The advisory offer is scattered between the Office for International Research and Liaison and the research sections located at the faculties, and provided on a small scale. Thanks to the EIRU financing, the UW will be able to expand the individual advisory for academics and launch numerous programmes promoting mentoring in research.

The importance of individualised advisory in academic career development is not much recognised by the employees and supervisors. According to the survey results, the academics value “offer of career advisory” the least of all academic career development support offered by the UW. The academics rate their supervisors highly as mentors, and rate their own academic supervision and mentoring skills as relatively high or very high.

The transfer of doctoral students from the faculties to the doctoral schools posed a challenge of maintaining the contact with more experienced academic community in the discipline, scientific good practises and networking opportunities.

Remarks (max 500 words)

The training programmes listed above were not included in the 2015 - 2021 Action Plan, but with the creation of a team responsible for supporting academics in competence development and the availability of funding from the IPD for the UW, opportunities for academics to improve their competence have been significantly expanded. Paradoxically, the covid-19 pandemic contributed to the popularisation of training among the academics. The necessity of conducting large-scale didactics in a remote mode resulted in great interest in training courses on the use of remote work tools, and subsequently also in other topics proposed by the University. It is worth noting that the participation of the academics in the vast majority of training and other development activities is voluntary.

Over time it has become apparent that some of the planned activities have lost their relevance in the face of new challenges and changes. These include the internship exchange programme for the administrative staff, which was not finally introduced.

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

The deep structural reform of the higher education and science system that changed the structure and division of tasks and responsibilities within universities, titled the "Constitution for Science", has been in place since 2018. Although the main changes were promulgated in 2018, the introduction of the Act entails changes to the detailed legislation promulgated at the level of the Minister of Education and Science. This brings prolonged uncertainty on the part of the University as a whole, as well as of the individual academics. For instance, as a part of the reform, the ministry introduced a new ranking of academic publications that was envisioned to mark excellence. However, since 2019 the ranking was changed several times which created a lack of predictability among the academics who plan their publications usually several years ahead. Therefore, there is a certain instability in the academic institutional environment due to these frequent changes.

The covid-19 pandemic affected the University of Warsaw just like any other universities; the teaching was performed in a remote mode and some of the research was slowed down or halted. However, the organisation and the community quickly adapted to new conditions, developing new teaching and learning skills and exploring new research opportunities online, what was done with great effort. The strategic alliance 4EU+ offered fast track research funding on the effects of the pandemic on the academic community; for example, a research on the pandemic challenges for women in research and the University administration was conducted in the partner universities. Obtaining a research university status was an important element. As part of the funding raised, the University has committed itself to a number of activities which, although not included in the 2015 - 2021 Action Plan, support the delivery of the Charter and Code principles.

The above changes resulted in the decisions to discontinue certain activities, especially those aimed at the administrative staff, as well as the activities related to the creation or development of applications the usefulness of which proved uncertain or insufficient in the new situation. In some cases, e.g. the system supporting the periodic assessment of the academics, the popularisation of the system among the units was suspended due to some further expected changes in the assessment criteria system.



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

The implementation of HRS4R for 2015 - 2019 at the University of Warsaw coincided with the announcement in July 2018 of the "Law on Higher Education and Science", which introduced revolutionary changes into the system of financing universities and distributing these funds, into the evaluation criteria for research institutions as well as in the method universities are managed (the appointment of a new advisory body - the University Council; shifting to the central level the powers and responsibilities related to the quality of science in disciplines and the quality of teaching). The significance of these changes and the short deadline for their implementation put enormous pressure on the University authorities and academic community; furthermore, the need to change all key internal regulations of the University initiated a deep and long-lasting debate on the future of the University, involving a high level of emotions and anxiety on the side of the employees.

Ultimately, the above resulted in the introduction of the new Statute of the University of Warsaw, the Organisational Regulations, the Study Regulations, as well as the Work and Remuneration Regulations. .

The significant extend of this work forced the verification of the priorities and activities contained in the Internal Review of July 2018. Despite some obstacles, the majority of the declared activities were carried out, and many others , were also implemented, although not included in the Action Plan. The University took part in the EIRU competition, organised by the Ministry of Science and Higher Education (currently the Ministry of Education and Science), winning the first place and obtaining the status of a research university for the years 2020-2026. Obtaining the status of a research university is associated with a significant increase in the amount of the subsidy received by the UW and the opportunity of implementing numerous activities planned in the competition application, many of which correspond to the assumptions of the Charter and Code.

