

GAP Analysis (Charter and Code Checklist)

Case number: **2018CZ342584**

Name Organisation under review: **Technical University of Liberec**

Organisation's contact details: **Studentská 1402/2, Liberec, Liberec, 461 17**

Submission date: **05/12/2018**

Date endorsement charter and code: **03/10/2018**

GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview

- **Status:** to what extent does this organisation meet the following principles?
- **Implementation (++, +/-, -/+, --):**
 - ++ fully implemented
 - +/- almost but not fully implemented
 - -/+ partially implemented
 - insufficiently implemented
- **GAP:** In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation.
- **Implementation impediments:** If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- **Initiatives undertaken/new proposals:** If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

| Statute | Implementation (++, +/-, -/+, --) | GAP/Implementation impediments | Initiatives undertaken/new proposals |
|---------|--------------------------------------|-----------------------------------|--------------------------------------|
|---------|--------------------------------------|-----------------------------------|--------------------------------------|

Ethical and Professional Aspects

| | | | | |
|---------------------|-------------------|-------|---|---|
| 1. Research freedom | ++ implemented | fully | <p>The CxI TUL environment is fully in line with terms of the Charter and the Code.</p> | <p>The criterion is fully completed, corrective measures are not defined.</p> <p>DIRECTIVES</p> <p>The freedom of research is generally governed by the Act No.111/1998 Coll., On higher education Institutions and on the transition and supplementation of other acts, as amended.</p> <p>Freedom of research and its limitation are regulated at the level of Czech legislation by other legal regulations related to the protection of intellectual property (Act No. 121/2000 Coll., Copyright Act, Act No. 527/1990 Coll., On invention and improvement proposals, Act no. 478/1992 Coll., On utility models and others).</p> <p>Rector's Directives 1/2018 The TUL Code of Conduct for staff and students regulates freedom of research and ethical dimensions of researchers in the performance of science and research tasks and projects.</p> <p>https://www.tul.cz/files/pages/EN_Ethics_Code_for_Employees_and_Students.pdf Strategic Plan for the Scholarly, Research and other Creative Activities of TUL</p> |
|---------------------|-------------------|-------|---|---|

2. Ethical principles

++
implemented

fully

The CxI TUL environment is fully in line with the terms of the Charter and the Code.

2016_2020, Strategic Implementation Plans and Strategic Development Plan of the TUL for 2020 with a forward view to 203 define the focus and social impact of TUL research activities.

The CxI TUL Statute defines areas of research and focus of science and research within the above mentioned acts.

The criterion is fully completed, corrective measures are not defined.

DIRECTIVES

Rector's Directives 1/2018 the TUL Code of Conduct for employees and students formulates the basic ethical principles of behaviour and conduct. It is binding upon all TUL employees and students, while preserving academic freedom primarily in the sense of free will and decision making in student education, freedom of self-education, freedom of scientific research including the choice of research topic and methodology.

The set of ethical principles defined by the TUL Code of Conduct for employees and students is based on the historical role of universities as the bearers of education, freedom of research, cultural, economic and social development of society and is consistent with generally recognized ethical rules of national, sectoral and institutional nature in the field of science and research.

The TUL Strategic Development Plan for 2020, with a

3. Professional responsibility

+/- almost but not
fully implemented

Unclear definition of
the competencies
and responsibilities of
the CxI TUL staff in
the fulfilment of their
science and research
tasks and projects.

forward view to 2030, defines science and research priorities and defines the principles, ethical dimensions and procedures to achieve them.

Aspect of professional responsibility is almost implemented.

DIRECTIVES

At the TUL level, a separate Rector's Directive 2/2015 on the Protection of Intellectual Property at the TUL and on the Commercialization of Scientific and Research Results is issued. It adjusts the competencies and procedures on the protection of copyright and industrial property rights. It defines the duties of researchers to protect intellectual property, to manage, make available and publicize the results of science and research, and to protect the rights of others. The Directive regulates the contractual requirements in case of project solutions or joint development with other entities and researchers. It sets out the procedures for reporting the outcomes, applying the law, protecting and commercializing the results.

Rector's Directives 1/2018 The TUL Code of Conduct for Employees and Students regulates public benefit, non-duplication of research, respect for intellectual property rights and citation practices. Online text comparison tools are used both in pedagogical and scientific research.

The Articles 15 and 16 of the TUL Conditions of employment internal standards regulate the rights and

4. Professional attitude

+/- almost but not fully implemented

Insufficiently defined specific CxI TUL strategic objectives for individual areas of knowledge.

obligations of the research project or task investigator and the member of implementation team. It defines responsibility of management or participation in the project, financial management, and procedures applied while solving scientific research tasks.

Prior to the start of the solution of a particular science and research project or task, the TUL has prepared in writing an Authorization of the Investigator. The Investigator than confirms by signature that he has become acquainted with the relevant legislation of the Czech Republic, internal regulations and TUL standards and conditions of the fund's provider. Furthermore, the Investigator declares that he is aware of his/her responsibility in relation to the performance of the investigator's tasks, has sufficient professional knowledge and ability.

This authorization is however formulated in general terms.

PROPOSALS

It is necessary to complete the Authorization of the science and research project or task Investigator with the specific assumptions, competencies and responsibilities related to the given task or project at the CXI TUL level.

INITIATIVES UNDERTAKEN

The Strategic Plan for the Scholarly, Research and other Creative Activities of TUL 2016_2020, including annual updates and the TUL Strategic Development Plan for 2020, with forward view to 2030, set the objectives in the

Description of relationships with the tasks and projects, the tools and their financing.

field of science and research, supported activities, link to mobility and internationalization of all TUL activities, declare principles and preferred forms of cooperation with other universities, science and research institutions and foreign partners.

DIRECTIVES

Statutes of the CxI TUL define areas of research and focus of science and research in their scope.

PROPOSALS

Based on the general framework defined by the TUL strategic documents, specific CxI TUL strategic objectives, based on SMART (Specific Measurable, Accepted, Realistic, Timed), tools to achieve them, and sources of funding for them need to be developed for each science area.

5. Contractual and legal obligations

+/- almost but not fully implemented

Unclearly defined competences and responsibilities in solving specific tasks and projects. The risk of inadequate knowledge of specific competencies and responsibilities is increased for junior researchers who have

DIRECTIVES

A separate Rector's Directive 2/2015 on the protection of intellectual property at the TUL and The commercialization of the science and research results regulates the competences and procedures in the protection of copyright and industrial property rights.

The obligations of the science and research project or task investigator are further defined by the Articles 15 and 16 of the TUL Conditions of employment internal standard.

These documents generally describe the requirement for

less experience in managing projects and tasks.

the management and implementation of research activities in accordance with the conditions of the provider and the applicable legislation. Rector's Directives 1/2018 The TUL Code of Conduct for Employees and Students obliges the researcher to be responsible for the objectivity, reliability and accuracy of research, respecting the limits of the used methods and protecting the intellectual property of the authors of the science and research results.

