

## Revision of Gap analysis and Action plan.

We thank reviver for his/her valuable comments and suggestions how to improve our Action plan and furthermore implementation process

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

**Submission date:** 16/08/2021

### 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:

	<b>YES / NO / PARTLY</b>	<b>Recommendations</b>
Have the Strategy and Action Plan been published on the organisation's website?		<p>The institution has created a web page dedicated to HRS4R process (<a href="https://www.ibp.cz/en/about-ibp/hr-award">https://www.ibp.cz/en/about-ibp/hr-award</a>), but there is no reference on the home page about HRS4R process yet, nor even using the search button for the keyword HRS4R process. The Action Plan, Gap analysis, OTM-R information are not included, only internal documents/ regulation are published.</p> <p><b>Answer: The action plan and gap analysis were inserted into the IBP web page and also a new document related to the OTM-R policy of the IBP.</b></p>
Have the Strategy and Action Plan been published in English?		<p>See above.</p> <p><b>Answer: All relevant documents were translated into English, including OTM-R document, career document, communication plan, results of a gap analysis, salary rules, R1-R4 categorization, etc.</b></p>
Have the Strategy and Action Plan been published in a visible place?		<p>See above. My suggestion is to publish a link to the HR award in the navigation bar, under the Research section.</p> <p><b>Answer: A new navigation bar was created on the IBP web page, and Strategy Plan, Action Plan was published on this page after careful revision.</b></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?

- Gap Analysis ○
- HR Strategy and Action plan
  - Organisational information
  - Strengths and weaknesses of the current practice
  - Actions
  - Implementation

Gap analysis was performed in a diligent, transparent manner. Many gaps have been properly identified and described. References to internal supporting documents were indicated. The Action Plan, however, is partially coherent with Gap Analysis. Implementation process is rather poorly described.

**Answer: In the revised version, the inconsistency was eliminated and Action Plan was corrected in accord with the Gap Analysis and results of the questionnaire. The implementation process was also improved to address better demands that arose from the Gap Analysis.**

#### 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?		Point 2 of the PA, Strengths and Weaknesses of the Current Practice Section was not clearly described. For example, to some extent, the explanations of the recruitment and selection part refer more to the working conditions part. The correspondence between the ranks/titles of the staff employed at the IBP Institute of Biophysics and the four career stages R1-R4, the European Commission research

**YES / NO / PARTLY****Recommendations**

profiles descriptors, is not clearly presented. In the future, I recommend providing (perhaps between brackets) the equivalent of the scientific Czech titles with one of R1-R4 stage researchers in order to provide more evidence of the representation of all levels of researchers in the process, including WG and SC.

**Answer: We revised a conception of the recruitment policy. All positions will be advertised on the EURAXESS portal. We established a new OTM-R document. And our aim is to translate all documents relevant to HR4R policy to English; many of them we placed on the IBP web page for HR4R. We established equivalents between V1-V6 Czech categorization of the research positions by the Czech Academy of Sciences and linked them to EU categorization R1-R4.**

**This categorization is mentioned in a separate document published on the IBP web page.**

**After careful revision, all levels of R1-R4 are presented in WG and SC, not only employees working in higher management.**

Is the Action Plan coherent with the Gap Analysis?

The action plan is partially in line with the Gap analysis (GA). There are "gaps" identified in GA, but not actions were addressed to them and

included in the Action plan. For example: a) in the case of principle 3 - Professional responsibility: it was stated that there is “a certain feeling of insecurity among researchers with respect to the duration of their employment contracts”, but no action was proposed for this issue. b) principle 5 - Contractual and legal obligations: the gap found is the need of “training regarding IP rights and project administration and funding” should be included in the Action 8, amongst other courses. In the same register, the IBP proposals from principle 7, courses on GDPR, should be included in Action 8. c) principle 7- Good practice in research - regarding specific measures for data management, data back-up and security, an action should be assigned; d) principle 9 - Public engagement: the proposal “creation of the Communication plan of the IBP” is missing from AP. e) In my opinion, action 7 - “The use of solar energy - PV panels” is not directly connected with the needs of the research community in the context of the 40 principles of Charter and Code. I could continue with other examples of missing actions for gaps identified for principles: 10, 13, 16, 23 partly, 21, 25, ... I recommend reorganizing the Action plan accordingly with Gap Analysis and OTM-R policy.

