TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review:

Uniwersytet Mikołaja Kopernika w Toruniu (Nicolaus Copernicus University in Toruń)

Organisation's contact details:

Lucyna Kejna, Nicolaus Copernicus University in Toruń, International Research Projects Office, Lucyna.Kejna@umk.pl, tel. +48 56 6114927 , ul. Gagarina 11, 87-100 Toruń

Web-link to published version of organisation's HR Strategy and Action Plan:
http://www.umk.pl/en/university/excellence-in-research/

Web-link to organisational recruitment policy (OTM-R principles):[45]
OTM-R NCU Checklist http://www.umk.pl/en/university/excellence-in-research/

SUBMISSION DATE TO THE EUROPEAN COMMISSION: 21.12.2017…………..…....……

1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	1230
Of whom are international (i.e. foreign nationality)	21
Of whom are externally funded (i.e. for whom the organisation is host organisation)	56
Of whom are women	531
Of whom are stage R3 or R4[1] = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	605
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	538
Of whom are stage R1 = in most organisations corresponding with doctoral level	0
Total number of students (if relevant)	0
Total number of staff (including management, administrative, teaching and research staff)	2812
RESEARCH FUNDING (figures for most recent fiscal year)	**€ *(exchange rate 4,2026 PLN)***
Total annual organisational budget	13 781 992
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,…)	4 907 081
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	7 403 441
Annual funding from private, non-government sources, designated for research	1 471 470

---

[1] http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

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

NCU is one of the largest and best universities in Poland, currently comprising 17 faculties (including 3 medical faculties at Collegium Medicum in Bydgoszcz). It provides graduate and postgraduate courses for almost 25000 students, offering education in over 100 fields of study and 65 postgraduate courses. The university employs 4039 staff on both Toruń and Bydgoszcz campuses, over half are academic teachers.

Excellent research infrastructure, modern teaching facilities and brand new University Sports Centre. NCU participates actively in international research projects and collaborations and is ranked by QS World University Ranking in the top 4% of universities in the world.

2. NARRATIVE (MAX. 2 PAGES)

1. Introduction

In 2015, Nicolaus Copernicus University received the HR Excellence in Research Award in recognition of the University's ongoing commitment to adopting the principles of The European Charter for Researchers and a Code of Conduct for the Recruitment of Researchers. The HR Excellence Award was received on the basis of the University Action Plan, which consisted of 5 general actions. Our actions were planned to be finalized by the end of January 2018. The completion of the 5 actions helped our internal legal environment, to a vast extent, to become consistent with the Principles of the EC Charter and Code. Implementation of the 5 internal legal acts, which were created during a 2 year period, commenced with establishing of 5 area working groups, each one responsible for one action. A Steering Team was established while applying for the Award, supervised by the Vice Rector for Research. Due to replacement on that position, the work in 5 area working groups started with a significant delay (Appendix 1). Introducing all 5 legal acts, which were the objective of the Action Plan, created an enormous change in NCU legal environment, and inspired consistency with EC Charter and Code.

We are aware of the fact that mid 2018 Polish Ministry of Science and Higher Education intends to introduce new Higher Education Act, which is the basic legal act for Polish Universities. Up to this moment, we do not know the final shape of this document. As a state funded institution, we operate in state of legal uncertainty. Therefore, we plan further actions concerning legal changes in our internal legal acts for 2019. This was the reason for the delay in the delivery of our actions and for probable introduction of changes to them in the future.

2. Key achievements and progress against original action plan.

Actions planned during application for the award were induced by the Gap analysis, which indicated areas insufficiently covered by our internal legal regulations.

a) ethical and equality principles

A Working Group was established. Within NCU Action Plan, we created our own **Ethical Code of Nicolaus Copernicus University in Toruń** (Appendix 2). A new document was introduced and announced by the University Senate, with prior consultation with University's stakeholders. The new Ethical Code raises subjects of research ethical principles, professional responsibility and attitude, accountability, good practice in research, but also non-discrimination and gender balance. It is important to mention that the Ethical Code addresses all academic environment; not only research staff, but also administrative and technical personnel.

