# HR Excellence in Research

## PROCESS DESCRIPTION AND GAP ANALYSIS

EUROPEAN UNION
European Structural and Investment Funds
Operational Programme Research,
Development and Education

MINISTRY OF EDUCATION,
YOUTH AND SPORTS

# TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: 2018CZ309843

Name Organisation under review: J. Heyrovský Institute of Physical Chemistry of the CAS, v. v. i.

Organisation's contact details: Dolejškova 2155/3, Prague 8, Czech Republic, 182 23

SUBMISSION DATE:

DATE ENDORSEMENT CHARTER AND CODE: 15/11/2017

## PROCESS

*The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.*

***Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:***

| Name | Steering Committee | Working Group | Management line/ Department |
|------|--------------------|---------------|-----------------------------|
| prof. Martin Hof, Dr. rer. nat. DSc. (R4) | √ | | The Director of the Institute/Department of Biophysical Chemistry |
| RNDr. Ing. Martin Kalbáč, Ph.D. (R4) | √ | √ | Vice-Director for Economy/Member of the Director's Board. Head of the Department/Department of Low-dimensional Systems |
| prof. RNDr. Patrik Španěl, Dr. rer. nat. (R4) | √ | √ | Vice-Director for Science/Member of the Director's Board. Head of the Department/Department of Chemistry of Ions in Gaseous Phase |
| doc. Mgr. Michal Fárník, Ph.D., DSc. (R4) | √ | | Vice-Director for Education/Member of the Director's Board. Head of the Department/Department of Dynamics of Molecules and Clusters |
| prof. RNDr. Zdeněk Samec, DrSc. (R4) | √ | | Member of the Director's Board. Deputy Head/Department of Biophysical Chemistry |
| Ing. Zuzana Musilová, Ph.D. | √ | √ | HRS4R Organisation Administrator/Department of Low-dimensional Systems |
| Dr. Ing. Kateřina Minhová Macounová (R3) | √ | √ | Chair of the Trade Union of the HIPC/Department of Low-dimensional Systems |
| Ing. Zita Zajačková | √ | √ | Personnel Department |
| Mgr. Jiří Brabec, Ph.D. (R3) | | √ | Department of Theoretical Chemistry |
| Mgr. Marek Cebecauer, Ph.D. (R4) | | √ | Coordinator for the participation of the Institute in EU framework programmes and EU structural programmes/Department of Biophysical Chemistry |
| Mgr. Kseniya Dryahina, Ph.D. (R4) | | √ | Department of Chemistry of Ions in Gaseous Phase |

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| RNDr. Martin Ferus, Ph.D. (R4) | | √ | Head of the Department/Department of Spectroscopy |
| Ing. Marie Fryčová, Ph.D. (R2) | | √ | Department of Structure and Dynamics in Catalysis |
| Mgr.Michal Horáček, Ph.D. (R4) | | √ | Deputy Head/Department of Molecular Electrochemistry and Catalysis |
| RNDr. Jan Hrušák, CSc. (R4) | | √ | Department of Theoretical Chemistry |
| Mgr. Piotr Jurkiewicz, Ph.D. (R3) | | √ | Department of Biophysical Chemistry |
| Mgr. Monika Klusáčková (R1) | | | Department of Electrochemical Materials |
| Mgr. Antonín Knížek (R1) | | √ | Department of Spectroscopy |
| Mgr. Jaroslav Kočišek, Ph.D. (R4) | | √ | Department of Dynamics of Molecules and Clusters |
| František Kuneš | | √ | Head of the Department/Technical department |
| RNDr. Jan Langmaier, CSc. (R4) | | √ | Department of Electrochemistry at the Nanoscale |
| RNDr. Magdalena Michlová, Ph.D. (R1) | | √ | Department of Low-dimensional Systems |
| doc. Dr. Ing. Tomáš Navrátil (R4) | | √ | Department of Electrochemistry at the Nanoscale |
| Ing. Jiří Rathouský, CSc. (R4) | | | Coordinator for the agenda of patents and inventions/Department of Structure and Dynamics in Catalysis |
| Mgr. Monika Remzová (R1) | | | Department of Structure and Dynamics in Catalysis |
| Mgr. Ludmila Šimková, Ph.D. (R2) | | √ | Department of Molecular Electrochemistry and Catalysis |
| Ing. Blanka Sirová | | √ | Administration department |
| doc. Ing. Zdeněk Sobalík, CSc. (R4) | | | Department of Structure and Dynamics in Catalysis |
| Ing. Květoslava Stejskalová, CSc. | | √ | Secretary of Vice-director for Education/Management |
| Karel Štys | | √ | Technical department |
| RNDr. Hana Tarábková, Ph.D. (R3) | | √ | Department of Electrochemical Materials |
| Dis. Lenka Valášková | | √ | Administration department |
| Veronika Valášková | | √ | Department of Low-dimensional Systems |
| Mgr. Markéta Zapletalová | | √ | Department of Low-dimensional Systems |
| Mgr. Veronika Zelenková, Ph.D. | | √ | Secretary of Vice-Director for Science/ Management |
| Mgr. Magda Zlámalová (R1) | | | Department of Electrochemical Materials |
| Ing. Naděžda Žilková (R1) | | √ | Department of Low-dimensional Systems |

*Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.*

**Provide information on how the researchers group were involved in the GAP-analysis:**

| Stakeholder group | Consultation format | Contributions |
|---|---|---|
| Researchers R1-R4 | Participated in Working Group meetings. | - The Director and Vice-Directors, as core members of the Steering Committee, were regularly informed about the progress and development of the GAP Analysis.<br><br>- Members of the Working Group (including representatives of all scientific departments and the HR department) were nominated and actively contributed to the development of the |

| Stakeholder group | Consultation format | Contributions |
|---|---|---|
| | | GAP analysis on the basis of their close discussions with R1-R4 researchers in their departments. |
| Heads of the Departments | Participated in Working Group meetings. | - All heads of department underwent formal training in team management techniques and either participated in the Working Group directly or via a delegate.<br><br>- Identification of gaps in working conditions. |
| Women (scientists) | Participated in Working Group meetings. | - Consultation with female scientists identified gaps in working conditions and in gender balance in decision-making bodies. |
| PhD students | A student representative participated in the Working Group meetings. | - The representatives of departments used the results of their consultations with students to identify gaps in working conditions and social security. |
| Foreigners (non-Czech speakers) | Represented at the Working Group meetings. | - Consultation of the Working Group with non-Czech speaking scientists identified serious gaps in working conditions and in ethical and professional areas. |
| Non-English speakers amongst Czech administrative staff | Were contacted by the Working Group members individually. | - Consultation of the Working Group with members of the staff without knowledge of English identified gaps in training and development (the need for language training). |

## *Please describe how the Committee overseeing the process was appointed and how it worked (meetings, decisions, etc.):*

The Vice-Director for the Economy, RNDr. Martin Kalbáč, Ph.D. initiated the Human Resources Strategy for Researchers (HRS4R) process in 2017. The Steering Committee oversaw the process of internal GAP analysis and the action plan was appointed by the Director, prof. Martin Hof, Dr. rer. nat. DSc. (Directive 7/2017 from December 4, 2017).

Employees were publicly introduced to The European Charter for Researchers, The Code of Conduct for the Recruitment of Researchers, and the HRS4R at an employee assembly held on March 3, 2018. At least one of the members of the Steering Committee was appointed to attend regular meetings of the Working Group to ensure the progress of the HRS4R process and discussed it with other members of Steering Committee during regular meetings.

The Steering Committee meetings were conducted on 09/01/2018, 05/02/2018, 26/02/2018, 26/03/2018, 18/04/2018, 01/06/2018, 16/07/2018, 03/09/2018, 25/9/2018, and 30/10/2018.

## *Please describe how the Working Group doing the Gap Analysis was appointed:*

The Steering Committee asked the Heads of the Departments for nominations of one or more representatives with experience and interest in the HR issues concerning the researchers at all levels who would be willing to be a part of the Working Group. Her/his participation in the HRS4R process would be active, voluntary, and responsible. The Working Group members were instructed at the first meeting to establish consultation processes with all researchers in their departments.

The Steering Committee ensured that the composition of the Working Group would be diverse and represent researchers (R1-R4), administration, and technical staff. This group was headed by the Vice-Director for Economy RNDr. Martin Kalbáč, Ph.D, who was responsible for data collection and presentation of the results based on previous meetings. Dr. Kalbáč informed other members of the Steering Committee during the meetings of the Director's board (see appointment of the Steering Committee).