Additionally to the IPD and the Multi-Annual Plan and the Level Up program, the EIRU is another programme which supports the implementation of the Charter and Code principles at the UW by providing financial and human resources measures necessary for the implementation of changes in such a large organisation.



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

Due to the beginning of the new Rector's tenure, the change of the University management in 2020 did not affect the process of implementing the 2015 HRS4R and drafting a new Strategy for 2022-2027. On the contrary, the newly elected Rector, together with his team, expressed his strong support for the implementation of the Charter and Code. The new Strategy and Action Plan are well rooted in the strategic vision of the University and well-integrated with other strategic actions, the University values and its internal regulations. The potential instability affecting the Action Plan may come from the legal and institutional environment of the University, in the form of decisions undertaken by the Ministry of Education and Science

As the Action Plan for the up-coming years includes many undertakings financed by the EIRU programme, the continued funding of this programme by the Ministry of Education and Science will be crucial for the implementation of these undertakings.

The difficult political situation in the region of the Central and Eastern Europe and the high threat of a potential military conflict in the immediate neighbourhood of Poland, as well as numerous destabilising activities undertaken by Russia, create threats which, although difficult to identify at this point, may undermine the maintenance of the currently established priorities that are difficult to identify at this time.



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.

Current status: NEW, IN PROGRESS, COMPLETED, EXTENDED.

Proposed ACTIONS

Principles:

- ☐ 1. Research freedom ☐ 2. Ethical principles ☐ 3. Professional responsibility ☐ 4. Professional attitude ☐ 5. Contractual and legal obligations
- ☐ 6. Accountability ☐ 7. Good practice in research ☐ 8. Dissemination, exploitation of results ☐ 9. Public engagement ☐ 10. Non discrimination
- ☐ 11. Evaluation/ appraisal systems ☐ 12. Recruitment ☐ 13. Recruitment (Code) ☐ 14. Selection (Code) ☐ 15. Transparency (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 ☐ 24. Working conditions ☐ 25. Stability and permanence of employment ☐ 26. Funding and salaries
- ☐ 27. Gender balance ☐ 28. Career development ☐ 29. Value of mobility ☐ 30. Access to career advice ☐ 31. Intellectual Property Rights
- ☐ 32. Co-authorship ☐ 33. Teaching ☐ 34. Complaints/ appeals ☐ 35. Participation in decision-making bodies ☐ 36. Relation with supervisors



☐ 37. Supervision and managerial duties ☐ 38. Continuing Professional Development ☐ 39. Access to research training and continuous development

☐ 40. Supervision

Note: Add as many actions as needed.

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 website *:

URL:

<https://en.uw.edu.pl/research/european-charter-for-researchers/> (EN)

<https://www.uw.edu.pl/badania/europejska-karta-naukowca/> (PL)

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 (Internal Review for award renewal)

Notwithstanding the fact that the UW is submitting the OTM-R questionnaire for the first time in the current assessment, many of the principles of OTM-R have long been required by the national law as well as to be adopted in the internal regulations at the University. The most important regulations of the University were amended as a result of the reform of the science and higher education system carried out in Poland in 2018. Some of these regulations concerned the OTM-R principles:

- adopted in 2019, the UW Statute defined the list of academics positions and the basic requirements and conditions of employment for these positions,
- the rules for conducting a competition for the academic staff position, including the guidelines for the composition of selection committees, were introduced by the Rector's Ordinance of 2019,
- the rules of recruitment to the doctoral schools were defined by a resolution of the UW Senate in 2019. (subsequently amended in 2021).



With these universally applicable regulations, recruitment takes place on the basis of uniform and clearly defined rules, despite the decentralised organisational structure of the University and the conduct of recruitment processes by autonomous organisational units. The University has taken consistent steps to ensure that the OTM-R principles are part of the University policies and practices.

The rules for competitions and employment, in addition to their publication in the UW Monitor, have been popularised in the Employment Handbook, whereas the rules of recruitment to the doctoral schools were made available on their websites.

A special application for announcing competitions has been introduced, all announcements made by the organisational units are checked for compliance with the UW regulations before they are published, and publication takes place in advance simultaneously on all required websites/platforms.

The analysis of the competitions conducted between January and September of 2021 indicated that the organisational units comply with the internal regulations and that the control mechanisms such as terminating or cancelling competitions are applied in practice. Despite these satisfactory results, there still exist some areas for improvement.

Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the award renewal phase. The extended version of the reviewed HR strategy including the OTM-R policy and actions should be published on your organisation's website

4. Implementation

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

The overall implementation process was based on the recognition of present and future needs and conditions of the UW, on the evaluation of the completed and uncompleted actions and the discussion about the reasons and circumstances of that matter, the review of recommendations and the introduction of new actions. The process was supported by ongoing engagement of the stakeholders and with regard to the changes in the legal and institutional settings.

The first Implementation Committee for the implementation of the Charter and Code was founded in 2014. It was led by the vice-rector prof. Andrzej Tarlecki, and consisted of representatives representing different central administration units and academics, and with a representative of doctoral students.

The Committee met on a regular basis, in order to monitor the development and realisation of the Action Plan and to exchange ideas on the improvements of the planned activities. In 2018, the Committee submitted the Internal Review that received positive evaluation, although with some further suggestions for alterations and revisions. In the same year, the Committee ordered a survey for the academics at the University of Warsaw on their views and experiences regarding the practical application of the Charter and



Code principles at the UW. Despite the turbulence created at first by the reform of the Polish higher education and science system and later on by the Covid 19 pandemic , and eventually the change of the Rector of the UW, after a short break, the majority of the actions planned for 2015-2021 have been completed, although the implementation of some actions was extended in time.

The work on the renewal of the HR Excellence in Research award started in early 2021 by a general overview of the completion of the Action Plan for 2015-2021. The representatives of the Committee and the leaders of the central administration units responsible for implementing the Action Plan provided updates and comments on the realisation.

In the second phase, they provided ideas for new actions that could be launched in the next Action Plan. In Autumn 2021, the Rector appointed a Steering Committee and Working Group. The Steering Committee consists of the members representing the Rector's Board as well as the university scientists representing various disciplines. The Working Group consists of both scientists and administrative staff responsible in their units for the implementation of the activities contained in the Action Plan. They represent and cooperate with: the Human Resources Office, the Office for University Advancement, the Centre of New Technologies, the University of Warsaw Library, the Office for International Research and Liaison, the Research Services Office, the Promotion Office, the Office for Innovation in Teaching and Learning, the International Relations Office, the Office for Doctoral Student Affairs, the Education Quality Evaluation Unit, the Biological and Chemical Research Centre, the Office for Persons with Disabilities, the Office of Academic and Student Affairs, the Ombudsman Office and the Equality Unit. The members of the Steering Committee and Working Group are engaged in the implementation of other strategic programs at the UW, which further strengthens the HRS4R and embeds it in the broader, long-term actions.

The representatives of the first Committee for 2015-2021 and the recently appointed Working Group remained in close cooperation. The representatives of the Human Resources Office participated in information meetings organised by the European Committee, the National Contact Point as well as in individual consultations. In early spring 2021, a workshop was organised as part of the exchange of good practises in the TRAIN4EU project to discuss experiences in implementing the HRS4R in the alliance universities. The communication was done mostly by online meetings due to the pandemic restrictions. In autumn 2021, the UW repeated a survey among academics regarding rules of the European Charter for Researchers.

The Working Group met on a regular basis in order to prepare the Gap Analysis, to revise the Action Plan for 2015-2021 and to prepare a new Action Plan 2022-2027. Both documents were presented to the Steering Committee and discussed. The members of the Steering Committee, following a comprehensive and deliberate study and discussion with the Working Group Chairperson, accepted the Gap Analysis and the Action Plan for 2022-2027.

The aim of the Gap Analysis and the Action Plan for 2022-2027 was to prepare a coherent, ambitious, yet realistic, evidence-based strategy that would strengthen the achievements of the HR Strategy 2015-2021 and to develop new ones to support the research profile of the University of Warsaw.

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?* (max 500 words)

The UW decided to prepare not only the Internal Review but also a new HRS4R for 2022-2027 and to conduct a full Gap Analysis between the current practises and the Charter and Code principles. This decision was dictated by, among other things, the multitude of changes introduced to the national law in recent years, the new priorities in the area of science, the impact of the pandemic and the new opportunities that came with the UW having received the status of a research university.