b) Recruitment

In this area we planned two actions; therefore, we established two working groups;
- Working Group for creating unified **Researcher evaluation and assessment procedure** (Appendix 3), which proposed a legal act incorporating EC Charter and Code regulations (Judging merit, variation of the chronological order of CVs, recognition of mobility experience, recognition of qualifications, value of mobility). A new procedure was also introduced and announced by the University Senate. The new procedure unifies and objectifies the process of employee evaluation, it also recognizes diverse qualifications and experience of researchers including mobility, non-formal qualifications and cross-sector experience. We advise on using another tool we created while implementing the Action Plan, developed simultaneously in career development area, which is **Strategy for career development for researchers.** The new procedure helps to judge researcher's accomplishments and activity in academic life, but it also can estimate employees soft competences and plans providing proper support.
- Working Group for introducing amendments to the **Resolution on human resources policy** and academic staff recruitment (Appendix 4, term "Personal Policy" used in translation). Recruitment procedures recognize diverse qualifications and experience of researchers including mobility, non-formal qualifications and cross-sector experience. Aforementioned

Resolution, to large extend, addresses EC Open Transparent Merit-based Recruitment policy. No separate document on OTM-R, at this stage, exists in our University. We have published NCU OTM-R Checklist and in our new Action Plan are working to incorporate it to our HR Policy.

c) working conditions and social security

Initial NCU Gap Analysis, identified one area requiring improvement, i.e. IT safety and data protection. Although "Good practice in research" (point 7 in Gap Analysis Template) was placed in "Ethical and equality principles", the Working Group bracketed it to "Working conditions and social security", for it required University's actions providing scientists with proper tools and legal frames to exercise their work. The rule describes obligation for researchers, who should adopt safe working practices, including taking precautions for recovery from technology disasters, e.g. by preparing back-up strategies. As the employer, NCU delivers proper legal and technological solutions and tools for research data safety. Within this action, the Working Group for creating **NCU Web Protection Policy** (Appendix 5), introduced an internal legal act, announced by the Rector. This document covers, to a large extent, the requirements for safety of research data storage and repositories, it also describes the procedures of protecting data.

d) training and development

While creating the Action Plan, the Working Group identified insufficient access to career advice and possibility of career development (28,30). One of the actions planned for the initial 2 year post awarding phase, was creating **Strategy for research career development** (Appendix 6). Working Group created a tool that can be used at every stage of career, we recommend using it during **Researcher evaluation and assessment procedure.** The Strategy for research career development helps to identify and assess employees soft competences with a clear descriptive scale and suggest tailored support.

3. Self assessment, monitoring and evaluation

The overall responsibility for implementation and monitoring of the Action Plan lies with the Steering Team.

All actions implemented during 2 post award years were summarized by designated Working Groups and monitored on on-going basis by the Overarching Working Group (Appendix 1). There was also an internal assessment by internal auditor assisted by the Steering Team planned for January 2018. All deliverables from the Action Plan were also controlled by the University's legal advisors (legal assurance). All legal regulations, which were created during the Action Plan, were discussed and voted on by the University Senate (constitutive body consisting of all employee groups).

4. Next Steps and Focus Going Forward

NCU has achieved all objectives set out in the first Action Plan. All of them were targeted to embedding The Charter and Code rules into our internal legal environment. It is one thing to create a good law, the another is making it operational. Although we constantly try to improve our legal solutions, especially when it comes to Open Transparent and Merit-based Recruitment, during forthcoming 3 years, we will also concentrate on soft actions such as raising awareness and publishing results. The main focus areas include:
- Regulation on HR Policy – we plan to incorporate four major aspects of researchers' employment; recruitment (OTM-R), employment, evaluation and research career support, into one document (due to Higher Education Act not earlier than 2019)
- Introducing HR Excellence to NCU's Strategy
- Introducing ethical spokesperson
- Raising awareness, publishing actions, workshops
- Introducing new areas to electronic employee survey, which will cover all aspects of EC Charter and Code
- Introducing IT solutions for protecting research data

3. ACTIONS

Please consult the <u>list of all actions</u> you have submitted as part of your HR strategy. Please add to the overview the <u>current status of these actions as well as the status of the indicators</u>. If any actions have been altered, omitted or added, please provide a commentary for each action.

All five actions introduced by the initial Action Plan were <u>completed</u>. Monitoring and consultations, ran simultaneously, showed necessity of introducing further actions to be implemented during upcoming 3 year period. All actions listed below serve for embedding EC regulations (The Charter and Code, OTM-R Policy) in the NCU legal environment and day-to-day practice. This is in fact NCU updated action plan.