The Working Group meetings were conducted on 25/01/2018, 08/02/2018, 19/2/2018, 26/03/2018, 23/05/2018, 05/09/2018, and 11/10/2018.

# TEMPLATE 1 – GAP ANALYSIS

| European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview | | | |
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| Status: to what extent does this organisation meet the following principles? | + = **fully** implemented<br>+/- = **almost but not fully** implemented<br>-/+ = **partially** implemented<br>- = **insufficiently** implemented | In case of -, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation.<br>If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation | Initiatives already undertaken and/or suggestions for improvement |
| **Ethical and Professional Aspects** | | | |
| 1. Research freedom<br><br>*Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices. Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.* | + | | <u>Regulations</u><br>• Internal Criteria for evaluation<br>https://intranet.jh-inst.cas.cz/jh_documents.html?doc=791<br>• Code of Ethics for Researchers of the Czech Academy of Sciences<br>http://www.avcr.cz/en/about-us/legal-regulations/code-of-ethics-for-researchers-of-the-czech-academy-of-sciences/index.html<br>• Official internal criteria for evaluation of scientific work already fully respects the research freedom principles. |

| 2. Ethical principles | -/+ | • There is no institutional review board in place that can provide ethics approval for research involving human subjects. | **Regulations**<br><br>Principals of Ethics are summarized in the Code of Ethics for Researchers of the Czech Academy of Sciences:<br><br>http://www.avcr.cz/en/about-us/legal-regulations/code-of-ethics-for-researchers-of-the-czech-academy-of-sciences/index.html<br><br>**Suggestions**<br><br>• To make the Code of Ethics accessible on our website.<br><br>• To establish two distinct committees:<br><br>1. Committee for Ethics of Research involving human subjects: http://ec.europa.eu/research/participants/data/ref/fp7/89888/ethics-for-researchers_en.pdf<br><br>2. Committee for Scientific Work Ethics (possibly including an ombudsman) |
|---|---|---|---|
| *Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.* | | | |
| 3. Professional responsibility<br><br>*Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.*<br>*They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.*<br>*Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.* | +/- | • No formal instruction or training. | **Regulations**<br><br>• Professional responsibility is a part of the Code of Ethics for Researchers of the Czech Academy of Sciences:<br><br>http://www.avcr.cz/en/about-us/legal-regulations/code-of-ethics-for-researchers-of-the-czech-academy-of-sciences/index.html<br><br>**Suggestions**<br><br>• To include professional responsibility as a part of the welcome information package and manual (WIPM). |

| 4. Professional attitude<br><br>*Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.* | +/- | • No formal instruction or training. | Suggestions<br><br>• To include professional attitude as a part of the WIPM. |
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| 5. Contractual and legal obligations<br><br>*Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.* | +/- | • It is currently difficult for the researchers, especially foreign, to undergo medical checks legally required by Czech work legislation and to ensure compliance with all internal regulations.<br><br>• Our internal website is not very user-friendly for our researchers, as they need to make a special effort to find relevant documents. | Suggestions<br><br>• English speaking occupational physicians have been contracted and it is suggested to evaluate whether the situation is improved.<br><br>• To translate the essential internal regulations to English and place them on a new transparent website of the J. Heyrovský Institute of Physical Chemistry (HIPC). Documents available only in the English language will be translated to Czech.<br><br>• Contractual and legal obligations will be included in the welcome information package and manual. |

| 6. Accountability | +/- | • There is currently no internal standard for archival data for possible external scrutiny. | Regulations |
|---|---|---|---|
| *Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.*<br>*Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.* | | | • Financial management is currently in accordance with the European Charter for Researchers and it is governed by internal regulation:<br><br>https://intranet.jh-inst.cas.cz/jh_documents.html?doc=690.<br><br>• The Academy Council of the Czech Academy of Sciences (CAS) discussed the Open Access and European Open Science Cloud (EOSC) during 17. meeting on September 4, 2018. The CAS is setting up the Working Group to monitor and coordinate Open Access activities. The HIPC has to follow the CAS rules and wait for the CAS recommendations.<br><br>Suggestions<br><br>• To declare internal standards for archival data for possible external scrutiny.<br><br>• To monitor the suggestions of the CAS. |