PROPOSALS

It is necessary to complete the Authorization of the science and research project or task Investigator with the specific assumptions for performance of the function, competencies and responsibilities related to the given task or project at the CxI TUL level. It is also necessary to briefly and regularly pass the summary of the rules to the researchers (institutions, providers) to be followed depending on the type of project / task. Ensure awareness of these obligations in the relevant internal TUL documents.

6. Accountability

+/- almost but not fully implemented

Unclear definition of competences and responsibilities in solving tasks and projects.

DIRECTIVES

Rector's Directive 1/2013 on the Internal Control System includes the obligation to draw up the Authorization of Investigator. By his/her signature, the investigator confirms that he/she has become acquainted with the related legislation of the Czech Republic, which includes a

specific request to use resources, with internal regulations and TUL standards and conditions of the provider of funds. Furthermore, the Investigator declares that he/she is fully aware of his/her responsibilities in relation to the performance of the investigative activities, has sufficient expertise, abilities and means to perform the work properly.

Articles 15 and 16 of the TUL Conditions of employment internal standards regulate the rights and obligations of the science and research project or task investigator or the member of the implementation team. It defines responsibilities for management or participation in project, financial management, and procedures for solving scientific research tasks.

Rector's Directives 1/2018 the TUL Code of Conduct for Employees and Students provides general guidelines for scientific, artistic and other creative work and the ethical dimensions of these activities, including responsibility for the use of resources. The TUL worker is careful not to endanger any material values. He/she directly commits himself/herself to the efficient and effective use of the resources provided for research.

PROPOSALS

It is necessary to complete the Authorization of Investigator of science and research project or task with the specific assumptions for performance of the function, competencies and responsibilities related to the given task or project at the CxI TUL level.

7. Good practice in
research

-/+ partially
implemented

The CxI TUL
environment is fully in
line with the terms of
the Charter and the
Code.

The criterion is partially completed.

DIRECTIVES

Rector's Directive 1/2018 the TUL Code of Conduct for Employees and Students obliges science and research workers to observe moral principles and ethical principles, adhere to fundamental rules of interpersonal relationships and good behaviour. In the principles of scientific, artistic and other creative activities, the obligation includes not threatening colleagues, society, the environment, material, cultural and ethical values, and the responsibility for the quality and credibility of their research.

The duty of confidentiality and protection of confidential information is enshrined in Rector's Directive No. 2/2015 on the protection of intellectual property. Occupational safety and health are regulated by the Health and Safety at Work Regulations and related documents. Every worker, on entering into employment and then at regular intervals, goes through OSH training.

PROPOSALS

There is a lack of a more elaborated Health and Safety Regulations at the CxI TUL, which would differentiate the diversified training requirements for R&D personnel (the training program should respect the professional orientation - i.e. the specifics of the field of chemistry as well as of engineering). The training plan is draw up very broadly, lacking clear information as to when and in what

8. Dissemination,
exploitation of results

+/- almost but not fully
implemented

The internal documents do not specify competencies and responsibilities in relation to dissemination and exploitation of results, the unified concept of education is missing. There is a lack of clear information about the results of the CxI research teams and information on their contribution to

area the worker is trained.

The Privacy Policy is governed by the Quaestor's Directive No. 8/2006 on the protection of personal data.

Data management system and a data protection system (data back-up) is not completed at the CxI. In this area, it is necessary to elaborate the analysis and to identify the requirements of individual workplaces and to prepare the basis for the specific CxI needs with respect to the specifics of the field.

DIRECTIVES

Rector's Directives 1/2018 the TUL Code of Conduct for Employees and Students obliges science and research workers to protect the results of their work, respecting the copyrights of others and respecting citation practices.

Requirements for the publication of results to professional media and to the general public, requirements for verifiability and data retention are included in the section on principles for scientific, artistic and other creative activities.

The dissemination of the science and research results is also regulated by the Rector's Directive 2/2015 on the Protection of Intellectual Property at the TUL and on the Commercialization of Scientific and Research Results and the Law No. 130/2002 on support of research and

society.

development from public funds.

PROPOSALS

Develop the concept of education for dissemination and use of results relevant to the target group. Focus more on junior researchers in the field of preparation of research projects and professional publications, and senior researchers in the field of commercialization. Specify competencies and responsibilities into CxI internal documents in relation to the dissemination and use of R&D results

Update - make the section of the cxi.tul.cz website more attractive, where the professional and lay public will be informed about the successes, new results and interesting events from the CxI environment.

9. Public engagement

++
implemented

fully

The CxI TUL environment is fully in line with the terms of the Charter and the Code. CHARTA Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by

The criterion is fully completed, corrective measures are not defined.

DIRECTIVES

Rector's Directives 1/2018 the TUL Code of Conduct for Employees and Students obliges science and research workers to advocate scientific work against unfair doubts or misuse and obligate them to the observance and dissemination of principles of reliable and credible scientific work.

PROPOSALS

In the section of the principles of scientific, artistic and

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.

other creative activities, the commitment includes focusing research or other creative activities on the expansion of human knowledge, the development of artistic and cultural values, and the commitment to use the results of science and research for the benefit of society.

The criterion is fully completed, corrective measures are not defined

DIRECTIVES

Rector's Directive 1/2018 the TUL Code of Conduct for Students and Employees obliges science and research workers to refuse discrimination on grounds of gender, race, ideology, religion, nationality, age, sexual orientation or physical disability. It forbids any type of abuse of position at any level of the organizational structure for the personal benefit or benefit of other people or entities. In the part of guidelines for consultative and managerial work, the employees are obligated to respect the uniqueness regardless of the origin, ethnicity, and respect for human rights and equal access to subordinate workers.

10. Non discrimination

++
implemented

fully

The CxI TUL environment is fully in line with the terms of the Charter and the Code

11. Evaluation/
appraisal systems

-/+ partially
implemented

The system of evaluation of science and research staff at the CxI TUL is not comprehensive and does not contain all the requirements of the Charter and the Code. There is no systematic monitoring of all activities of individual workers. The system does not evaluate all worker groups and does not take the specifics into account. It is not linked to a system of professional growth, development and education. Control mechanisms are not in place, the assessment is formal and not sufficiently communicated.

At the Czech level this issue is regulated by Labour Code 262/2006 Coll. - § 16 an Anti-Discrimination Act No. 198/2009 Coll.

INITIATIVES UNDERTAKEN

At present, the Director's Directive 2/2012 Career Regulations of CxI R&D staff is applied. It is based on employee evaluation which is based on results in the Czech Republic's Information System for Research, Experimental Development and Innovation (RIV, website <http://publikace.tul.cz>) throughout the previous year.

The worker fulfils the specified minimum criteria. In the event of their fulfilment, merit criteria are assessed, where the portion of the results are directly related to the variable component of the salary of the researcher.

The results are taken into account in the next career progression.