Title action	Timing	reponsible unit	indicator/target/comment	current status
Ethical and proffesional aspects				
1. Introducing Ethical Code of Nicolaus Copernicus University (original action plan)	I quarter of 2017	Working Group on Code of ethics	A new document was introduced and announced by the University Senate, with prior consultation with University stakeholders. New Ethical Code raises subjects of research ethical principles, professional responsibility and attitude, accountability, good practice in research, but also non-discrimination and gender balance	completed
2. Appointment of Ethical Spokesperson (new)	III quarter of 2018	Board of Rectors	Working Group on Code of Ethics in their monitoring notes indicated that Ethical Code is just a document unless the rules are exercised and guarded. The main task of spokespersons for ethics will be periodical monitoring on compliance with ethical regulations. Spokesperson will be accountable to the Board of Rectors or appropriate University Senate commission	action required

3. Awerness action on Ethical Code of Nicolaus Copernicus University (new)	continuous action	Ethical Spokesperson	This action will raise awareness of the role of ethics in research (in medical disciplines, but also research integrity matters relating to falsification or plagiarism) and will help embedding good research practice into the culture of academic society (e.g. publishing information packages, developing workshop)	action required
Recruitment				
4. Creating unified Researcher evaluation and assessment procedure (original action plan)	IV quarter of 2017	Working Group on researcher evaluation procedure	Creating new unified procedure of academic staff assessment and evaluation procedure. The new procedure gathers all University regulations (up to this moment each faculty had their own template and procedure requirements), it also recognizes diverse qualifications (Judging merit, variation of the chronological order of CVs, recognition of mobility experience, recognition of qualifications, value of mobility)	completed
5. Introducing amendments to the NCU Resolution on HR policy and academic staff recruiment (original action plan)	II quarter of 2017	Working Group for introducing amendments to the Resolution on human resources policy	Resolution no 9 made on 22/01/2013, last update 12/2017. Proposed amendment introduces diverse qualifications and experience of researchers, including mobility, non-formal qualifications and cross-sector experience to recruitment procedure recognition	completed

6. Combining all aspects of researchers' employment into one HR policy (new action)	by the end of 2020 (depending on the introduction of new Higher Education Act by the Ministry)	Working Group for introducing amendments to the Resolution on human resources policy	Regulation on HR Policy – we plan to incorporate four major aspects of researchers' employment; 1. recruitment, incorporating OTM-R to NCU policy to the fullest, 2. employment, 3. evaluation and 4. research career support, into one document (due to Higher Education Act not earlier than 2019)	action required
7. Awareness action on OTM-R (new action)	2018 ongoing	Rector for Student Affairs and Staff Management	Developing workshop and publishing materials for staff responsible for recruitment procedure at the faculty and central level. Feedback from the workshop will help to enrich our own recruitment procedure and introduce it NCU Regulation on HR Policy (see point 6 above)	action required
8. Introducing HRS4R to NCU Strategy (new action)	end of 2020	Board of Rectors	Introducing ideals of The Charter and Code to Universities legal reality will help to embed it. Entering HRS4R Action Plan to NCU strategy will make it more recognizable and will ensure it's implementation.	action required
working conditions and social security				
9.Creating NCU Web Protection Policy, introduced a internal legal act, announced by the Rector.	mid-2017	Working Group for creating NCU Web Protection Policy	Before introducing NCU Web Protection Policy, no distinctive regulation existed at the University. Policy provides scientists with proper tools and legal frames to exercise their work and protect their research data by electronic means.	complete

