

Initial Assessment - EC Consensus Report

Case number: 2020PL573903

Name Organisation under assessment: Lomza State University of Applied Sciences

Submission date of initial GAP-Analysis, HR Strategy and Action Plan: 12/11/2021

This report was drafted by the Lead-Assessor in consensus with the members of the assessment team

Submission date: 10/03/2022

Deadline: 10/05/2022 (You can request an extension 1 month(s) before the task deadline)

Eligibility assessment

Please rate the state of achievement ("yes", "no" or "partly"). If any statements have prompted a "no" or "partly" in the evaluation, please provide recommendations:

	YES / NO / PARTLY	Recommendations
Have the Strategy and Action Plan been published on the organisation's website?	YES	The HR Strategy is hosted on the web address: https://pwsip.edu.pl/badania/hr-excellence-in-research . However, the institution should have a special webpage dedicated to the HRS4R process more consistent. We recommend improving the information, showing clearly the LSUAS commitment and work on the process (e.g. insert Endorsement Letter, SC and WG composition, information of interest on C&C and HRS4R, link to pertinent internal research strategic documentation). In the other hand, there are very visible and notable differences between the website available in the English language, besides the one in the Polish language. So, the English HRS4R webpage needs to be updated with all information in order to be available for any interested party, for all non - Polish speaking citizens.

<p>Have the Strategy and Action Plan been published in English?</p>	<p>YES</p>	<p>Yes, Strategy and Action Plan are available in English, but see remarks above.</p>
<p>Have the Strategy and Action Plan been published in a visible place?</p>	<p>PARTLY</p>	<p>There is no reference in the home page of LSUAS about the HRS4R. For non-Polish speaking people it is difficult to navigate the website and reach the HRS4R page.</p>
<p>Have the following elements of the templates for the Gap Analysis and the HR Strategy and Action Plan been completed with sufficient details and quality?</p> <ul style="list-style-type: none"> • Gap Analysis • HR Strategy and Action plan <ul style="list-style-type: none"> ○ Organisational information ○ Strengths and weaknesses of the current practice ○ Actions ○ Implementation 	<p>PARTLY</p>	<p>Process description: The institution provides general information about the internal process for carrying out the Gap Analysis & Action Plan. However, there is no detailed information in terms of activities, agenda of the process, results and decision-making criteria. Gap Analysis: The level of detail of gap analysis needs to be increased, in many C&C principles information is missing. The narrative of gaps identification and of Strengths & Weakness is based on the results of an internal survey and doesn't consider other sources of information from stakeholders involved in the process. Analysis has to be enriched by identifying which ranges of researchers (R1 to R4) are concerned by each principle and their views and needs. The narrative needs references or links to national legislation, organisational regulations and internal practices or examples demonstrating the implementation of the principles. In some cases, the "fully implemented" principles are lacking evidence. The statements may include temporary references for the initiatives performed. Improve the coherence and alignment</p>

		<p>between the statements in OTM-R checklist and relevant C&C principles. HR Strategy and Action plan The description of proposed actions and their responsible is too generic. The action number is not related with the principle one but with the result of the gap analysis (see remarks above). Not all gaps from OTM-R Checklist are covered by the actions proposed. Each action needs specific timing (e.g. quarter/semester). To ensure quality and effectiveness of the action plan it is important to have carefully planned the process and to assign responsibility of actions to pertinent roles/positions who can push the process and report on implementation. Gender is not considered, whereas the organisation is clearly gender unbalanced. Their level of internationalisation is also very low with no action for filling the gap. Implementation process There is not information about frequency of Supervisory Committee frequency meetings. The organisation in place must allow the Committee to oversee the process via regular reporting meetings with the Working Group. LSUAS may states how the HR implementation will be coordinated and embedded in everyday activities through the working group and involving other boards or scientific committees.</p>
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Quality assessment

The quality assessment evaluates the level of ambition and the quality of progress intended by the organisation.

Rate the state of achievement ("yes", "no" or "partly"). If any statements have prompted a "no" or "partly" in the evaluation, please provide recommendations:

	YES / NO / PARTLY	Recommendations
Is the organisational information provided sufficient to understand the context in which the HR Strategy is designed?	YES	
Is the Action Plan coherent with the Gap Analysis?	PARTLY	It is not very clear how the Action Plan was decided. There are principles rated with high scoring and actions were assigned to them (e.g. principle 3 Professional responsibility, rated 4.8, for which Action 1 was proposed) and principles with low scoring but no action was considered and included in the Action Plan (e.g. 4. Professional attitude or 36. Variations in the chronological order of CVs, both rated 4.3). Update the action plan to address all identified gaps/weaknesses. Describe the content of each action in order to be operational and provide evidence of their coherence with the gap analysis.
Have a steering committee and working group been established to guarantee the implementation of the HRS4R-process?	PARTLY	The Principles of C&C and HR Strategy impact the institutional strategy and the operational processes so is highly recommended that the Implementation Team/Working Group includes a wide range of actors at the institution. Consider including the Rector in the SC to actively support and sponsor the HR process. Information on how Supervisory Committee are working and interact with the IT/WG (meeting, frequency, decision-making, update researcher's approval) should be mentioned.
Has the research community been sufficiently involved in the process,	YES	The career stage of researchers involved in SC and WG should be indicated in