**Answer: In the revised version, we promised to guarantee a prolongation of the employment via the Internal support of science that can overcome some gap in funding from the local and EU grant agencies.**

**Also, we established an exact communication plan of how to communicate with media interested in science and the working conditions of scientists.**

**All categories V1-V6 as equivalents of R1-R4 were a part of WG and SC.**

**The result of the gap analysis is published on the IBP web page.**

**Also, a table showing an engagement of R1-R4 categories in individual actions and indicators are published on the IBP web pages, and this table is a part of the Strategy document of the IBP.**

Have a steering committee and working group been established to guarantee the implementation of the HRS4R-process?

Several groups have been established but activities and roles are not clear. Please take in account to increase (include) participation of researchers in WG and SC, relative to top management/leaders staff.

**Answer: All categories V1-V6 (R1-R4) were taken into consideration in both WG and SC, as well as all categories were mentioned in individual action. We show how R1-R4 categories participate in a given activity.**

Has the research community been sufficiently involved in the process, with a representation of all levels of a research career?

71% of researchers responded to the Gap analysis questionnaire, but it is not clear how they are engaged in the implementation of HRS4R. Please provide more information about survey results.

**Answer: After careful revision, results of gap analysis were inserted to the web of the IBP, and the table showing engagement of R1-R4 categories arises from the results of gap analysis, and questionnaire is published on the IBP web page.**

Are the relevant management departments sufficiently involved in the process so as to guarantee a solid implementation?

The support of the IBP management team for implementation of C&C is evident. IBP is a small institution, it is not entirely clear if there are specialized departments such as HR Office, or Legal Office.

**Answer: As a small institute, we do not have an HR office; it would be expensive for us; thus, all HR activities will be organized and guaranteed by WG, SC, the director's collegium and the director.**

Have adequate targets and indicators been provided in order to demonstrate when/how an action will be/has been completed?

Almost all indicators and targets need to be redefined in a quantitative approach.

**Answer: All indicators, activities, and proportion of R1-R4 categories in given action are listed in summarizing table.**

Is the organisation establishing an OTM-R policy?

According to the OTM-R check list and Gap Analysis, IBP has to improve recruitment and selection policies and practices. But no evidence of the policy is yes visible.

**Answer: OTM-R document was created and published on the IBP web page for HR4R. Since October 2021, all scientific positions will be advertised on the EURAXESS portal and posted on the IBP web page.**

Are the goals and ambitions sufficiently ambitious considering the context of the organization?

The goals are suitable for the institution, but more actions should be assigned.

**Additional actions are listed in the table, published for the implementation part (or see the Strategy document) that was corrected according to the suggestions of the reviewer.**

**Table showing HRS4R activities, indicators, timing, employment categories and principles**

Action	Indicators			HRS4R Principles
	Number of participants	Timing	Percentage of R1/R2/R3/R4	
Language course	15-20/semester	each semester 2021-2025	30/30/30/10	2,4,38,39
GDPR course	20/year	2022	40/30/20/10	4,5,7, 38,39
Course of rhetoric and ethics in science	10-15	2021 and 2023	40/30/20/10	1, 2, 4,5, 38,39
Course of statistics	15	2022	40/30/20/10	4,7,38,39
Course on ERC project application	10	2022	0/10/40/50	3, 4,7,29,30,38,39