DIRECTIVES

The TUL Internal wage regulation regulates the differentiation of researchers according to the nature of the work (attachment 1). The TUL Conditions of employment internal standard obliges senior executives in the Article 14 to regularly evaluate work results, appraise initiative and labour and differentiate wages of subordinates according to the complexity, responsibility and workload of the work done, according to the work performance, achieved results and qualification

prerequisites.

It also adjusts the rights and obligations of the project investigator or the science and research task in evaluation and remuneration.

PROPOSALS

Revise the Director's Directives 2/2012 Career Regulations of CxI TUL R&D staff in order to set quantitative and qualitative criteria for every category of the researchers. Ensure the systematic evaluation of all groups of employees, define the principles of feedback and have a link to the system of education professional growth, development, education and remuneration.

Recruitment and Selection

12. Recruitment

+/- almost but not fully implemented

Admission and input standards for each category of science and research workers are not clearly defined. The CxI TUL internal regulations do not define specific standards for junior researchers and postdocs.

INITIATIVES UNDERTAKEN

This criterion is almost fully implemented at the CxI TUL.

The incentive for the recruitment of a new employee is usually made by the head of the workplace, who draws up a "job position add" together with the head of the Human Resources Development department, which is published on the official CxI TUL notice board, (<http://cxi.tul.cz/onas/vyberova-rizeni>) and on the official TUL notice board and on the MLSA website as dictated by the law. The ad is also newly published in the English version and on the Euraxess International Network website. The recruitment rules are adjusted at the TUL level.

DIRECTIVES

Article 1 and 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff governs general recruitment procedures for TU staff, defines the published criteria, the persons responsible for the selection process, the assessment, selection and notification of the most suitable candidate.

This issue is at the CxI level governed by the Director's Directive 2/2012 Career Regulations of the R&D staff, where the recruitment procedures of the R&D personnel are defined.

Article III of the CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff contains a list of criteria and methodology for the selection of the most suitable applicant. CxI TUL document The Rules of Procedure of the Selection Board for the positions of heads of research departments define the selection committee rules of conduct.

When publishing vacancies, the required qualifications, competences and entry requirements are presented. The rules are equally defined for all groups of R&D staff regardless of the career stage or any possible disadvantages.

PROPOSALS

Revise CxI TUL Director's Directive 2/2012 Career Regulations of R&D staff internal documents. Define the admission and entry standards, according to the criteria 12 - Recruitment, to the existing categorization of the R&D staff according to the international classification R1 - R4 and

internal wag groups C1 - C5. Define specific standards for new junior researchers. Update the CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff in the same scope and solve the relation to the CxI TUL Rules of Procedure of the Selection Board for the positions of heads of research departments.

13. Recruitment (Code)

-/+ partially
implemented

There are no clear rules governing the electronic publication of vacancies, deadlines, and people responsible for electronic publishing.

International scope, web resources and portals are not defined. There is no clear indication of the possible career development of a science and research worker.

INITIATIVES UNDERTAKEN

This criterion is only partially fulfilled at the CxI TUL. The principles of the OTM-R policy are described in a very general way; moreover, it was customary to publish tenders only in the Czech language on tul.cz website. The tender form contains all mandatory elements, however, the forms of selection, especially for younger applicants are not very attractive.

DIRECTIVES

Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff governs the manner and form of the publication of the vacancy offer and the components of the application for the tender according to the character of vacant post and defines the set of submitted written documents.

The internal regulations of the TUL lay down the rules for the publication of vacancies and the filling of vacancies on the basis of the selection procedure. The specific deadlines and terms are governed, inter alia, by Act No. 111/1998

Coll., On Higher Education Institutions and on the Amendment to Other Acts (Higher Education Act), a amended.

PROPOSALS

Revise the CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff. Complete the obligation to publish tenders electronically on international and world-wide platforms (EURAXESS ResearchGate and others) and lay down the rules for the publication of all vacancies in the Czech and English language versions.

Include the information on the potential career development of science and research workers into the existing job vacancy templates within a job position and on a workflow perspective. Make the selection process more attractive, especially for junior employees (joint workshops with students on assigned tasks, interactive practitioner). When recruiting new employees use communication channels of existing workers who often do not even know that a new employee is being sought for their team.

14. Selection (Code)

++
implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

The criterion is fully completed, corrective measures are not defined.

DIRECTIVES

Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff governs the rules for determining the committee, the

15. Transparency
(Code)

+/- almost but not fully
implemented

Internal documents do not contain the obligation to indicate the options for career development of the R&D staff in the advertised positions. There is no obligation to inform candidates about

requirements for members and chairmen, and the manner of publication of the selection panels composition and regulates forms of negotiation.

Article II of the CxI TUL Director's Directive 1/2012 The Career Regulations of R&D staff defines the composition and negotiation of commissions for the selection of science and research staff at the CxI TUL.

The document CxI Selection Board Rules of Procedure for the positions of the CxI Head of research department defines the rules of the selection committee meetings. Both CxI TUL internal documents regulate the obligation to train the members and heads of the selection boards, define the gender balance of the selection boards and the rules for supplementing them with people from different sectors, fields and foreign institutions.

A record is kept in the tender files from all phases of the selection process.

INITIATIVES UNDERTAKEN

The criterion is almost implemented at CxI TUL level. The tender ad is, next to the job description and their specifics, a list of applicant's criteria to be evaluated. The tendering process is described and contact information to the person who answers possible questions is stated.

DIRECTIVES

Article 2 of the TUL internal regulations - Rules of the

the strengths and weaknesses of their candidacy.

tender procedures for appointing academic and other staff governs the tender process, rules for determining the committee and the rules for determining selection criteria.

The rules for selection procedures are also regulated in the CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff and in the Document of the Selection Board Rules of Procedure for the positions of the CxI Head of research department.

PROPOSALS

Revise CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff. Add a template for the appointment of committee's members and chairmen, the release of the decision and selection committee meetings. Add the obligation of the publisher to justify a decision if it is not in accordance with the recommendation of the selection board and adds the advice to ask for information about his/her results of the selection procedure. Add information about career opportunities for staff career development, according to the criterion 13. Recruitment (Code), to the vacancies template.

9. 16. Judging merit
(Code)

+/- almost but not fully implemented

There is no consideration for other relevant type of criteria - the participation on

INITIATIVES UNDERTAKEN

This criterion is almost implemented at the CxI TUL level. Within the selection process, both quantitative and qualitative criteria are assessed, they are considered rather informal and their determination in the text of the selection

education, the experience with team work, the merits of raising the public's awareness about the scientific work and other mostly qualitative criteria in the internal documents for assessing the most suitable candidate.

procedure is difficult and differ depending on the type of position.

DIRECTIVES

Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff governs the rules for determining selection criteria.

The CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff also governs selection criteria.

The CxI Director's Directive 2/2012 Career Regulations of R&D staff regulates the assessment of scientific and research staff according to the number of publications and the share of patents, and also governs to the volume of contractual research.

The existing internal documents describe the number of publications (impacted and others) and patents (national and international) when selecting candidates for vacancies.