| 7. Good practice in research | +/- | • Personal data protection is in accordance with the General Data Protection Regulation (GDPR), agreed upon by the European Parliament and Council in April 2016 (2016/679). | Regulations |
|---|---|---|---|
| *Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.* | | • Internal directive: Employee Training on Occupational Safety and Health and Fire Protection is available on our internal website in Czech language only.<br><br>• Current health and safety training are not done electronically. | • REGULATION (EU) 2016/679 – English and Czech version<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/8128146446970170.pdf<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/6899012812030891.pdf<br><br>• Internal directive, Employee Training on Occupational Safety and Health and Fire Protection - only a Czech version:<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/9459137285052997.pdf<br><br>Suggestions<br><br>• Translation of internal directive, Employee Training on Occupational Safety and Health and Fire Protection to English language.<br><br>• Health and safety are currently fully implemented according to the current legislation and the training is in place. It is suggested to change it to an electronic learning form. |
| 8. Dissemination, exploitation of results | -/+ | • Currently, the registering of published results with relation to finished research projects does not guarantee full information availability. Compilation of outputs for the annual report is done manually and prone to errors.<br><br>• The annual report does not have an English version. | Suggestions<br><br>• To establish an electronic database of all published and disseminated outputs in relation to specific research projects, even after their completion.<br><br>• Annual research reporting also including an English version. |
| *All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.* | | | |

| 9. Public engagement | +/- | • Public relations are not performed professionally. Visual identity of the building and some documents are weak. There is a lack of promotional merchandise and leaflets. The institute's reputation is not optimal among university students. | • Currently, direct engagement with the public takes place in several forums, including the Project "Tři nástroje", "Open Days", "Veletrh vědy." |
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| *Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.* | | | Suggestions<br><br>• To professionalise public relations and to improve outreach to students. |
| 10. Non discrimination | +/- | • While there is no formal discrimination of foreign language speakers, it is sometimes difficult for them to be involved in primarily Czech communication. On the other hand, many technical and administrative staff members find communication in English prohibitive. | Regulations<br><br>• Labour Code, No. 262/2006 Coll. – English and Czech version:<br><br>https://www.mpsv.cz/files/clanky/2919/262-2006.pdf<br><br>Suggestions<br><br>• To create conditions for a bilingual environment, where Czech and English will be both acceptable for general use. Language courses will be organised for the relevant staff members.<br><br>• To make the official documents available in Czech and English languages. |
| *Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.* | | | |

| 11. Evaluation/ appraisal systems

*Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.*
*Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.* | +/- | • The criteria for evaluation of scientific work are currently vague. The evaluation process is too complicated and no manual is available. | Regulations<br><br>• Internal directive - Criteria for evaluation of scientific work – Czech language only:<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/3554389824256615.pdf<br><br>• Methodology of evaluation in 2018:<br><br>https://intranet.jh-inst.cas.cz/jh_documents.html?doc=887<br><br>Suggestions<br><br>• To improve the criteria for the evaluation of researchers and to create a manual for the heads of departments and for the evaluation committee. Will consider carrier breaks, such as maternity leave. |
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| Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. **In addition**, your organisation also needs to complete the checklist on **Open, Transparent and Merit-Based Recruitment** included below, which focuses on the operationalization of these principles. | | | |
| 12. Recruitment

*Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.*
*Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.* | -/+ | • The criteria are defined ad-hoc for each position separately. There is no system in place to define clear specifications of admission standards criteria and no facilitation is in place for disadvantaged groups. | Suggestions<br><br>• To develop an intranet-based OTM-R system for preparation of criteria for advertising open positions. |

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| 13. Recruitment (Code)<br><br>*Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.* | -/+ | • Recruitment procedures are not formally established in accordance with the code. Description of working conditions and career development prospects is often missing in adverts. In addition, the time between advert and deadline is often tight. | Suggestions<br><br>• To centralise the Open, Transparent and Merit-based Recruitment (OTM-R) procedure for advertising ensuring that each advert meets the principles of the Code. Proper timing of the recruitment process should be also assured. |
| 14. Selection (Code)<br><br>*Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.* | +/- | • The current practice attracts only a small number of applicants; thus, the selection is usually clear. This can be seen as a weakness. | Suggestions<br><br>• To improve the impact of advertising by exploiting a range of platforms such as Euraxess and other widely used webpages, social media and portals. |

