

## ACTION PLAN

**Case number:** 2020CZ477972

**Name Organisation under review:** Institute of Atmospheric Physics of the Czech Academy of Sciences

**Organisation's contact details:** Boční II 1401, 141 00 Prague 4, Czech Republic

**SUBMISSION DATE:** 6.1.2021

### 1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures for your organisation. Figures marked \* are compulsory.

<b>STAFF &amp; STUDENTS</b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	64,55
Of whom are international (i.e. foreign nationality)	5,15
Of whom are externally funded (i.e. for whom the organisation is host organisation)	0
Of whom are women	19,45
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	42,30
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	8,25
Of whom are stage R1 = in most organisations corresponding with doctoral level	14,0
Total number of students (if relevant)	-
Total number of staff (including management, administrative, teaching and research staff)	86,55
<b>RESEARCH FUNDING (figures for most recent fiscal year)</b>	<b>€</b>
Total annual organisational budget	4 158 356
Annual organisational direct government funding (designated for research)	2 678 808
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	1 371 562
Annual funding from private, non-government sources, designated for research	91 235
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p>The Institute of Atmospheric Physics of the Czech Academy of Sciences (IAP) belongs to the foremost national research institutions. The subject of its activities is scientific investigation of the atmosphere in its whole vertical extent, its interactions with other geospheres and with the society, the investigation of the magnetosphere and the cosmic space with focus on the solar system, monitoring and special measurements, data evaluation and their transfer into worldwide data networks, and the development of special apparatuses.</p> <p>IAP is divided into five research departments and the Technical and Economic Management. In addition to this, the Institute runs 5 observatories.</p>	

## 2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>- IAP provides sufficient research freedom to its employees</li> <li>- Ethical principles are fully implemented in accordance with the Code of Ethics for Researchers of the CAS</li> <li>- IAP's employees observe all conditions of professional approach to the work on projects</li> <li>-IAP's internal documentation encompasses all legislative requirements regarding the activities of a public research institution</li> <li>- IAP has qualified administrative staff to support researchers</li> <li>- The issues of discrimination and equal opportunities are dealt with in the internal rules which are in harmony with national regulations, and the researches do not perceive this principle as a problem one</li> </ul> <p><b>Weaknesses</b></p> <ul style="list-style-type: none"> <li>- An all-Institute documents on the Institute's long/tern strategic aims is missing</li> <li>- Systematically performed and unified outward presentation of the Institute is missing</li> <li>- The presentation of research results to lay public is not solved systematically and is based on the individual approach of each researcher or department</li> <li>- The procedures for possible cooperation with the commercial sector are not formally set</li> <li>- The majority of important internal documents are not available in English</li> </ul>

	<ul style="list-style-type: none"> <li>- There is no unified system of annual appraisal of employees by their superiors which would motivate them and thus influence their work performance</li> <li>- Managerial abilities of the heads of departments need strengthening</li> <li>- The agenda for sharing information across the individual departments is missing; no unified form of communication strategy is set (it depends on individuals; support from the Institute is low)</li> </ul>
<p>Recruitment and selection</p>	<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>- The recruitment process is in harmony with the Labour Code</li> <li>- The recruitment process is comparable to that of similar organizations in the Czech Republic and abroad</li> <li>- Applicants for jobs at IAP are not discriminated on the basis of age, sex, religion, nationality, ethnic origin, disability, political opinions, or economic background</li> <li>- IAP is able to recruit and train the necessary number of researchers and administrative and technical staff members for its operation</li> <li>- An interruption of an applicant's career does not influence his/her evaluation; the applicant's qualities are evaluated according to his/her professional history and performance</li> <li>- Mobility experience is considered to be an important benefit to researcher's career, foreign experience is perceived as a possibility for strengthening international cooperation and the competitive ability of work teams</li> <li>- The recognition of qualification is sufficiently transparent; every newly hires researcher is made acquainted with Board Certification and Career Development Rules of the CAS</li> <li>- Low employee fluctuation</li> <li>- A new position of the personnel specialist who will assist in choosing new employees</li> </ul> <p><b>Weaknesses</b></p> <ul style="list-style-type: none"> <li>- There is no unified document to sum up recruitment rules and selection and adaptation procedure across the individual departments</li> </ul>