PROPOSALS

Revise CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff and CxI Director's Directive 2/2012 Career Regulations of R&D staff internal documents. Include qualitative criteria for assessing the suitability of the candidate for the position of P& staff.

Define the admission and entry standards, according to the criteria 12 - Recruitment, to the existing categorization of

| | | | | |
|---|--------------------------------------|-------|--|---|
| 17. Variations in the chronological order of CVs (Code) | ++ implemented | fully | The CxI TUL environment is fully in line with terms of the Charter and the Code. | the R&D staff according to the international classification R1 - R4 and internal wage groups C1 - C5. |
| 18. Recognition of mobility experience (Code) | +/- almost but not fully implemented | | The internal documents do not clearly incorporate the way of assessment and the benefits of mobility in the selection (and evaluation) of science and research workers, in the same or another area of | The criterion is fully completed, corrective measures are not defined. |
| | | | | <p>DIRECTIVES</p> <p>Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff regulates the way and the form of filing the application into the tender according to the character of the vacant post and defines the set of submitted written documents.</p> <p>The Article III of the CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff includes set of criteria and methods on the selection of the most suitable applicant.</p> |
| | | | | <p>This criterion is almost fully implemented at the CxI TUL. Qualification and quantification criteria are assessed in the process of selecting the most suitable candidate (s). The issue of mobility is assessed rather informally.</p> <p>DIRECTIVES</p> <p>Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff governs the rules for determining selection criteria.</p> <p>The selection criteria for CXI TUL are governed by the</p> |

knowledge or another institution and abroad.

Director's Directive 1/2012 On the selection procedure for positions of R&D staff. Article III defines remunerations for applicants for positions of science and research workers if they have completed post-doctoral internships for a period of a least one year in the last 10 years or have been in employed in the field of industrial research in the las 10 years for at least one year.

PROPOSALS

Revise CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff and Director's Directive 2/2012 Career Regulations of R & D staff, add the importance and the way in which mobility is taken into account in the selection, resp. evaluation of R&D staff.

19. Recognition of qualifications (Code)

+/- almost but not fully implemented

The concept of "informal qualifications" its meaning and application in the assessment of the most suitable candidate is currently not defined in the internal documents.

This criterion is almost fully implemented at the CxI TUL.

DIRECTIVES

Recognition of formal qualifications is governed by Act No. 111/1998 Coll., On Higher Education Institutions and on the Amendment and Supplementation of Other Acts (Higher Education Act), as amended.

Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff defines parts of the tender application according to the character of the vacant position and the way of proving applicant's qualification.

20. Seniority (Code)

+/- almost but not fully implemented

There is no clear definition of admission and entry standards for each category of science and research staff, see Criterion 12. Recruitment.

Article II of the CxI TUL Director's Directive 2/2012 The Career Regulations of R&D staff regulates qualification levels of science and research workers. Defines the junior researcher, senior researcher, and research program leader based on formal and partially informal qualifications.

PROPOSALS

Revise CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff and the CxI Director's Directive 2/2012 Career Regulations of R&D staff internal documents. Add links to relevant legislation on recognition of qualifications in the Czech Republic. Add the notion of informal qualifications. Modify the criteria for selecting the most suitable applicant so that informal qualification are clearly taken into account.

INITIATIVES UNDERTAKEN

This criterion is almost fully implemented at the CxI TUL. In the process of selecting suitable candidates for a given position the candidate is assessed in a comprehensive way, including the discharge of professional training events, lifelong learning courses, taking into account other activities (i.e. publishing activities) he/she has performed and his/her interest in his/her own overall development.

DIRECTIVES

The Annex 1 of the TUL Internal salary regulation internal

document defines the work catalogue for employees, which states the nature of the work performed. Annex 2 defines the qualification prerequisites of individual groups of science and research workers.

Article II of the CxI TUL Director's Directive 2/2012 The Career Regulations of R&D staff regulates qualification levels for science and research workers on the basis of the obtained qualification.

Article II of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff defines part of the tender application according to the character of vacant position and the way of proving qualification.

The required level of qualification for the candidates corresponds to the vacancies available. In the scope of recruitment process, the actual knowledge and skills of applicants are assessed, in practice, the reputation of the organization in which the qualification was obtained is disregarded. However, admission and entry standards are not clearly defined.

PROPOSALS

Update Director's Directive 2/2012 Career Regulations of CxI TUL R&D staff. Define admission and entry standards in the existing categorization of the R&D personnel according to the international classification R1 - R4 and according to the internal wage groups C1 - C5. Update the Director's Directive 1/2012 On the selection procedure for the

21. Postdoctoral appointments (Code)

+/- almost but not fully implemented

The post-doctoral position is not included in the CxI TUL strategic documents.

There are no separate rules for pre or post graduate positions. There are no conditions for further professional development and career advancement. The assumption of the maximum duration of post-doctoral position is not set.

positions of CxI TUL R&D staff, according to criterion.

INITIATIVES UNDERTAKEN

This criterion is only partially implemented at the CxI TUL.

The CxI does not have a defined post-doctoral position in its strategic documents or internal regulations, as well as the criteria considering who is a post-doctoral student. This is partly due to the fact that grant providers define this position differently (for example the number of years a R&D worker is considered postdoc differ as well as the selection criteria - eligibility for the project differs).

DIRECTIVES

The Article II of the CxI TUL Director's Directive 2/2012 The Career Regulations of R&D staff regulates qualification levels for science and research workers

It places post-graduate students into junior researchers.

Article III of the CxI TUL Director's Directive 1/2012 On selection procedures for R&D staff positions contains a list of selection criteria, but it is not specifically focused on postgraduate positions.

Article 2 of the TUL internal regulations - Rules of the tender procedures for appointing academic and other staff regulates the manner and form of filling the application into the selection procedure according to the character of the applied position and the way of proving the qualification, but not specifically for post-doctoral

positions.

PROPOSALS

Incorporate CxI TUL's position towards accepting post-docs, their financing and further function at the TUL into HR strategic documents.

Update Director's Directive 2/2012 Career Regulations of CxI TUL R&D staff CxI.

Define admission and entry standards in the existing categorization of the R&D personnel according to the international classification R1 - R4 and according to the internal wage groups C1 - C5.

Update the Director's Directive 1/2012 On the selection procedure for the positions of CxI TUL R&D staff, according to criterion 12. Recruitment to the same extent.

Working Conditions and Social Security

| | | | |
|-----------------------------------|-------------------|-------|--|
| 22. Recognition of the profession | ++ implemented | fully | The CxI TUL environment is fully in line with terms of the Charter and the Code. |
|-----------------------------------|-------------------|-------|--|

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

All positions, including their specifics are fully recognized at the level of all CxI workplaces.