| 15. Transparency (Code)<br><br>*Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.* | -/+ | • The information provided to the candidates is not assured by the internal processes to be complete according to the Code. In addition, the procedures for appointments of internal candidates on terminating contracts are not formally established. | Suggestions<br><br>• To implement formal OTM-R training for the managers in charge of advertising new jobs, including principal investigators and heads of departments. The training will be aimed to ensure transparency and other recruitment principles in accordance with the Code. |
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| 16. Judging merit (Code)<br><br>*The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.*<br>*This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.* | +/- | • While the selection process is already based on merit, it relies on the personal experience of the committee members and not on formalised protocol. | Suggestions<br><br>• To implement formal OTM-R training of the selection committee members focused on the principles of the Code. |

| 17. Variations in the chronological order of CVs (Code) | +/- | • The variations in the order of CV and career breaks are already fairly considered. But again, this is not formalised and relies on the committee members. | Suggestions<br><br>• To implement formal OTM-R training of the selection committee members focused on the related principles of the Code. |
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| *Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.* | | | |
| 18. Recognition of mobility experience (Code) | + | • The mobility is already positively considered. | |
| *Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.* | | | |

| 19. Recognition of qualifications (Code)<br><br>*Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of 27 international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.* | -/+ | • International qualifications are not always formally recognised due to a lack of information about foreign qualifications. | <u>Suggestions</u><br><br>• To publicise the information of foreign qualifications among the researchers responsible for the selection process:<br><br>www.enic-naric.net |
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| 20. Seniority (Code)<br><br>*The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.* | + | • The level of qualification required is not deemed to present a barrier to entry. | |

| 21. Postdoctoral appointments (Code)<br><br>*Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of longterm career prospects.* | + | • While most postdoc positions are full-time for a clearly specified duration in accordance with the Code, part-time positions are sometimes shared between projects. | <u>Regulations</u><br><br>• The internal salary scale directive assures a five-year maximum for postdoctoral appointment after PhD.<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/0882948335450594.pdf |
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| **Working Conditions and Social Security** | | | |
| 22. Recognition of the profession<br><br>*All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).* | + | | <u>Regulations</u><br><br>• Labour Code, No. 262/2006 Coll. – Czech version:<br><br>https://www.mpsv.cz/files/clanky/2919/262-2006.pdf<br><br>• All researchers are treated as professionals in accordance with the Rules for Recruitment and Promotion written only in the Czech language:<br><br>http://www.avcr.cz/cs/o-nas/pravni-predpisy/karierni-rad-vysokoskolsky-vzdelanych-pracovniku-av-cr/<br><br>available also on our internal website:<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/0500634827751878.pdf<br><br><u>Suggestions</u><br><br>Translate Rules for Recruitment and Promotion to English language. |

| 23. Research environment | +/- | • Health and safety regulations are observed, but the form of training is not optimal. The laboratory and safety equipment, facilities, and opportunities are accessible to researchers, however, the information about this is not always effectively provided, especially to junior scientists. <br><br> • Internal regulation concerning health and safety is available only in Czech language. | Regulations <br><br> • Internal regulation about providing personal safety equipment in Czech language: <br><br> https://intranet.jh-inst.cas.cz/data/jh_documents/_file/5391012675765174.pdf <br><br> Suggestions <br><br> • Translation of above-mentioned internal regulation to English language. <br><br> • Include related information, such as access to safety equipment, to the welcome information package and manual. |
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| *Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.* | | | |
| 24. Working conditions | -/+ | • The opportunities for tele-working, study leaves containing both short and long sabbatical leaves that are not formally defined. Some agendas are still done in paper form. | Regulations <br><br> • Labour Code, No. 262/2006 Coll. – Czech version: <br><br> https://www.mpsv.cz/files/clanky/2919/262-2006.pdf <br><br> • Collective-bargaining agreement established at the HIPC on February 28, 2018 <br><br> https://intranet.jh-inst.cas.cz/jh_documents.html?doc=832 <br><br> Suggestions <br><br> • To explore possibilities for tele-working, short- and long-term study leaves compatible with the Labour Code and Collective-bargaining agreement. <br><br> • To move the remaining paper agendas to the electronic forms (leave of absence, termination of contract, inventory). |
| *Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.* | | | |