<b>Course of management</b>	10-15	2023	10/10/40/50	4,7,29,30,38,39
<b>Course on advanced graphics</b>	10-15	2022	20/20/40/20	4,38,39
<b>Published joint scientific papers – collaboration of several IBP departments</b>	2-5	each year	20/20/40/20	3,4,6,8,32
<b>Standard project applications to Czech Grant Agencies</b>	10-15	each year	0/0/50/50	3,4,6,9,25,26
<b>Junior project applications to Czech Grant Agencies</b>	1-3	each year	20/40/40/0	4,6
<b>Course on science evaluation</b>	10-15	2022	20/20/40/20	4,30,38,39
<b>Talks of Czech scientists</b>	5-10	each year	20/20/40/20	4,8, 38
<b>Meeting on intellectual properties and patent applications</b>	10-12	2023	20/20/40/20	31,38,39
<b>Talks of foreign scientists</b>	2-3	each year	10/20/40/30	4,38,39
<b>Recruited Czech Scientists via EURAXES</b>	10-15	each year	40/30/20/10	4,10,12,13,14,15
<b>Recruited foreign scientists via EURAXES</b>	3-5	each year	40/30/20/10	4,10,12,13,14,15
<b>Visits in foreign laboratories supported by the IBP</b>	10-20	each year	40/30/20/10	1,4,8, 18,38

<b>Defended Ph.D. thesis and support of postdocs</b>	5-10	each year	50/50/0/0	4,6,21,33,38
<b>PR activities</b>	10-12	each year	40/30/20/10	9
<b>ISAB meetings</b>	1	every 2 <sup>nd</sup> year 2021, 2023, 2025.	0/10/40/50	4,11, 15,35,37,40
<b>A number of organization documents translated into English</b>	5-10	2021-2023	10/10/40/40	4, 10,15
<b>Publication award according to IF</b>	30-40	each year <sup>2</sup>	20/40/30/30	4,16
<b>Paper of the year award</b>	1	each year	40/20/20/20	4,16
<b>Innovation of methodology Award</b>	1	every year	40/20/20/20	4,8,16
<b>Application Award</b>	1	2022	40/20/20/20	8,16
<b>The best Ph.D. student Award</b>	1-3	each year	40/40/0/0	4,16
<b>Meeting for parents in science</b>	15-20	each year	40/20/20/20	10
<b>Kids' corner</b>	4-8	each semester	30/30/20/10	9,10
<b>Science evaluation according to bibliometric data</b>	10 departments	each year	20/20/30/30	4,10,11,15,23
<b>Number of PPLZ application (postdoctoral support)</b>	1-2	Every semester	50/50/0/0	4,9,10,38
<b>Reassignment of scientists according to the</b>	5-15	Every semester	25/40/25/10	17,19,20,22,23,27,28



<b>principles of categories R1-R4</b>				
<b>Strengthening the status of emeritus scientist</b>	2	2021	0/0/50/50	20,23,27
<b>Social equality in gender, age, education and citizenship cover by the social fund</b>	150-220	each year	25/25/25/25	10,19,20,27
<b>Internal support of science via institutional fund, also support of mobility</b>	1-5	each year	25/40/25/10	18, 23,24,2,25,26
<b>Summer Schools</b>	15-20	each year	25/40/25/10	33
<b>Attestation Commission and meeting with director</b>	15	each year	0/0/10/90	11,12,34,35,36,40
<b>Director's collegium</b>	15-20	4x per year	0/0/30/70	11,12,34,35,36,40
<b>Meeting of researchers</b>	50-60	3x per year	30/30/30/10	11,12,34,35,36,40
<b>Working Group meeting</b>	10-15	4x per year	30/30/30/10	11,12,34,35,36,40

## **The summary of results of the GAP analysis**

The questions have been prepared on the basis of the documents „The European Charter for Researchers“ and „The Code of Conduct for the Recruitment of Researchers“ (40 chapters of these documents, Annex 1). The list of questions is attached in Annex 2 with their numbers and number of chapters relevant to the EU Charter to which the question is related. The list of questions has been supplied with ten additional questions not related to the EU Charter directly (A1-A10), but these questions arise from demands of the Institute (IBP) and could be potentially important for HR Award (Annex 2, see other questions). The questionnaires were anonymous but they contained information on the career stages (from laboratory staff up to department leaders and technical personnel – the list is attached in Annex 3 and related to EU categories R1-R4).