The preparations of the HRS4R and Internal Review were performed in several stages:

- 1) discussions with University executives,
- 2) the use of the research outcomes conducted during the Action Plan 2015-2021: a) a multi-method research on the experiences of discrimination and equal treatment for all the community in 2018-2019 that served as a basis for the GEP UW and the point of reference for the HR actions; b) a survey for the academics on the Charter and Code principles in 2018, and for the Action Plan 2022-2027; c) a survey for the academics on the Charter and Code in 2021,
- 3) a careful analysis of the Consensus Report with special attention paid to the recommendations,
- 4) the use of the "SWOT Analysis of the University of Warsaw" that was prepared in 2019 for the purpose of preparation to the EIRU competition,
- 5) the evaluation on the implementation of the Action Plan 2015-2020, a discussion on the needs and the current as well as long-term priorities for the University, an evaluation of current administration and the teaching and research structure of the University, provided the changes introduced by the reform of the higher education system posed any challenges to the new Action Plan. The discussions were led by the HR Office team and the consultations were broadly organised, with the various administration units and the academics involved in the implementation of the Action Plan 2015-2020. The individual parts of the Gap Analysis were consulted with the representatives of the administration units and the academics, and further developed. At the same time, the Action Plan 2015-2021 was analysed and updated, with the review of all the actions and updates on their status performed by the members of the Working Group and widely consulted. It was also decided to transfer the implementation of some actions in time to the next Action Plan, whereas some of them developed into new Actions,
- 6) the overview of the interconnections between the HR Strategy plans and the strategic projects led by the University (incl. the European University Alliance 4EU+, the EIRU program, the IPD, the Multi-Annual Plan, the Level Up project) in order to investigate how those programs can strengthen each other in a synergic way and thus to implement those synergies into the Action Plan 2022-2027,
- 7) the Gap Analysis preparation was based on a careful and detailed analysis of the University documents and regulations, the available data and also backed by the outcomes of the research on the academics conducted in December 2021,



- 8) using the information obtained during meetings organised by the European Commission, the National Contact Point and also during the meetings with colleagues from the universities belonging to the 4EU+ Alliance.

The final version was presented to the Steering Committee for discussion, comments and acceptance.

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

The University of Warsaw involves the academic community in several ways, by showing the actions and values connected to the Charter and Code.

- **Professional commitment**

The members of the Steering Committee and Working Group represent the academics and the administration staff of the UW; the interdisciplinary groups that prepared the Statute and other core documents of the UW were recruited from among the academics and the administration professionals who possessed a broad knowledge on the internal processes and its challenges.

- **Institutional commitment**

Each of the HRS4R (2015-2021, 2022-2027) have been approved by the Rector.

In the Statute of the University of Warsaw announced in 2019, the Charter and Code is referred to as a set of rules that the University follows.

- **Voice and impact**

In 2018 and 2021, the University of Warsaw conducted a survey among the academics on their views and experiences with the issues raised by the EChR. The response rate increased in the second survey and the outcomes were representative for the entire population of the academics.

In the preparation of the Gap Analysis and the Action Plan, the results of consultations with the academics were used, including consultations with the early stage researchers and teaching staff in Spring 2021, the SWOT analysis prepared for the EIRU, which used the results of the extensive consultations with the academics on the introduction of the science and higher education reform in 2018; the results of the workshops with the academics; the source materials obtained from the faculties and other units of the UW.

- **Horizontal solutions that support academic community**

As a part of implementing the HRS4R for 2015-2021, the University introduced:

- Welcome Point, a support centre for international students that currently expands its scope of activity to international researchers, offering a website containing all necessary information on the study or work at the University;
- an equality team that has created an equality website for the academic community with guidance, recommendations, useful information and online training and GEP



In 2019, the We Are All Equal social campaign was launched with the support of some educational videos and posters, and with the participation of the Academic Ombudsman, students, academics and vice-rectors of the University. The campaign presented the University as a safe and inclusive environment that supports diversity of its members and offers help in cases of discrimination. The campaign was presented under the award and values of the HR Excellence in Research. The videos and posters are still available online, as well as at the faculties and different units of the University.

The Academic Staff Competence Development Section, which provides a wide range of training courses and tailor-made programmes, exploits the results of a continuous survey of training needs and in-depth analyses when preparing programmes, e.g.: when preparing a programme for early stage academic teachers, workshops and individual interviews were conducted with potential participants, workshops with the persons responsible for the organisation of the didactic process in the units, and on the basis of these analyses, an expert team consisting of experienced educators created a model of competences for the early stage academic teachers at the University.