| 25. Stability and permanence of employment<br><br>*Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.* | +/- | • While the contracts are formally for a five-year maximum, the researchers do have stable employment. | Regulations<br><br>• Principals and Terms of The Fixed-Term Work is in accordance with the Council Directive 1999/70/EC:<br><br>https://eur-lex.europa.eu/legal-content/GA/TXT/?uri=CELEX:31999L0070<br><br>and it is specified in the Collective-bargaining agreement from February 28, 2018.<br><br>https://intranet.jh-inst.cas.cz/jh_documents.html?doc=832<br><br>Suggestions<br><br>• It is suggested to explore possibilities to further improve stability of employment conditions. |
|---|---|---|---|
| 26. Funding and salaries<br><br>*Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.* | +/- | • To a large degree, the salaries are dependent on successful grant funding. | Regulations<br><br>• Currently, the salaries are governed by internal salary scales.<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/0882948335450594.pdf<br><br>Suggestions<br><br>• To continuously improve funding and salaries to ensure fair and attractive conditions in accordance with the European Charter for Researchers. |

| 27. Gender balance | +/- | • Gender balance among scientists younger than 40 years is already established. Some gap is still evident among the heads of departments and top management. There is an underrepresentation of women in decision-making areas (boards and committees). | Suggestions |
|---|---|---|---|
| *Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.* | | | • To further improve conditions for parents in order to facilitate combining family and work (part-time, kindergartens).<br><br>• To increase representation of women in decision-making positions. |
| 28. Career development | +/- | • The evaluation by heads of departments and other line managers is not guaranteed to be performed on at least an annual basis. | Suggestions |
| *Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.* | | | • To implement a clear and transparent scheme for annual performance and carrier advice. |

| 29. Value of mobility | +/- | • Mobility is currently recognised and encouraged; however, sometimes the rules about contractual arrangements for medium term study leaves (1 to 2 years) are not compatible with the legislation in the receiving foreign countries. | Suggestions<br><br>• To define specific procedures and rules facilitating mobility of researchers for outgoing study leaves. In addition, Marie Skłodowska-Curie Actions (MSCA) grants should be used. |
|---|---|---|---|
| *Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.*<br>*This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.* | | | |
| 30. Access to career advice | +/- | • Currently, the carrier advice is given on an ad-hoc basis and official mentoring is not in place. | Suggestions<br><br>• To implement career advice as an integral part of the envisaged mentoring scheme. |
| *Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.* | | | |

| 31. Intellectual Property Rights | +/- | • Intellectual Property Rights (IPR) issues are covered by existing internal regulations in accordance with Czech Law. | Regulations |
|---|---|---|---|
| *Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.*<br><br>*Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.* | | | • An internal regulations on intellectual property rights:<br><br>http://interni.avcr.cz/miranda2/export/sitesavcr/data.avcr.cz/interni/Dokumenty/Interni_normy/pdf/pokyn-3_2018.pdf<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/6629106762114961.pdf<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/1125246587441666.pdf<br><br>Innovation strategy document only in Czech language<br><br>https://intranet.jh-inst.cas.cz/data/jh_documents/_file/7069796833361708.pdf<br><br>Suggestions<br><br>• An internal regulation on intellectual property is in place (see above). It is suggested to update this document in a way that motivates researchers to submit patents when appropriate and to provide English versions.<br><br>• To carry out training in the IPR area.<br><br>• The committee overseeing whole IPR process has already been nominated. |

| 32. Co-authorship | + | | | Regulations |
|---|---|---|---|---|
| *Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).* | | | | • The current internal regulation does not restrict co-authorship. The authorship is assigned according to the ethics of scientific work principles governed by the Code of Ethics for Researchers of the Czech Academy of Sciences: <br><br> http://www.avcr.cz/en/about-us/legal-regulations/code-of-ethics-for-researchers-of-the-czech-academy-of-sciences/index.html <br><br> Suggestions <br><br> • Some of the researchers, especially early stage researchers (ESR), are not familiar with the rules in place concerning co-authorship. It is suggested to prepare guidance on authorship in scholarly or scientific publications and spread the information about it among researchers via the WIPM. |
| 33. Teaching | + | | | • Teaching by researchers is currently organised via universities who are responsible for remuneration. In the internal evaluation, teaching is considered an addition to research outputs. |
| *Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.* <br> *Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.* | | | | |