Answers to the questions were 1 - yes, 2- neutral opinion, 3 - I am not sure or not informed, 4 - the question does not relate to me.

The analysis consisted of the determination of the number of answers (n) and the number of positive answers „yes“(a), see Table 1. The ratio  $a/n$  was determined for individual career stages as well as for the whole IBP (orange color in the Table). The questions are listed according to their average value for the whole institute. The questions with largely positive answers are shown in green color, the other in red color. We have compared individual career stages using column plots (Fig. 1) where you can see some examples. In some cases, clear dependence on the position could be established. For example, the questions „Should be the Institute Council meetings partially public“ or „Do you need more safety measures at IBP“ have been approved more by lower career stages. In the case of question on the popularization, the differences among career stages are probably related more to statistical fluctuations, as well as in the case of plagiarism where the answers are negative, and this is obviously no problem for IBP.

The consistency of the answers has been checked using the plot  $a/n$  versus „question position“ in Table 1. For average IBP answers, we have a decreasing function (Fig. 2) as expected. The variations of different career stages are mostly of statistical origin (with some exceptions mentioned above) and, therefore, we concluded that the results of the questioner are primarily reliable and basically not dependent on the career position of the respondents. Answers for additional questions are shown in Table 2.

In both cases, gap analysis direct questions and additional questions, the most positive answers that need to be solved, are listed in Table 3 in order to use them in the preparation of the Action Plan (AP). The questions requiring some action are shown in green color, and they are elaborated in the AP.

**Table 1. GAP Analysis for different career stages**

Question no.	40	41	35	25	5	43	20	36	21	8	23	44	42	19	10	39	22	37
All Answers	122	106	84	39	69	25	82	104	78	71	61	30	99	62	68	107	60	97
Answers Y	120	98	76	35	61	22	72	91	68	60	51	25	82	51	55	86	46	70
IBP Average	0,98	0,92	0,9	0,9	0,88	0,88	0,88	0,88	0,87	0,85	0,84	0,83	0,83	0,82	0,81	0,8	0,77	0,72
Category Lab	1	1	1		1	1	1	1	1	1			1	1	1	1		
Category V1	1	1	1	1	1	0,5	1	0,75	0,75	0,5	0,67		0,8	0	0,75	0,67	1	0,67
Category V2	0,91	0,92	0,94	0,91	0,89	0,95	0,94	0,8	0,89	0,73	0,93	1	0,82	0,88	0,67	0,71	0,81	0,56
Category V3	1	0,81	0,9	0,88	0,82	0,5	1	0,92	1	0,85	0,79	1	0,67	0,94	0,85	0,75	0,81	0,53
Category V4	1	1	1	1	1		0,88	0,67	1	0,8	0,86	0	0,7	1	0,89	0,8	1	0,67
Category V5	1	1	0,87	0,75	1		0,78	0,95	0,83	0,75	0,8	1	1	0,92	0,6	0,95	0,9	0,89
Category V6	1	1	0,92	1	0,78		0,67	1	0,63	0,92	0,83	0,67	1	0,67	0,67	0,94	0,56	1
Category VO	1	1	1	1	1	1	0,8	1	1	1	0,67	1	0,82	0,33	1	1	0,4	1
Category THS	1	0,5	0,33	1	0,85		0,77	0,33	0,75	1	1		0,5	0,33	1	0,57	1	0,5