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

In compliance with the recommendations contained in the last Consensus Report of February 24, 2019, in order to increase the effective implementation of the Action Plan, the Steering Committee and the Working Group were appointed thus replacing the Charter and Code Implementation Committee. The Steering Committee consists of the representatives of the Rector's Board and the University scientists representing various disciplines responsible for supervising the implementation of the Charter and Code. The Working Group consists of both the scientists and the administrative staff responsible in their units for the implementation of the activities contained in the action plan.

Consequently, the separation of the implementation function from the supervisory function has been achieved and also it has been ensured that the Working Group includes members directly responsible for the activities carried out.

The Steering Committee members:

Chairperson: prof. dr hab. Sambor Grucza, Vice-Rector for Cooperation and Human Resources
 prof. dr hab. Zygmunt Lalak Vice-Rector for Research
 prof. Dr hab. Ewa Bulska - The University of Warsaw Biological and Chemical Research Centre (CNBCh UW)
 dr Artur Chełstowski - vice-chancellor for Economic Affairs
 prof. Dr hab. Wojciech Dominik - Centre of New Technologies UW
 prof. Dr hab. Paweł Stępień - Interdisciplinary Doctoral School



The Working Group for the European Charter for Researchers and of the Code of Conduct for the Recruitment of Researchers members:

Chairperson: dr hab. Julia Kubisa prof. ucz., Faculty of Sociology, Equality Unit

mgr Katarzyna Basisty – Office of Academic and Student Affairs;

mgr Grzegorz Bochenek – Office of University Advancement;

mgr Robert Grey – Acting Chancellor of the UW;

dr hab. Krzysztof Kilian – Centre of New Technologies UW;

mgr Diana Pustuła – Office for International Research and Liaison;

mgr Anna Sadecka – International Relations Office;

mgr Gabriela Sempruch – Office for Innovation in Teaching and Learning

dr Dominik Wasilewski – Office of Research Administration;

mgr Joanna Wąsowska – Office of Human Resources;

mgr Konrad Zawadzki – The University of Warsaw Biological and Chemical Research Centre (CNBCh UW)

mgr Justyna Sobolewska – representative of doctoral students

mgr Daria Rybicka- de Cock – secretary

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

The values of the Charter and Code are crucial for the UW, which is manifested in the Statute. They are inherently linked to the long-term strategies of the UW which focus on establishing the position of an internationally recognized, top ranked university in the CEE.

The UW ensures that its organisational policies are aligned with the HRS4R in several ways:

- The formal institutional regulations related to the HR field are aligned with the Charter and Code

An extensive system of the university-wide internal regulations, which consists of the resolutions of the UW Senate and ordinances of the Rector and other legal acts, which, before their publication in the UW Monitor, are examined for compliance with the University regulations and other regulations by the Rectorate Office. This system ensures that the introduced regulations are in accordance with the provisions of the Charter and Code.

- The strategic documents and programs related to the HR field are prepared and planned including the Charter and Code

As an example: EIRU During the preparation of the competition application, the actions envisaged in the Action Plan 2015 - 2021 were taken into account, as well as the actions resulting from the SWOT analysis carried out, considering the challenges and requirements in the area of HR management, thus ensuring the financial and human resources necessary for the implementation of any future actions.



How has your organisation ensured that the proposed actions would be also implemented?* (max 500 words)

The implementation will be ensured on three levels:

1. Experience in the implementation of the HRS4R for 2015-2021:

The University of Warsaw, as part of the implementation of the HRS4R for 2015-2021, established a number of new units responsible for the implementation of the activities declared in the strategy and employed staff members with the competences and experience appropriate to the implementation of these activities, thus showing full commitment to the implementation of the Charter and Code.

A team responsible for supporting the pro-equality measures was established (currently 3 persons), a team responsible for developing competences of academics (currently 3 persons), a Welcome Point team (currently 2 persons), the teams implementing strategic programmes with the HRS4R-related components, such as the IPD and the EIRU, were strengthened. There exist some plans to employ an individual counsellor to support the academic teachers in their career development.

The implementation of the activities, despite emerging difficulties, e.g. the reform of the higher education system in Poland, the Covid -19 pandemic, was continued without any interruptions, except for those forced by the pandemic. Thus it can be concluded that the actions undertaken so far by the University towards the implementation of the Charter and Code make further implementation of the activities likely.