DIRECTIVES

The internal documents define in detail who is a R&D worker, the qualification requirements and the characteristics of the work performed. The TUL stands for and applies equal approach to all employees in terms of

23. Research environment

+/- almost but not fully implemented

There is no regular mechanism for tracking complaints / objection from CxI TUL employees. There is no feedback on whether the measures that have been set up have

remuneration, working conditions and career growth opportunities.

Article 2 of the TUL Conditions of employment internal standard regulates individual categories of employees according to the nature of the performed work.

The Annex 1 of the TUL Internal salary regulation internal document defines the work catalogue for employees, which states the nature of the work performed. Annex 2 defines the qualification prerequisites of individual groups of science and research workers.

Article II of the Director's Directive 2/2012 The Career Regulations of the CxI TUL R&D staff regulates, in connection with the TUL Internal regulations, the qualification levels of science and research employees. In addition to the qualification levels used by the TUL, it forms a "bridge" between the generally recognized and at the European level used R1-R4 qualification scale.

INITIATIVES UNDERTAKEN

The criterion is almost fully fulfilled.

The CxI TUL management seeks to create a favourable work environment for all of its employees, with the help of heads of particular workplaces. CxI is based in the newly-built building L, has acquired more than 120 new laboratory equipment from the grant programs in the past eight years and built a common area for employees to meet and enjoy a good coffee. During operation, the TUL

improved
situation.

the technical section deals with occasional problems with the built-in infrastructure. An access to the Eduroam internet network and databases, under the management of TUL University Library, is guaranteed.

DIRECTIVES

The issue of the research environment and adequate resources is fully covered by internal documents.

The TUL Strategic Development Plan for 2020 with a forward view to 2030 defines the strategic objectives in the field of science and research.

The Article 6 of the TUL quality assurance and internal quality evaluation rules include a TUL commitment to create condition for free research and professional growth of academic staff, to develop laboratory and technical background and to create the conditions for funding scientific and research activities.

Article I of the Director's Directive 2/2012 Career Regulations of the CxI R&D staff declares the efforts of science and research workers to continually increase their qualifications and develop their skills and abilities and includes the CxI TUL commitment to provide the necessary conditions for professional growth.

The Article 15 of the TUL Conditions of employment internal standard regulates the rights and obligation of the science and research project or task investigator and the Article 18 regulates the use of I resources, telecommunication facilities and software security rules.

The issue of health and safety at work is regulated by: TUL Conditions of employment, TUL Collective Agreement, Quaestor's Directive No. 3/2013 Occupational Health Service, Categorization of Work, Occupational Health Examinations and Medical Fitness, Quaestor's Directive No. 5/2008 On the provision of the PPE, their acquisition, issue and registration, Quaestor's Directive No. 4/2008 On determining the organization of fire safety, Quaestor's Directive No. 5/2005 On the first-aid kit equipment at the TUL workplace.

PROPOSALS

Building a favourable work environment is a continuous process requiring regular dialogue. Employee feedback is provided mostly circumstantially, there is no control mechanism to determine whether the rectifications / improvements benefiting the target group have been implemented. The employee satisfaction survey took place at the CxI in 2018. The aim is to identify the shortcomings or impulses that employees communicate via this form. The members of the Operational Board as well as members of the Scientific Council were acquainted with the results. Initiatives are then evaluated at the level of the Directorate, and then it can be deduced whether the agreed action / remedy has led to improvements in the area. Questionnaire surveys as feedback will continue to be used.

24. Working conditions +/- almost but not fully implemented

Creative leave under Act No. 111/1998 Coll.,

On Higher Education Institutions and on Amendment and Supplementation of Other Acts (Higher Education Act), as amended, is provided only to academic staff. There are no conditions for the provision of "sabbatical leave" for science and research workers.

INITIATIVES UNDERTAKEN

This criterion is almost implemented at the CxI TUL level. Building L is fully wheelchair accessible. Workers are allowed part-time employment, there is a children's playroom and a kindergarten in the premises of the University. Both mothers and fathers on maternity leave are thus able to reconcile work and family life, more than half of women - researchers return to work by part-time employment after parental leave. After the agreement with the head of the workplace, it is possible to use a home office. Academic staff can take 8 weeks of leave, R&D personnel and administrative staff 5-week.

DIRECTIVES

Act No. 111/1998 Coll., On Higher Education Institutions and on Amendments and Supplementation of Other Acts (Higher Education Act), as amended, provides in Section 76 for the possibility of granting employees 6 months of sabbatical (creative leave) once every 7 years.

The Article 14 of the TUL internal wage regulation regulates wages when using sabbatical leave.

Article 20 of the TUL Conditions of employment internal standard regulate individual an flexible working hours, home office and shorter work hours. Article 33 regulates employee care.

The TUL collective agreement governs the labour law in the Article IV. and social area in the Article VII.

25. Stability and permanence of employment

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implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

The Academic Advisory office and the TUL Support centre provide care for employees with specific needs.

TUL ensures good-quality and equal working conditions. Disabled people are provided with barrier-free workplaces and compensatory aids, helping to reconcile work and family life through shorter working hours, flexible working hours, and home office. TUL runs a kindergarten, a children's playroom and a hostel. In accordance with Act No. 111/1998 grants a creative leave only to academic staff.

PROPOSALS

Analyse the legal status and conditions at the CxI TUL for the possibility of providing sabbatical also to R&D personnel, prepare a risk analysis, and define the conditions for employing sabbatical to R&D personnel at the CxI TUL.

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

The CxI TUL budget consists by 90% of research projects and contract research that are time-limited. In accordance with the Labour Code of the Czech Republic and the internal regulations of the TUL and the CxI, the CxI provides employment contracts of indefinite and also fixed duration, which are usually concluded for the duration of

the project. If the research in the area is financially secured, the fixed-term contract, in accordance with the TUL Collective Agreement, is prolonged. On average, 85% of the contracts are concluded for a fixed term.

Employees with a fixed-term contract have the same rights, working conditions and entitlement to employee benefits as employees with an employment contract of indefinite duration.

DIRECTIVES

The Labour Code of the Czech Republic in Section 39 defines the principle of fixed-term employment, which can be entered at most three times for a maximum of three years in an individual case. After that, an employment relationship with an indefinite period must be entered into with the employee. The agreement with the TUL trade union organization on the determination of work positions not covered by Section 39 of the Labour Code of the Czech Republic allows the recurrent conclusion of fixed-term employment contracts for science and research workers.

The Labour Code of the Czech Republic regulates the issue of working conditions. The TUL Conditions of employment regulate working conditions, in particular in the Article 12 of Employee Rights, the Article 32 Safety and Health at Work and the Article 33 of Employee Care.

The TUL Collective Agreement and the TUL agreement on the provision of care to employees govern employee benefits.

26. Funding and salaries

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implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

Payroll conditions are defined in the TUL internal documents. The statutory provisions regarding health and social insurance, sickness insurance benefits, pension procedures and others are respected.

The extra-pay component of wages for science and research staff consists mainly of personal surcharges for publishing, preparation of expert topics for project calls and project bonuses for activities during the solution of research projects.