10. Consultation and monitoring of the Action Plan, repeating GAP Analysis	end 2020 continuous action	Quality Assurance Commission	During our HRS4R consultation we have used a survey on employee satisfaction run yearly by the Quality Assurance Commission. We wish to expand the survey in order to receive more information on complying with The Charter and Code requirements.	work in progress
11. Implementation of data backup creation on users' stationary working bases, preparing and publication of procedures for archiving research data, creating instructions and manuals for users, introducing pilot workshop on archiving research data for scientists.	end 2020 continuous action	University IT Center (UCI)	Researchers' expectation of better research data protection, archiving, also responding to Open Science requirements, make university create new procedures and train employees on these aspects. At the end of the 3 year period we plan to have published manuals on creating backup, archiving and run a pilot workshop.	work in progress
Training and career development				
12. Creating **Strategy for research career development**. Working Group created a tool that can be used at every stage of career, we recommend using it during **Researcher evaluation and assessment procedure.** The Strategy for research career development helps to identify and assess employees soft competences with a clear descriptive scale and suggest tailored support.	mid -2017	Working Group for creating Strategy for research career development	New document was introduced and announced by the University Senate, with prior consultation with University stakeholders. This is a completely new solution introduced at the University, assessing soft competences of the employee, during periodical evaluation, helps to choose a form of support of the employee (e.g. training, secondment, support to publication, help in applying for additional funds).	complete
13 Monitoring and assessment of the Strategy for research career development.	end 2020 continuous action	Working Group for creating Strategy for research career development	Introducing Strategy for research career development to employment and worker assessment procedure is a new solution. We are not sure of the outcome, usefulness of the solution. It will be monitored (through the survey mentioned above) and altered when required.	work in Progress

8

Comment on the implementation of Open, Transparent, Merit-Based Recruitment principles: NCU has not published separate OTM-R Policy. We have published our **OTM-R Checklist**, which shows that our recent Regulation on Human Resources Policy incorporates most of the guidelines presented in the EC OTM-R Report. In the next 3 years we plan to combine our regulations concerning: recruitment (from advertising phase), employment, evaluation and research career support into one document. Our intention is to incorporate OTM-R guidelines to the fullest and to stay in line with the principles of the Code of Conduct for the Recruitment of Researchers and OTM-R policy.

4. IMPLEMENTATION (MAX. 1 PAGE)

The two year self-assessment has involved consultation with the University's research staff, mostly by the yearly run survey, which is a part of a quality assurance policy, but also was overseen by the chairs of all thematic Working Groups and Overarching Working Group (see attachment). The survey helps to identify trends and issues arising among academic society, especially researchers. The Overarching Working Group oversees the process regularly.

There was also the last assessment and monitoring action planned for January 2018. It is an internal auditor monitoring led with assistance of Working Group Chairs and Vice-Rector for Student Affairs and Staff Management. Report Summary will be also published on our web site.

We are aware that embedding HRS4R regulations in NCU internal legal acts is just a start, because we need to exercise them in our institution's everyday life. As legal acts created and introduced through the Action Plan become more operational and widely used at the NCU, we will be able to assess to what extend we have adopted the ideals of the Charter and Code. HRS4R has already great influence to our policies, it was mentioned in our Quality Assurance Policy. In the Revised Action Plan we intend to incorporate HRS4R to NCU Strategy.

Till this point academic staff were involved in Action Plan mostly as consultants of the legislative procedure (through survey and representatives in Working Groups and Senate). Actions planned in forthcoming three year period intend to involve scientific staff more intensively. Apart from the legal changes still planned and brought forth by the change to Higher Education Act (planned for mid-2018), we plan soft actions, raising awareness, publishing information on EC Charter and Code and OTM-R aspects. They will also be involved in courses on IT security and protecting research data.

Involving NCU Researchers requires making adaptations where necessary within the bounds of the Action Plan or negotiating with action owners to find successful solutions. The commitment to continuous improvement that the HRS4R requires collaborative effort, consistently requiring attention and revision of the planned actions. This will involve monitoring actions from the Overarching Working Group.

In forthcoming three years new actions will be introduced and much work is planned. External Review planned at the end of that period is already to be anticipated. Apart from completing the internal review as per the requirements and placing all documentation on the NCU website, we will provide an agenda of the reviewers visit, specifying times, meetings locations and the names of people, including: Working Groups members, senior management, research staff and PhD students. During the visit there will be a campus tour to showing our research centers and facilities. NCU will provide an office or workspace for the reviewers to use and have copies available of any documents or resource materials if requested. We will arrange for staff and PhD students to have lunch and/or dinner with the reviewers if required.

Appendix 1 – Order on creating working groups
Appendix 2 – Ethical Code of NCU
Appendix 3 – Periodical Evaluation Procedure
Appendix 4 – Resolution on human resources policy
Appendix 5 – Computer network safety policy
Appendix 6 – Strategy of Career Development