	<ul style="list-style-type: none"> <li>- Vacancies are not always published in the international form (EURAXESS)</li> <li>- The number of employees depends, to a large degree, on grants obtained and projects, that's why it is difficult to plan it from the long-term point of view</li> <li>- Job/qualification description is usually missing, including clearly defined competences</li> <li>- Feedback is not always provided to applicants for job</li> <li>- There are no separate career development rules of IAP</li> <li>- Absence of HR strategy (partially due to the fact that the success rate of grant projects cannot be foreseen, as well as due to lack of applicants with the required qualification and education at labour market)</li> </ul>
Working conditions	<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>- The observance of working conditions is guaranteed by the Czech legislation and by CAS Career Development Rules; they are also defined by the Collective Agreement</li> <li>- The researchers are provided with equipment comparable to international standards</li> <li>- IAP's employees are offered the possibility of working part-time</li> <li>- IAP supports women involvement in senior positions, and enables to harmonize family and career by offering part-time jobs, home office and flexible working hours</li> <li>- IAP's employees are offered the possibility of home office if they are interested in it and their position enables it</li> <li>- Researchers from V4 level up have indefinite contracts, which increases employment stability</li> <li>- A new, fully electronic financial system for handing on and administration of financial documents and travel expense reports</li> <li>- Teaching at universities is perceived as an important part of researchers' job; IAP enables its employees teaching at universities thanks to the possibility of organizing one's working hours as needed</li> <li>- The Electoral Regulations of Institute Board guarantees that any researcher from V3 level up may vote and be elected to Institute</li> </ul>

	<p>Board, which assures the participation of everybody in the decision-making process</p> <p><b>Weaknesses</b></p> <ul style="list-style-type: none"> <li>- Well-arranged and comprehensive Career Development Rules are missing</li> <li>- Grant and project sources are too an important part of the salary compared to the guaranteed salaries, which may influence the stability of work teams</li> <li>- Information on mobility project invitations is not spread systematically and effectively</li> <li>- The complaint filing procedure is not defined; no impartial ombudsman is appointed to solve disputes and complaints</li> <li>- No standardized process of passing on information for newly hired employees is in place; a manual for newly hired employees to include both legislative norms and good practice examples (co-authorship, methods of handling the results of scientific research etc.) is missing</li> <li>- The Working environment at IAP is not fully bilingual; English courses are lacking, especially for administrative and technical staff</li> </ul>
<p>Training and development</p>	<p><b>Strengths</b></p> <ul style="list-style-type: none"> <li>- A functional system of specialized seminars for sharing of results of research work</li> <li>- Regular meetings to solve current problems within the top management (director of the Institute + heads of departments + scientific secretary + deputy director + a trade unions representative) – Board of Directors</li> </ul> <p><b>Weaknesses</b></p> <ul style="list-style-type: none"> <li>- A comprehensive system of further professional development, connected to internal appraisal of employees, is missing</li> <li>- An official position of mentor for newly hired researchers is lacking, especially at lower levels of researcher’s classification</li> <li>- Systematic regular employee appraisal so as to strengthen feedback is missing</li> </ul>

	<p>- The possibility of professional trainings is missing, and/or information of their existence is not spread systematically (team management, managerial competences, time management, presentation skills for popularization etc.)</p> <p>- Deficiencies in the sphere of senior staff's managerial abilities are obvious</p>
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### 3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

\*URL: [www.ufa.cas.cz/en/projects/hr-project/](http://www.ufa.cas.cz/en/projects/hr-project/)

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

<b>Proposed ACTIONS</b>	<b>GAP Principle(s)</b>	<b>Timing (at least by year's quarter/semester)</b>	<b>Responsible Unit</b>	<b>Indicator(s) / Target(s)</b>
<i>Free text -100 words max</i>	<i>Retrieved from the GAP Analysis</i>			
<b>1) Setting of the Institute's strategy</b> (divided into several parts – research strategy, international cooperation strategy, HR management strategy etc.) Defining visions, IAP's mission	4	2Q/2022	The institution's management- the Director in cooperation with the heads of departments and the Technical and Economic Management	Document (comprehensive conception)
<b>2) Setting and unification of internal communication</b> a) Agenda for sharing of information on	2, 25, 32, 34, 36, 37	a) 2Q/2021 b) 2Q/2021 c) 3Q/2021	a) Project Department (Technical and Economic Management) in cooperation with scientific secretary	a) Section on the Institute's website b) Document c) Internal regulation