DIRECTIVES

The TUL internal wage regulations internal document adjusts the amount of the tariff pay and extra-pay components of wages and the rules of the payment of surcharges.

The TUL Conditions of employment internal standard regulate payroll and wage deductions. Article I of the Director's Directive 2/2012 Career Regulations of CxI R&D staff regulates the rules for the remuneration of scientists and researchers at the CxI TUL.

The TUL Collective Agreement is regulated by the Article V. Area of Wage and Economy and Article VII. Social Area.

27. Gender balance

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implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

The proportion of female researchers is on average one third, with a higher proportion in the fields of biology, chemistry, genetics, and lower in the field of engineering at the CxI TUL. Non-research workplaces show a significantly higher proportion of women, an average of 80%. 18 % of women – mothers have shorter working hours. If the employee feels he/she is discriminated against in the issue of gender balance, he/she can contact the CxI representative at the TUL Ethics Commission (CxI has its representatives in the TUL Commission).

Equal opportunities policy is strictly observed at the TUL. Both sexes are represented in all TUL bodies, selection committees and lead positions. TUL however emphasizes the criterion of quality and competencies.

DIRECTIVES

Article 11 of the TUL Conditions of employment internal regulations governs equal treatment of all employees and the prohibition of discrimination, Article 12 governs the equal treatment between men and women and Article 13 governs the principles of cooperation with other employees and the prohibition of interfering with good interpersonal relations.

28. Career development

-/+ partially implemented

There is no specific strategy for developing the careers of science and research workers respecting the qualification.

Rector's Directive 1/2018 The TUL Code of conduct for students and employees obliges science and research workers to refuse discrimination on grounds of gender, race, ideology, religion, nationality, age, sexual orientation or physical disability.

Equality of genders during the selection procedures are governed by these internal documents: Rules of the tender procedures for appointing academic and other staff and the Director's Directive 1/2012 for the Selection of the CxI R&D staff.

This criterion is only partially implemented at the CxI TUL level.

DIRECTIVES

Director's Directives 2/2012 The Career Regulations of CxI R&D staff regulates the commitment of science and research workers to the continuous growth of their qualifications and the development of skills and competencies, but the overall concept is lacking as well as the strategy for subgroups.

The issue of career development is regulated by the internal documents of TUL and the legislation of the Czech Republic.

The Labour Code of the Czech Republic in § 227 et seq. regulates the professional development of employees.

The Article 33 of the TUL Conditions of employment

internal standard governs the promotion and creation of conditions for career growth of employees.

The TUL Collective Agreement and Rector's Directive 1/2018 The Code of Conduct for TUL Employees and Students regulates career growth.

Article I of the Director's Directive 2/2012 Career Regulations of the CxI TUL R&D staff regulates the commitment of science and research workers to the continuous growth of their qualifications and the development of skills and abilities, and the CxI TUL's commitment to provide the necessary conditions for professional growth. In Article III CxI TUL commits to stimulate the active approach of science and research worker to continuous professional growth.

The TUL Academic Advisory office and TUL Support Center provides psychological, social, study and spiritual counselling.

The TUL Technology Transfer Support Center provides a professional counselling <https://cptt.tul.cz/>

The TUL promotes career development, further education, deepening and improving the skills of its employees. Career development options are discussed in the TUL documents on a general level. Career counselling is provided within the framework of the Academic Advisory office and the TUL Support Centre. However, there is no specific strategy for the career development of science and research workers.

29. Value of mobility

-/+ partially implemented

The importance of mobility in relation to the development of individual and team competencies is

not yet sufficiently documented in internal documents.

Identifiers of mobilities' value for researchers and workplaces are missing. So far, mobility activities are not among the priorities; at present, mobility is not formally ranked among the relevant

PROPOSALS

Modify the existing Director's Directive 2/2012 Career Regulations of the CxI TUL R&D staff and amend the rules for career development, further education and qualification and professional development of science and research workers.

INITIATIVES UNDERTAKEN

This criterion is only partially implemented at the CxI TUL level. Mobility in any form is not defined in the CxI TUL Conditions of employment not in the assessment system – it is evaluated rather informally by the heads of workplaces. Ph.D. students have to undergo 3 months of international mobility during their studies, R & D personnel do not have this obligation. CxI staff may apply for TUL Mobility Fund annually, approx. 10 employees per year request the mobility grant.

The TUL International Department, <https://www.tul.cz/en/international-office>, provides services to R&D personnel as well as to students in the scope of mobilities governing both visits from and to partners/institutions. The international department organizes seminars for those interested in mobilities.

DIRECTIVES

The TUL Strategic Development Plan for 2020, with a forward view to 2030, defines major internationalization

criteria - the mobility rate for CxI TUL is considered to be insufficient in frequency. At the same time, information about mobility options are rather random and are difficult to find.

priorities such as improving TUL international co-operation with important partners from around the world, increasing the share of foreign students and workers and effective use of short-term and long-term mobility.

The TUL Mobility Fund supports the participation in the international study and professional events and international mobility of staff. Its utilization is governed by the rules stated in the Rector's Directive 2/2013 - The principles of creation and use of mobility fund. Mobility is supported by the MOTUL project (Mobility TUL).

Article III of the CxI TUL Director's Directive 1/2012 On the selection procedure for positions of R&D staff defines bonuses for applicants who have completed the post-doctoral internship for at least one year in the last 10 years or have been employee in the field of industrial research in the last 10 years for the duration of at least one year.

The TUL employees have the opportunity to develop their careers and increase their scientific knowledge in the scope of mobility. However, the value of mobility is not sufficiently defined and recognized as a means of increasing scientific knowledge and professional development.

PROPOSALS

Modify the existing Director's Directive 2/2012 Career Regulations of the CxI TUL R&D staff define the importance and way of assessing mobility in relation to

30. Access to career
advice

-/+ partially
implemented

Insufficient awareness of the science and research staff about the services of the TUL Academic Advisory office. Support centre web pages are not in English language.

the evaluation and remuneration of R&D personnel. Set indicators.

The mobility rate for CxI TUL is considered insufficient, the number of visits and arrivals of science and research workers over the next two years will be increased by 10 %.

INITIATIVES UNDERTAKEN

This criterion is only partially implemented at the CxI TUL level.

Career counselling is provided by the Academic Counseling office at the TUL level, the awareness among students and staff about the activities of the counselling office is very low, the advisory web sites are not up to date and they are localized only to the Czech language. Information is transmitted rather informally at the level of sub-research teams.

DIRECTIVES

The TUL Agreement on the provision of care to employees governs the provision of legal advice.

The TUL Academic Advisory office and TUL Support Centre provides psychological, social, study and spiritual counselling.

The TUL Technology Transfer Support Centre provides a professional counselling <https://cptt.tul.cz/>

31. Intellectual Property Rights

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implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

The TUL Conditions of employment internal standards govern the issue of help when looking for a vacant post.

All tenders and vacancies are published on the TUL Notice Board.