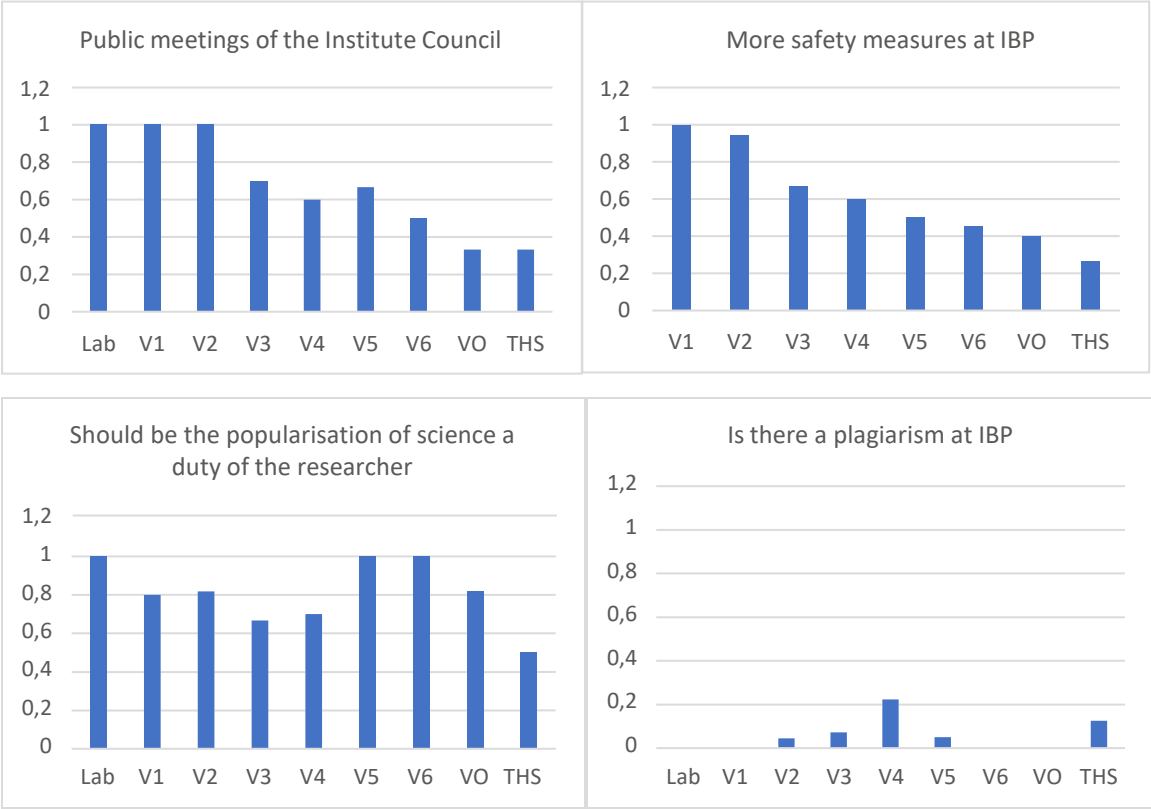
Question no.	16	4	1	27	3	13	18	7	45	34	38	33	6	14	17	29	26	9
All Answers	68	67	61	73	60	63	69	66	85	92	94	67	77	87	51	42	73	84
Answers Y	49	48	43	51	41	43	45	43	54	57	54	35	39	44	23	18	29	32
IBP Average	0,72	0,72	0,7	0,7	0,68	0,68	0,65	0,65	0,64	0,62	0,57	0,52	0,51	0,51	0,45	0,43	0,4	0,38
Category Lab	1			1	1	1	1	0	1	0,5	0	0	0,5	0,67			1	0
Category V1	1	1	1	0,5	1	0	1	0	1	1	0,5	1	0,5	0,25	0,5	0,5	0,5	0,5
Category V2	0,54	0,69	0,67	0,88	0,5	0,57	0,93	0,67	0,79	0,53	0,47	0,67	0,54	0,67	0,5	0,5	0,44	0,36
Category V3	0,83	0,61	0,73	0,86	0,83	0,75	0,74	0,56	0,76	0,58	0,33	0,73	0,38	0,68	0,63	0,71	0,5	0,41
Category V4	1	0,83	0,83	0,8	0,67	0,71	1	0,67	0,75	0,17	0,57	0,4	0,57	0,86	0,8	0,6	0,75	0,75
Category V5	0,43	0,78	0,73	0,62	0,75	0,57	0,23	0,73	0,5	0,78	0,87	0,42	0,4	0,09	0,27	0,25	0,19	0,23
Category V6	0,75	0,7	0,78	0,44	0,88	0,82	0,57	1	0,2	1	0,91	0,43	0,75	0,44	0,4	0,29	0,25	0,44
Category VO	1	1	1	1	0,5	0,8	0	1	0,4	1	0,67	0	0	0,33	1	0,2	0,25	0,5
Category THS	0,44	0,75	0,29	0,4	0,38	0,6	0,5	0	0,67	0,11	0,47	0,33	0,62	0,38	0,13	0,38	0,5	0,36