<p><i>projects and subsidy/grant possibilities</i></p> <p><i>b) Description of conflict solving process</i></p> <p><i>c) Setting of the management / guidance system (frequency of meetings, passing on information, escalation of problems etc.)</i></p>			<p><i>b) Personnel specialist together with the Institute's management and the trade union</i></p> <p><i>c) The director with the heads of departments</i></p>	
<p><b>3) Creation of an internal appraisal system, including unification of the remuneration system</b></p> <p><i>a) Creation and setting of a unified appraisal system, and creation of recommendations (a manual) on appraisal for senior staff</i></p> <p><i>b) IAP Career Development Rules – questionnaire survey, whether the need of a separate career development rules is perceived. A synopsis of the CAS Career Development Rules should be made available to the employees on the intranet.</i></p> <p><i>c) Distribution of bonuses – creation of a list of activities which should be</i></p>	<p>11, 26, 28, 33, 36, 40</p>	<p><i>a) 4Q/2021</i></p> <p><i>b) 1Q/2021</i></p> <p><i>c) 3Q/2021</i></p>	<p><i>a) Heads of departments together with personnel specialist</i></p> <p><i>b) Personnel specialist in cooperation with Technical and Economic Management</i></p> <p><i>c) Heads of departments in cooperation with personnel specialist</i></p>	<p><i>a) Internal regulation on regular appraisal, Manual for appraisal officers</i></p> <p><i>b) Result of the questionnaire survey, a document on the intranet</i></p> <p><i>c) Document – recommendations for senior staff</i></p>

<i>reflected by the bonus (in the form of recommendation)</i>				
<p><b>4) Processing of the recruitment and adaptation procedure</b></p> <p>a) Standardization of rules for the recruitment process</p> <p>b) Information on vacancies on the website of the Institute, the CAS, and at Euraxess, possibility of making use of social networks</p> <p>c) Training in recruitment</p> <p>d) Manual for newly hired employees</p>	4, 12, 13, 14, 15, 16, 17, 18, 21, 30, 40	<p>a) 2Q/2021</p> <p>b) 1Q/2021</p> <p>c) 3Q/2021</p> <p>d) 2Q/2021</p>	<p>a) Personnel specialist in cooperation with heads of departments</p> <p>b) Personnel specialist</p> <p>c) Personnel specialist</p> <p>d) Personnel specialist in cooperation with work team</p>	<p>a) Internal regulation, description of recruitment and selection process, including templates for publication of advertising for vacancies</p> <p>b) Published vacancies in the archive</p> <p>c) Courses in progress, attendance list</p> <p>d) Manual</p>
<p><b>5) Setting of a unified outward presentation</b></p> <p>a) Creation of communication and marketing strategy</p> <p>b) Popularization strategy</p> <p>c) Acquisition of new equipment for the popularization of research outputs</p>	8, 9	<p>a) and b) 4Q/2021</p> <p>c) 2Q/2021</p>	<p>a) Work group – popularisers in cooperation with Technical and Economic Management</p> <p>b) Work group – popularisers in cooperation with Technical and Economic Management</p> <p>c) Work group – popularisers in cooperation with Technical and Economic Management</p>	<p>a) Document – strategy</p> <p>b) Document – strategy</p> <p>c) Planeterra device, retrofitting the lecture theatre at the Milešovka meteorological observatory</p>
<p><b>6) Interconnection with the commercial sector - drawing up rules for the cooperation with the commercial sector</b></p>	8	2Q/2022	The Technical and Economic Management Department in cooperation with the director and the heads of departments	Document – internal regulation