The TUL offers its employees counselling, namely legal, career, psychological, social, study, and spiritual. Employees are, however, under-informed about these services.

PROPOSALS

Ensure science and research staff are aware of the possibilities of expert advice and the use of the services of the Academic Counselling office and the TUL Support Centre, through the updating of website content, regular distribution of information (social media, newsletter, information days). Web site localization to English language, using best practice from institutions that have more experience and a functional system in this area.

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

The TUL has established a Technology Transfer Support Centre (TTSC) that provides expert advice on technology transfer. TTSC creates a "roof" over individual TUL workplaces that deal with technology transfer, organizes seminars on legal issues of transfer, evaluation area, etc.

32. Co- authorship

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implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

DIRECTIVES

Rector's Directive 2/2015 The protection of intellectual property at the TUL and the commercialization of R&D results regulates the competences and procedures for the protection of copyright and industrial property rights. It defines the duties of workers in the protection of intellectual property, handling, disclosure and publication of scientific and research results and the protection of the rights of others. The Directive regulates the remunerations for intellectual property owners.

Rector's Directives 1/2018 The Code of conduct for TUL employees and students regulates observance of intellectual property rights and citation practices.

Article III of the Director's Directive 2/2012 The Career Regulations of CxI R&D staff regulates the evaluation of science and research staff, taking into account the results of their creative activities.

The criterion is fully completed, corrective measures are not defined.

DIRECTIVES

Rector's Directive 2/2015 The protection of intellectual property at the TUL and the commercialization of R&D results regulates the competences and procedures for the protection of copyright and industrial property rights. It defines the duties of R&D workers in the protection of

33.. Teaching

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implemented

fully

The CxI TUL environment is fully in line with terms of the Charter and the Code.

intellectual property and the protection of rights of others.

Rector's Directives 1/2018 The Code of conduct for TUL employees and students regulates observance of intellectual property rights and citation practices.

Article III of the Director's Directive 2/2012 The Career Regulations of CxI R&D staff regulates the evaluation of science and research staff and set out the rules for determining the shares in case of co-authorship.

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

The R&D employee (wage group C) in combination with pedagogical work (wage group D) is an academic worker and carries out his/her academic duties at the TUL faculties.

DIRECTIVES

The Article 3 of the CxI TUL Statute internal regulation states that CxI TUL does not provide study programs in the sense of § 44 to § 47 of the Act, but participates in the training of faculty students by involving students in its own research, development and innovation activities. CxI TUL declares deepening and growing collaboration with the application sphere in the field of exploitation of science and research results and services, and in the area of lifelong learning of staff working in the application field.

| | | | |
|------------------------|-------------------|-------|--|
| 34. Complains/ appeals | ++ implemented | fully | The Cxl TUL environment is fully in line with terms of the Charter and the Code. |
|------------------------|-------------------|-------|--|

Cxl TUL's heads of workplaces being the experienced science and research worker act as mentors for junior workers and supervisors of students (Ph.D. students). The financial reward for this activity is part of the surcharge for leadership.

CXI TUL provides space and instrumentation for teaching to TUL faculties.

INITIATIVES UNDERTAKEN

The criterion is fully completed, corrective measures are not defined.

Each of the TUL bodies has a representative in the Ethics Committee, which the Cxl employee can contact when necessary.

DIRECTIVES

The issue of complaints and their solution is enshrined in the TUL Conditions of employment internal standards, the Article 31 regulates the procedure for solving complaints, defines the responsible person, method of registration and sets the deadline for examination of complaints.

Rector's Directives 1/2018 The Code of conduct for TUL Employees and Students regulates the handling of complaints along the lines of the organizational structure with the option to submit the case for consideration and resolution to the TUL Ethics Committee independent body, whose members are representatives of all TUL members.

35. Participation in
decision- making
bodies

+/- almost but not
fully implemented

At the time of establishing the Institute, the CxI structure was created in accordance with the terms of the project - this corresponded to the division of both the organizational and the distribution of competencies. The share of CxI bodies in decision-making on activities was limited - bodies decision-making had to be in line with project intent - this logically restricted the freedom of decision-making. With regard to the end of the reference period (Sustainability Period, i.e.

31.12.2018) some changes might be

INITIATIVES UNDERTAKEN

The criterion is almost but completed, corrective measures are not defined.

The CxI TUL Scientific Board is an advisory body to CxI TUL's Director. It discusses the strategic intention of scientific, research, development, artistic or other creative activities and performs other activities. It is composed to include both internal experts and representatives of the application sphere. The chairman is the Director of the CxI TUL Each TUL faculty nominates 1 representative, 2 representatives are appointed by the Rector of the TUL, 2 representatives are appointed by the Regional Chamber of Commerce, and each representative of the research programme nominates 1 representative from his team and 2 representatives from external contractual partners. The heads of research programs are members of the CxI TUL Scientific Board from the position of their duties. The

CxI TUL Operational board is an advisory body to CxI TUL's Director. It is designed to integrate the composition of all CxI TUL laboratories and to cover all research activities. Its main task is to bring synergy in research. The Board performs an annual review of workplace documentation on the assessment of staff and Ph.D. students and submits them to the CxI TUL Scientific Council together with proposals to address deficiencies. Performs monthly monitoring and project risk

expected. One of them might be strengthening the influence of collective bodies

- in particular the Scientific Council.

management, continuously evaluates the employee's fulfilment of the CXI TUL minimum publishing activities.

DIRECTIVES

The Article 24 of the TUL Statute internal regulations define the rector's Advisory bodies. These consist of the Rector's Committee and the Rector's Panel, whose member is the CxI TUL Director.

Director of the CxI TUL is a member of the TUL Scientific Council and a representative of the CXI TUL is a member of the TUL Ethics Commission.

Training and Development

INITIATIVES UNDERTAKEN

Generally, this principle is implemented at the CxI TUL. However, there are differences in their size, respectively number of employees at sub-workplaces. Some heads hold regular meetings with their colleagues, others occasionally (e.g. when a new project call is published, publishing activity monitoring, etc.). Due to the number of employees, larger workplaces are divided into so-called working groups, the group leader is then an "intermediate" between the employee and the head of the workplace, the group leader is also usually a mentor for new employees. Due to the structure of CxI funding (projects, contracts) the timelines and outputs are monitored and controlled at the level of the project investigator, less often at the level

36. Relation with supervisors

+/- almost but not fully implemented

The role of the mentor is not defined and described; no guide for new employees is

drawn up. There are no Rules of Procedure of the CxI Operational Board.

of the head of research department.

The CxI Director summons the CxI TUL Operational Board, whose members are the heads of research departments and laboratories, department heads and secretary of the CxI. A record is written from each meeting.