| 34. Complaints/ appeals<br><br>*Employers and/or funders of researchers should establish, in compliancewith national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.* | -/+ | • Currently, there is no specific complaints/appeals procedure defined internally and general legislation is used. An impartial ombudsman is not appointed. | Suggestions<br><br>• It is suggested to establish an ombudsman and to describe the procedure for complaints/appeals in the employee manual. |
|---|---|---|---|
| 35. Participation in decision-making bodies<br><br>*Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.* | +/- | • Currently, in the elections to decision-making bodies, only researchers holding a PhD (thus excluding ESRs) can vote. | Regulations<br><br>http://www.avcr.cz/cs/o-nas/pravni-predpisy/stanovy-av-cr/<br><br>http://www.avcr.cz/cs/o-nas/pravni-predpisy/karierni-rad-vysokoskolsky-vzdelanych-pracovniku-av-cr/<br><br>https://eur-lex.europa.eu/legal-content/EN/ALL/?uri=CELEX%3A32002L0014<br><br>Suggestions<br><br>• The election regulations currently allow only researchers holding a PhD with a full-time positions (FTEs)>50% to vote in the elections of decision-making bodies. It is suggested to consider widening the electorate in consultation with CAS.<br><br>• The institute is already compliant with EU Directive 2002/14/EC, establishing a general framework for informing and consulting employees in the European Community. This is implemented via the published annual report and at the annual assembly of employees, researches and other staff. It is suggested to formalise the way of disseminating information and consultation on the situation, structure, and probable development of this forum. |

| Training and Development | | | |
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| 36. Relation with supervisors<br><br>*Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.* | +/- | • Records on personal carrier development plans are currently only maintained for ESR, funded through the European Commission (EC) projects. Students (early stage researchers) and postdocs outside of this framework do not have carrier development plan records kept. | <u>Suggestions</u><br><br>• To keep records of personal carrier development plans for all ESRs (students) and postdocs. This could be linked to the regular performance evaluation. |
| 37. Supervision and managerial duties<br><br>*Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.* | +/- | • Currently, mentoring and supervision of ESR is often done without a formal framework.<br><br>• There is no official mentoring scheme in place. | <u>Suggestions</u><br><br>• To implement a mentoring scheme. |

| 38. Continuing Professional Development | +/- | • Workshops and conferences are organised primarily on a departmental basis, with the exception of an annual student seminar. | Suggestions |
|---|---|---|---|
| *Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.* | | • There are no training schemes organised by the institute for continuing professional development. | • To implement training programmes, including core scientific competencies, project management and evaluation of grant proposals, managerial skills, and general career development issues.<br>• Foreign mentors could be invited to support continuing professional development. |
| 39. Access to research training and continuous development<br><br>*Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.*<br>*Such measures should be regularly assessed for their accessibility, takeup and effectiveness in improving competencies, skills and employability.* | -/+ | • Currently, no formal professional development training programme is in place. | Suggestions<br><br>• To provide manuals for researchers and teachers.<br>• Professional development issues should be covered in training programmes alongside IPR and H&S aspects. |

| 40. Supervision | + | | • Study programmes at associated universities already ensure that a qualified supervisor is assigned to each ESR. |
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| *Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.*<br>*Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.* | | | |
| **Any additional issues** | | | |

## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list[1]
*OTM-R checklist for organisations*

| | Open | Trans-parent | Merit-based | Answer:<br>++ Yes, *completely*<br>*+/-Yes, substantially*<br>*-/+ Yes, partially*<br>*-- No* | Suggested indicators (or form of measurement) |
|---|---|---|---|---|---|
| **OTM-R system** | | | | | |
| 1. Have we published a version of our OTM-R policy online (in the national language and in English)? | x | x | x | -- | <u>Regulations</u><br>• The institute is bound by national legislation and CAS guidelines, which govern our recruitment processes:<br>http://www.avcr.cz/cs/o-nas/pravni-predpisy/karierni-rad-vysokoskolsky-vzdelanych-pracovniku-av-cr/<br>and:<br>§ 16 odst. 1 zákona č. 283/1992 (420/2005) Sb., Zákon o Akademii věd ČR (available in Czech language)<br>• No specific OTM-R policy is published.<br>• Policy documents are scattered and not directly available on our web site. |
| 2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions? | x | x | x | -/+ | • An internal guide of clear OTM-R procedures and practices is missing. In part, its function is served by the status of CAS and by the CAS guidelines (see above). |
| 3. Is everyone involved in the process sufficiently trained in the area of OTM-R? | x | x | x | -- | • There are no training programmes for OTM-R. |
| 4. Do we make (sufficient) use of e-recruitment tools? | x | x | | -- | • There are no e-recruitment tools available. |