Question no.	11	2	32	31	30	46	15	Av
All Answers	80	66	53	72	78	99	87	73,9
Answers Y	30	20	14	16	11	7	5	47
IBP Average	0,38	0,3	0,26	0,22	0,14	0,07	0,06	0,64
Category Lab	1	0				0	0	0,73
Category V1	0,33	0,33	0	0,5	0	0	0	0,62
Category V2	0,39	0,14	0,33	0,23	0,25	0,04	0,09	0,64
Category V3	0,5	0,22	0,36	0,21	0	0,07	0,06	0,65
Category V4	0,86	0,4	0,33	0,25	0,25	0,22	0	0,7
Category V5	0,14	0,33	0,21	0,19	0,12	0,05	0,06	0,59
Category V6	0,31	0,56	0	0,23	0,09		0	0,65
Category VO	0	0,75	0,33	0,25	0,17	0	0,25	0,66
Category THS	0,38	0,23	0,5	0	0,2	0,13	0,08	0,49

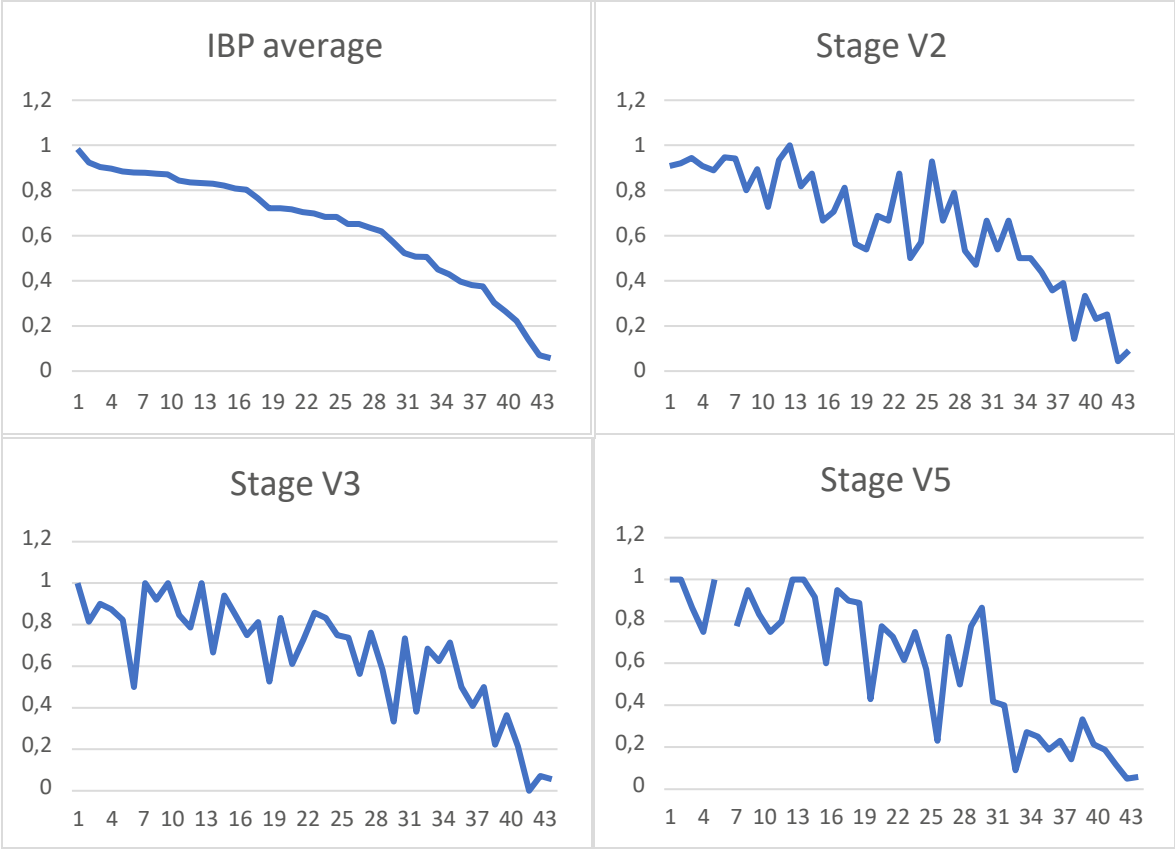
**Table 2. Additional questions**

Question no.	A8	A2	A9	A3	A5	A7	A10	A4	A1	A6	Av
All Answers	89	61	83	71	53	114	26	75	54	83	16,5
Answers Y	59	38	49	37	27	58	11	27	14	14	7,77
IBP Average	0,66	0,62	0,59	0,52	0,51	0,51	0,42	0,36	0,26	0,17	0,46
Category Lab	1			0,5	0	0,25	1	0			0,46
Category V1	1	0	1	0,25	0,5	0,8	0	0,33	0,33	0	0,42
Category V2	1	0,73	0,94	0,56	0,91	0,88	0	0,38	0,07	0,18	0,57
Category V3	0,7	0,4	0,67	0,64	0,08	0	0,67	0,67		0,88	0,52
Category V4	0,6	1	0,6	0,6	1	0,67	0	0	0,43	0	0,49
Category V5	0,67	0,5	0,5	0,5	0,5	0,23	0,17	0,17	0,29	0	0,35
Category V6	0,5	0,67	0,45	0,8	0,67	0,38	0	0,43	0,55	0	0,44
Category VO	0,33	0,8	0,4	0,4	0,33	0,5	0	0	0,33	0	0,31
Category THS	0,33	0,67	0,27	0,38	0,29	0,71	0	0,17	0	0,22	0,3