DIRECTIVES

The TUL Conditions of employment Internal Standards article 13 defines the obligations of an employee to perform work in a timely manner, to deepen (maintain, renew the qualifications necessary to perform work under the employment contract, on the instruction of the employer to take part in the training to deepen that qualification. The TUL Conditions of employment defines the duties of a senior employee, who ensures favourable conditions for employee's professional growth and deepening and enhancing of their knowledge. Articles 15 and 16 governs the rights, duties and responsibilities of the project or science and research task investigator and the implementation team member. Director's

Directives 2/2012 Career Regulations of CxI TUL R&D staff regulates the role of science and research heads.

Director's directives 0/2012 CxI TUL organizational chart regulates the status and activities of individual parts and define the activities and competencies of the supervisors of these components. The rights and obligations of senior R&D staff and investigation team members are partially governed by the TUL Conditions of employment, the

37. Supervision and managerial duties

+/- almost but not fully implemented

Formally, the mentor - mentee relationship is not described. There is no training framework for both roles. A comprehensive and updated mobility offer is missing.

Director's Directive 2/2012 Career regulations of the R&D staff and the Director's Directive 0/2012 CxI TUL Organizational chart.

PROPOSALS

A manual for new employees should be developed, a junior researchers mentor role and the role of the heads should be described and defined in the organizational code at the CxI TUL level. Rules of Procedures of the Operations Council must be drawn up.

INITIATIVES UNDERTAKEN

Generally, this principle is implemented at CxI TUL. The senior researcher (mentor, guide) mechanism - a junior researcher (mentee), naturally occurs within the sub-teams.

However, it is not formally described.

DIRECTIVES

The Article 14 of the TUL Conditions of employment Internal Standards governs the duties of the senior employee, who aims at increasing the professional level of employees and creates conditions for professional growth. Articles 15 and 16 defines the rights and obligations of the project or research task investigator and the duties and responsibilities of the team member.

Rector's Directive 1/2013 Internal control system governs the responsibilities of management and financial

management of projects solution and tasks of science and research.

Director's Directive 2/2012 Career Regulations of CxI TUL R&D staff regulates the role of science and research supervisors.

Director's Directive 0/2012 The CxI TUL organizational chart regulates the status and activities of individual parts and defines the activities and competencies of the supervisors o these components. Internal TUL documents: Conditions of employment,

Director's Directive 2/2012 Career regulations of the CxI TUL R&D staff, Director's Directive 0/2012 CxI TUL organizational chart and Rector's Directive 1/2013 Internal control system defines the responsibilities of science and research supervisors or project investigators, to deepen their qualifications.

PROPOSALS

The CxI TUL internal document needs to define a general framework that adjusts the mentor - mentee relationship in order to be used by all research institutions according to their needs and set goals. An integral part will be the offer of so-called soft skill (management, communication) and an overview of mobility options for younger researchers.

38. Continuing
Professional
Development

+/- almost but not fully
implemented

The criteria for assessing the personal development of science and research workers are not clearly defined, there is no system in place to control staff development to ensure feedback.

INITIATIVES UNDERTAKEN

R & D personnel have the opportunity to participate in various seminars and workshops held outside and within the university. There are a lot of opportunities, but the offers are fragmented, not systematic and addressable, resp. not adapted to R&D personnel qualification level (another type of education is sought out by senior researchers, other by Ph.D. students). Junior R&D workers often cannot get a clear picture on the offered courses and choose appropriate and comprehensive modules for their education. The system of further education is not formally linked to the worker's assessment system.

DIRECTIVES

Article I of the Director's Directives 2/2012 The Career Regulations of CxI TUL R&D staff regulates the commitment of the R&D staff to strive to increase their qualifications and develop their skills and abilities.

The Article 13 of TUL Conditions of Employment Internal Standards governs an employee's obligations to undertake and continuously improve (maintain, renew) the qualifications necessary to perform work under the employment contract and to participate in the training to deepen the qualification on employers instruction. Article 33 includes an employer's commitment to support education, deepening of professional qualifications by organizing professional courses and to send staff to

39. Access to research training and continuous development

+/- almost but not fully implemented

There is no uniform environment for systematic and transparent sharing of information on the possibilities of education and professional development of science and research staff.

professional courses or study visits, according to the employer's possibilities.

The internal documents define the commitment of the employee to strive for the continuous growth of their qualifications and the development of their skills and abilities.

PROPOSALS

It is necessary to revise the Director's Directive 2/2012 Career Regulations of CxI TUL R&D staff and to introduce criteria for assessment of personal development of science and research workers. Adjust the feedback system.

INITIATIVES UNDERTAKEN

The criterion is almost met at the CxI TUL. R&D personnel have the opportunity to visit various seminars and workshops held outside and within the university. Educational opportunities are distributed to all CxI employees via e-mail with a more detailed description in the invitation. There are many events organized during the year, but there is a lack of comprehensive overview and effective addressing. Employees have the opportunity to use the services of the TUL language school.

DIRECTIVES

Director's Directive 2/2012 The Career Regulations of CxI TUL R&D staff stipulates in Article I the obligation to

provide the necessary conditions for the professional growth of R&D personnel.

The Internal Standard of the TUL Conditions of employment, specifically the Article 33 includes the employer's commitment to support professional education, deepen professional qualifications by organizing professional courses and by sending staff to training or study courses. It composes the rules on granting of time off work and wage-compensation to employees when improving their qualifications, if their anticipated improvement is in the line with employer's need.

A positive approach to the education of science and research workers is supported by the internal documents Director's Directive 2/2012 on Career Regulations of CxI TUL R&D staff and TUL Conditions of employment.

TUL has a wide range of potential career development. TUL Mobility Fund (a support to mobility of science and research staff), Erasmus + Support projects, participation in seminars and conferences, individual professional, language and social counselling, e-learning, teleconferencing and other supported activities.

PROPOSALS

It is necessary to create a unified interface for sharing of information on career opportunities and options and improving the employability of science and research workers.

40. Supervision

+/- almost but not fully
implemented

Mechanisms for providing feedback from science and research staff are not clearly defined, the tools and responsibilities of those providing support to junior science and research workers are not defined.

INITIATIVES UNDERTAKEN

This criterion is almost implemented at CxI TUL. The formal relations between senior and junior researchers naturally arise and come to an end, especially within the R&D staff's and Institute's expertise at the research / laboratory level. Collegial and friendly relationships are rather informal in character and do not represent all CxI TUL research departments.

DIRECTIVES

Director's Directive 2/2012 The Career Regulations of the CxI TUL R&D staff regulates the position of Junior Researcher in Article II, when he/she usually works under the leadership of senior scientists and researchers. It stipulates that research managers are significantly involved in the development of their respective field at international level and professionally direct and coordinate activities of research facilities at the CxI TUL.

Internal Document Director's Directive 2/2012 The Career Regulations of CxI TUL R&D staff regulates the duties of senior and junior research positions. Junior researchers usually consulted their issues with senior researchers of the same professional orientation.

PROPOSALS

Revise the Director's Directive 2/2012 Career Regulations of the CxI TUL R&D staff at the CxI TUL level and set up

a feedback system from science and research staff.
Establish a regular annual survey of the satisfaction of
science and research workers through the survey.