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[1] *http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies*

| | | | | | |
|---|---|---|---|---|---|
| 5. Do we have a quality control system for OTM-R in place? | x | x | x | -- | • There is no quality control system for OTM-R. |
| 6. Does our current OTM-R policy encourage external candidates to apply? | x | x | x | ++ | • Most applications for opening positions are external. Statistics were carried out on shortlisted candidates during calendar year 2017. |
| 7. Is our current OTM-R policy in line with policies to attract researchers from abroad? | x | x | x | +/- | • A substantial fraction (majority in 2017) of applications are from abroad. |
| 8. Is our current OTM-R policy in line with policies to attract underrepresented groups? | x | x | x | +/- | • A substantial fraction (30%) of applicants are women. There are no specific measures to attract underrepresented groups (especially women). |
| 9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers? | x | x | x | +/- | • Most applications for opening positions are external.<br>• A package of benefits is offered, including lunch vouchers, subsidies for sports and cultural activities, and flexible working hours. |
| 10. Do we have means to monitor whether the most suitable researchers apply? | | | | -- | • We do not have means to monitor whether the most suitable researchers apply. |
| **Advertising and application phase** | | | | | |
| 11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions? | x | x | | -- | • Euraxess type templates are typically used when the conditions of the grant funding require this. Guidelines for advertising positions are missing. |
| 12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [*see Chapter 4.4.1 a) of the OTM-R expert report*[2]] | x | x | | -- | • We do not include in the job advertisement references/links to all the elements foreseen in the relevant section oft he toolkit. |
| 13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience? | x | x | | -/+ | • Only recently (since 2017), we have started to systematically advertise on Euraxess, however, it is not used for all vacancies yet. |
| 14. Do we make use of other job advertising tools? | x | x | | -/+ | • Other portals (CAS, Jobs.cz) and social media (Facebook) are used occasionally, but not systematically. |
| 15. Do we keep the administrative burden to a minimum for the candidate? [*see Chapter 4.4.1 b)*[45]] | x | | | +/- | • Only the information legally required is usually compulsory. |
| **Selection and evaluation phase** | | | | | |

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[2] *http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies*

| | | | | | |
|---|---|---|---|---|---|
| 16. Do we have clear rules governing the appointment of selection committees? [*see Chapter 4.4.2 a)* [45]] | | x | x | +/- | • The selection of candidates is done by a three-member committee, according to the publicly available CAS regulations:<br><br>http://www.avcr.cz/cs/o-nas/pravni-predpisy/stanovy-av-cr/ (Art. 51)<br><br>• It is suggested to formulate criteria for appointment to selection committees based on experience and training. |
| 17. Do we have clear rules concerning the composition of selection committees? | | x | x | -/+ | • The only rule is concerning the number of members (three). It is suggested to formulate guidelines on the composition of selection committees. |
| 18. Are the committees sufficiently gender-balanced? | | x | x | -/+ | • Women are represented, however the balance does not correspond to the balance amongst younger researchers. |
| 19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected? | | | x | -- | • Written guidelines and related OTM-R training need to be established. |
| **Appointment phase** | | | | | |
| 20. Do we inform all applicants at the end of the selection process? | | x | | +/- | • Applicants that are not selected are not always informed.<br><br>• Written guidelines are missing. |
| 21. Do we provide adequate feedback to interviewees? | | x | | -- | • Feedback to interviewees is often formal and non-specific. |
| 22. Do we have an appropriate complaints mechanism in place? | | x | | -- | • Complaints are governed by the Czech legislation. It is suggested to publish information about the complaint procedure. |
| **Overall assessment** | | | | | |
| 23. Do we have a system in place to assess whether OTM-R delivers on its objectives? | | | | -- | • It is suggested to implement such system as an integral part of OTM-R. |