**Fig. 1. Comparison of answers for different career stages**



**Fig. 2. The dependence of the a/n value on the position of the question is in Table 1. The IBP average is compared with V2, V4 and V5 career stages.**



**Table 3. Positively answered questions**

40	Knowledge of the safety rules	0,98
41	Popularization of the results	0,92
35	Freedom of the research at IBP	0,90
25	Integration of foreign scientists at IBP	0,90
5	Improvement of collaboration between departments	0,88
43	Relations between PhD student and his supervisor	0,88
20	Involvement of IBP in ecological activities	0,88
36	Knowledge of ethical principles	0,88
21	Improvement of collaboration with application sphere	0,87
8	The need of better infrastructure	0,85
23	Increase of the number of foreign scientists lectures	0,84
44	Further education of researchers	0,83
42	Popularization of the results	0,83
19	Increase of the mobility of scientists	0,82
10	The need of loyalty	0,81
39	Evaluation of the research	0,80
22	Competition in magister degree	0,77
37	Knowledge of financial mechanisms	0,72
16	Kindergarten	0,72
4	Higher publicity of the results	0,72
1	The need to be involved in the decision on career growth	0,70
27	Translation of documents	0,70
3	Higher salaries	0,68
13	The need of project department	0,68
18	The need of management courses	0,65
7	Better equipment for science	0,65
45	The course on statistics	0,64
34	Knowledge of the strategic goals of the Academy	0,62
38	Knowledge of the IP rules	0,57
33	Better PR activities of the IBP	0,52

6	An improvement of PI feedback						0,51
14	Language courses						0,51