<p><b>7) Proposing the possibilities of further education of researchers, including career development</b></p> <p><i>a) Making up a list of trainings, spheres that can be passed through, possibilities of internships, summer schools etc.</i></p> <p><i>b) Earmarking of resources for funding – formation of an “education fund” according to the interests and needs of each employee; the head of department will be the guarantor of suitability and usefulness</i></p>	<p>30, 37, 38, 39</p>	<p><i>a) 2Q/2021</i></p> <p><i>b) 2Q/2021</i></p>	<p><i>a) Work group</i></p> <p><i>b) Financial preparation of the Technical and Economic Management Department</i></p>	<p><i>a) Document – spheres of training</i></p> <p><i>b) Document regulating the procedure of use of the education fund</i></p>
<p><b>8) Bilingual institution</b></p> <p><i>a) Translation of internal documents into English</i></p> <p><i>b) Language courses for the administrative staff</i></p> <p><i>c) Bilingual Czech-English website</i></p>	<p>10, 24</p>	<p><i>a) 1Q/2021</i></p> <p><i>b) 3Q/2021</i></p> <p><i>c) 2Q/2021</i></p>	<p><i>a) Technical and Economic Management, work group</i></p> <p><i>b) Technical and Economic Management,</i></p> <p><i>c) Webmaster</i></p>	<p><i>a) Publication of the translated documents on the institution’s website</i></p> <p><i>b) Courses in progress, attendance lists</i></p> <p><i>c) Link to the English version of the webpage</i></p>

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

In 2019, the new position of a personnel specialist was filled. In previous years, these activities were performed very unsystematically, and the recruitment process has not been treated and recorded anywhere in a way that a unified procedure may be given for all the departments of the institution. The recruitment has followed the requirements of the CAS. Within the Open Recruitment Policy setting (action no. 4), we shall create a description of the recruitment procedure, binding instructions for the recruitment of new employees, we shall provide the possibility of professional trainings for members of selection committees, and we shall set rules for the publication of new open vacancies both on webpages of the institution and other scientific websites and on the Euraxess web portal, both in Czech and in English. A synoptic manual for newly hired employees will be created to contain all necessary information, which the employees will be given upon commencement of employment, both general administrative information and information necessary for the activities of a researcher. Both the recruitment procedure and the manual for new employees will be published, in Czech and in English, on the institution's webpage, so as to provide information to the applicants for jobs as well as to newly hired and existing employees.

As stated in OTM-R Checklist, many principles of OTM-R policy have already been practised in the institution, though without being recorded and codified anywhere. We would like to cover this undescribed field and to include these procedures in the new recruitment instructions within action no. 4 of the Action Plan.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

#### **4. IMPLEMENTATION**

General overview of the expected implementation process:

Within GAP analysis, 8 spheres were identified which our institution must focus on during the following period so as to fulfil the principles of the Charter and the Code and to implement the HRS4R standards. These 8 spheres can be divided into main actions and supporting actions.

The output of the main actions is strategic documents and internal rules and regulations. That's why each of these outputs shall be discussed and approved by the Institute Board. The majority of main actions encompass several partial tasks which thematically belong to the main sphere. These are the following actions:

- 1) Setting of the Institute's strategy
- 2) Setting and unification of internal communication
- 3) Creation of an internal appraisal system
- 4) Processing of the recruitment and adaptation procedure
- 5) Setting of a unified outward presentation
- 6) Interconnection with the commercial sector - drawing up rules for the cooperation with the commercial sector

The supporting actions serve to remedy minor deficiencies identified in the GAP analysis, especially as to the possibilities of employees' development by means of trainings and courses. The supporting actions are:

- 7) Proposing the possibilities of further education of researchers
- 8) Bilingual institution

Implementation process:

Actions of the Action Plan will be implemented by the work group having the same composition as during the first phase of the project. A coordinator from the work team will be assigned to every action to take care of it and to manage its realization. The work group will meet every month (by attendance or online) to evaluate the progress of each activity, to consult problems related to the implementation, and to set tasks for the following period.

The steering committee, whose functions will be carried out by the Board of Directors during the implementation phase, will monitor the progress of the project and supervise that obligations are met. The steering committee will be informed about the activities of the work group by means of a report of the project coordinator at the end of every month.

If feedback is needed, the entities involved will be addressed directly; the researchers and other employees of the institution will be informed about the outputs of the project both by each department's representatives in the work group and on the webpage, in the section designated for the project.