2. Creation of a two-stage system of the implementation and monitoring, division of tasks, constant evaluation and regular assessment:

Following the guidelines contained in the Consensus Report, the University of Warsaw introduced a change in the method of managing the implementation of the declared activities by appointing two separate teams: the Working Group responsible for the implementation and the Steering Committee, with two vice-rectors as its members, responsible for monitoring and supporting the implementation. The teams were composed of people who are involved in the approval or implementation of the activities included in the Plan.

3. Integration and synergy with the strategic programs at the UW, in terms of actions and financing:

Furthermore, some attention shall be paid to the linkage of the activities proposed in the Plan with other strategic programmes implemented at the UW, such as: the EIRU, the IPD, the Multi-Annual Plan and the Level Up project. This linkage, which ensures their funding, and the fact that the persons coordinating the work in these programs have become part of the Steering Committee and the Working Group guarantees that the HRS4R is fully linked with the other activities undertaken by the University.



How are you monitoring progress (timeline)?* (max 500 words)

Each year the Working Group will prepare an annual overview on the implementation of the strategy and plans for next year and shall present it to the Steering Committee.

The actions for 2022-2027 are planned in two 3 years stages. The first stage is more detailed and will be evaluated at the phase of the next Internal Review. The summary preceding the Internal Review will allow for undertaking decisions on which actions shall be further developed, changed and what kind of actions could be added.

The progress of all actions will be monitored and evaluated during regular working meetings of the Working Group which will be organised on a quarterly basis and subsequently, by the Steering Committee that supervises the activity of the Working Group. The working meetings will be dedicated to regular updates, exchange of ideas and good practices, and mutual support in problems and tasks solving. The evaluation and planning will consider the outcomes of the horizontal surveys included in the Action Plan for different groups at the university (academics, PhD students, students, parents).

Each of the planned actions has its timing detailed to a semester or a quarter of the year. As a part of project management, during regular meetings held every six months, an overall update will take place in order to monitor the development of the actions, possible risks and problem solving. This will be supported by a Gantt chart with a description of each action.

How will you measure progress (indicators) in view of the next assessment?* (max 500 words)

The implementation of the Action Plan will be monitored with regard to the indicators and timetable which was accepted by the Steering Committee and the UW authorities. The progress will be measured according to the indicators and presented in an annual overview.

Each of the actions which were carefully prepared and discussed by the members of the Working Group has a set of indicators and targets to be achieved. They were prepared with regard to the nature of actions. The targets and indicators were formulated in the form of concrete numbers and outcomes which will allow constant monitoring and overall measurement of the progress. They also allow some modification and development during the next Internal Review. There are professional relations between the members of the Working Group and the Steering Committee, and the majority of the Working Group members are personally responsible for the implementation of the actions in the Plan. Thus the implementation of the actions will be monitored continuously by the Steering Committee members as part of their regular duties.

The regular meetings of the Steering Committee with the Working Group, held every six months, will allow to look at the implementation of the Action Plan in a broader perspective of the University's development. This shall provide an opportunity for any necessary updating of indicators and for monitoring their relevance to the HRS4R.



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

The preparation for the External Review will partly depend on the needs of the assessment team and their concerns raised prior to the meeting.

Preparations for the external review will consists of:

1. Report on the implementation of the Action Plan.
2. Collection of the university documents, reports, information on the processes and actions which result from the Action Plan (the links to the documents and information available on the websites have already been attached to the HRS4R).
3. Information on the experience and responsibilities of the Steering Committee and Working Group members.
4. Preparation for the audit site visit – the schedule of meetings with different stakeholders at the university which will allow for the presentation of variety of views and experiences on the implementation of the HRS4R, including:
 1. University authorities,
 2. Steering Committee, Working Group: workshops on presenting progress implementation, outcomes for the UW, embedding actions in wider UW strategies and links to other strategic programmes;
 3. Internal discussions with diverse representatives of the University community, with respect to gender, age and ethnicity diversity, different stages of careers (R1-R2 and R3-R4 groups of researchers), administration staff, trade unions, equality team:

Once the documents have been submitted through EURAXESS, an information campaign will be held at the University on the new HRS4R and the Action Plan.



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

Abbreviations:

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

EChR - European Charter for Researchers

EIRU - Excellence Initiative – Research University

GEP - Gender Equality Plan

HRS4R - Human Resources Strategy for Researchers

IPD - Integrated Programme for the Development

OTM-R - Open, Transparent and Merit-based Recruitment

SC - Steering Committee

UW - University of Warsaw

WG - Working Group