	YES / NO / PARTLY	Recommendations
with a representation of all levels of a research career?		order to demonstrate the involvement of all career stages (R1-R4).
Are the relevant management departments sufficiently involved in the process so as to guarantee a solid implementation?	YES	Members from management departments are integrated. However, in some cases there are too many units responsible per action. Only one leading responsible should be appointed for each action. If possible, WG may also can benefit from the support of technical departments (e.g. Quality, Research & International Cooperation Section, Career's Office).
Have adequate targets and indicators been provided in order to demonstrate when/how an action will be/has been completed?	PARTLY	The action plan must increase the uptake of impact relevant indicators with pertinent and feasible targets. This is strongly linked to the operational description of the scope of actions. The time-frame as "continuous" should be revised and improved in more exact time-frames.
Is the organisation establishing an OTM-R policy?	NO	OTM-R checklist is completed. Though there are suggested actions in the Action plan in order to improve the selection and appointment phases, there is not an action for drafting the OTM-R policy. OTM-R self-assessment report sounds overly optimistic and even sometimes contradicting (for example, with regard to publish an OTM-R policy or to be in line with policies to attract researchers from abroad). OTM-R self-assessment report needs to be updated to better reflect the current situation and additional actions may be needed to address the gaps.
Are the goals and ambitions sufficiently ambitious considering the context of the organization?	PARTLY	A more ambitious action plan in line with the expected benefits of the HR implementation process and integrating innovative research practices and policies may be drawn to respond to the needs of all ranges of researchers. The timeline covers just 2-3 years and there is no balance between short-term and long term actions. LSUAS should have

	YES / NO / PARTLY	Recommendations
		objectives at 5y for having a better implementation of the AP.

General Assessment

Accepted

Pending **minor** modifications

Pending **major** revisions

Explanation

- **Accepted: This application meets the criteria and the HR award is granted.**
The assessors might have commented on your file asking for future focus on a particular aspect/criterion, so please refer to the comments given above.
- Pending **minor** modifications: This application **broadly meets the criteria**, but the assessors have some concerns/questions about specific areas/criteria. Please reflect about the feedback given above and update your file before **re-submitting within 2 months**.
- Pending **major** revisions: This application does not meet the criteria; please make the appropriate changes taking into account the comments of the assessors before **re-submitting within 12 months**.

General Recommendations

If any of the above statements have prompted a "no" in the evaluation, please provide suggestions of modifications in the form below.

If the general assessment is:

- "pending minor modifications" the recommendations are split into:
 - Immediate mandatory modifications (to be implemented in order to obtain the award, resubmission within 2 months)
 - Other modifications (to be carried out during the implementation phase).
- "pending major revisions" the recommendations are split into:
 - Mandatory modifications (in order to obtain the award, resubmission within 12 months)
 - Other modifications.

Immediate mandatory modifications

General:

- Create a direct link from the home page towards HRS dedicated page and update the English version with detailed presentation/ explanation HR Strategy contents and documents.
- The main recommendations and HRS4R actions should be integrated into the strategic plan, among other strategic issues for the institution. The institution must ensure institutional support, engagement and alignment with the internal strategy.
- Provide the level of researchers involved in the different working groups (SC, IT).
- Provide evidence that researchers from all levels committed with the gap analysis and Action plan.

Gap Analysis:


- Increase the level of detail in gap analysis, by: clearly and explicitly state the found gaps, and by providing more references to support the statuses of implementation of the C&C principles.

Action Plan and OTM-R:

- Revise the low scoring principles and reorganize the Action Plan Accordingly with Gap Analysis and OTM-R checklist, with use of quantitative indicators and proper timing;
- Provide more detailed in the aspect of Organisational information: organization's departments and R&D structures (e.g. Senate Scientific Research Ethics Committee), and their relation to external (regional and national) stakeholders;
- Provide operational description/ organisation:
 - 1 action, sub actions, indicators/ sub actions. Current AP is too "generic"
 - 1 action, 1 responsible for implementation with adequate timing (continuously is not a delay)
- Improve the coherence and alignment between the statements in OTMR checklist and relevant C&C principles. OTM-R self-assessment report and Recruitment & Selection analysis are sometimes contradictories in terms of state of play and responsibilities. OTM-R self-assessment report needs to be updated to better reflect the current situation and additional actions may be needed to address the gaps. Indicators for OTM-R needs to be defined.

Other modifications *

- The HR implementation process has to be spread & embedded into the institution and all its stakeholders.
- The institution has to ensure that internal procedures and documents are accessible international to attract researchers from abroad. There is a need to develop accessible information in national languages and English, clearly visible for researchers internally and externally.
- Organisational rules to engage the OTM-R principles and practices must be developed. The institution Strategic Plan may be aligned considering the OTM-R Policy and principles in the short term to enhance its international attractiveness.
- Gender equality and promotion of mobility policies may be drafted and developed.
- Add long-term actions with strategic impact to the action plan (long term goals and short term goals)
- Networking with other Polish organizations implementing the Charter and Code is suggested to benefit of mutual experiences.
- Consider including Responsible Research and Innovation (RRI) policies (e.g. Open Access) and practices in the organizational strategic development.
- The institution has an opportunity for aligning and integrating the HR activities into the Quality Assurance & Sustainability processes (e.g. ISO 9001)

If the organisation deserves to be commented on their ambition, their actions, evidence of good practice and/or their implementation process, please provide a commentary supporting this. (max. 2000 words) 

- Despite of the small size and the mission of the Lomza State University of Applied Sciences, the decision to implement of the Charter & Code principles is laudable.
- LSUAS shows a strong commitment to the HR strategy and the pursuit of quality results as part of its Strategic Plan for 2021-2030.
- Gap Analysis mainly relies on survey results, which is positive.
- The use of EURAXESS for publishing all job announcements is notable.
- Excellent involvement of the community in GA!
- The institution should be commended on many achievements made so far, and the ambition to improve some weaknesses in the future. It will be nice to see the progress of the institution in the future, which needs to be encouraged.