Implementation schedule:

A coordinator will be assigned to each action, and a detailed plan of the individual actions will be prepared to manage the implementation. The implementation of most actions can run independently on the remaining ones, except for action no. 1, Setting of the Institute's strategy, as this action is tied up to previous events and actions. The most important of them is the start of the new director of the institution in 1Q/2021. The new director will fix the strategic orientation of the Institute in the following years, and thus item no. 1 of the Action Plan will be fully within the scope of his powers. Also, the creation of the institution's general strategy will be preceded by the

elaboration of its parts (HR management strategy, communication and marketing strategy, popularization strategy).

The Action Plan has been created for the period of 2 years (1Q/2021 - 4Q/2022), and its implementation is supported by the subsidy project of the Ministry of Education, Youth and Sports of the Czech Republic, Project Number: CZ.02.2.69/0.0/0.0/18\_054/0014500. The main aim of this project is the development of the scientific institution in accord with the provisions of the European Charter and Code for Researchers.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

<b>Checklist</b>	<b>*Detailed description and duly justification</b>
How will the implementation committee and/or steering group regularly oversee progress?	<p>The position of the steering committee, during the implementation period, will be held by the Board of Directors (consisting of the director + heads of departments + scientific secretary + deputy director and a trade unions representative) which meets regularly every month. Before its meeting every month, the steering committee will receive the output from the work group from the project coordinator, and the conclusions and recommendations from the meeting of the Board of Directors will be then passed on to the project coordinator. The steering committee will review and assess the key activities and supervise the implementation process.</p> <p>Documents which will be created within the project and be applicable to the whole Institute will be discussed and approved by the Institute Board, either at its regular meetings, or per rollam if necessary.</p>
How do you intend to involve the research community, your main stakeholders, in the implementation process?	<p>Researchers will be informed about the main milestones of the project by e-mail, on the institution's webpage, and by work group's representatives directly at the meetings of each department. All information published on the webpage will be provided in Czech and in English. If feedback from the researchers is necessary in any</p>

	<p>of the issues solved, it will have the form of a questionnaire survey with the possibility of using controlled interviews, like during the preparatory stage.</p>
<p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.</p>	<p>In the letter of accession to the European Charter and Code for Researchers, we pledged to observe the principles contained in these documents and to implement HRS4R. A large part of HRS4R principles have already been fully applied in the institution and the remaining ones are applied at least partially. Every month, a report of the progress of the project will be submitted to the Board of Directors, which holds the position of the steering committee in the project. All main parts of the implementation will be discussed and approved by the Institute Board.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>The work group will meet regularly every month to monitor the implementation process continuously, making it more accurate on the basis of a detailed plan of each action. It will present its results to the steering committee by means of monthly reports. The steering committee will supervise the whole process and suggest adjustments if necessary. A coordinator responsible for implementation from the work group will be assigned to each action.</p>
<p>How will you monitor progress (timeline)?</p>	<p>A schedule for each action will be prepared, and the work group will be responsible for the monitoring of the progress of work in each activity. The progress in the implementation will be contained in monthly reports which will be submitted by the project support manager to the steering committee. Also, the implementation of HRS4R is part of the subsidy project of the Ministry of Education, Youth and Sports of the Czech Republic, where the elaboration of a detailed monitoring report is required every six months. These reports will also serve as the basis for schedule update and for the monitoring of the progress of implementation.</p>

<p>How will you measure progress (indicators) in view of the next assessment?</p>	<p>Every action in the Action Plan has indicators determined so as to observe progress of the implementation. Progress will be assessed in relation to the original findings as summed up in GAP analysis. Progress will be measured using the same methods as the original GAP analysis, i.e. a questionnaire survey and controlled interviews.</p>
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Additional remarks/comments about the proposed implementation process:

<p>The work on the implementation of some points (e.g. translations of a part of the internal documents, new webpages of the institution) has already begun during 2020 while GAP analysis and the Action Plan were being prepared. The COVID-19 pandemic necessitated the implementation in the sphere of working conditions; for this reason, the process of offering the possibility of home office and the related legislative measure (amendment to the employment contract) were expedited.</p> <p>In 1Q of 2021, there will be change in the position of the institution's director. We suppose that the new director will assume the obligations resulting from this Action Plan, and the creation of the main lines of the strategic heading in the following years in accordance with item no. 1 will fall fully within his authority.</p>
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