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# HR Excellence in Research

## Revised Action Plan – Interim Assessment

13/11/2020



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



## Internal Review

**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:** 13/11/2020

### 1. ORGANISATIONAL INFORMATION

Please provide an update of the key figures for your organisation. Figures marked \* are compulsory.

<b>STAFF &amp; STUDENTS*<sup>1</sup></b>	<b>FTE</b>
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	173.00
Of whom are international (i.e. foreign nationality)	65.80
Of whom are externally funded (i.e. for whom the organisation is host organisation)	0
Of whom are women	55.10
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	95.80
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	39.25
Of whom are stage R1 = in most organisations corresponding with doctoral level	37.95
Total number of students (if relevant)	28.90
Total number of staff (including management, administrative, teaching and research staff)	238.51
<b>RESEARCH FUNDING (figures for most recent fiscal year)**<sup>2</sup></b>	<b>€</b>
Total annual organisational budget	14 392 thousand
Annual organisational direct government funding (designated for research)	5 358 thousand
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU	8 690 thousand

<i>funding)</i>	
<i>Annual funding from private, non-government sources, designated for research</i>	<i>344 thousand</i>
<b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>	
<p>HIPC is a centre of fundamental research in physical chemistry. In addition, applied research is carried out in several fields including catalysis and electrochemistry. HIPC is involved in graduate and postgraduate teaching and training. At present, there are 297 employees and 45 graduate students among other early stage researchers studying at collaborating universities. Over two-thirds of the personnel are researchers; the remainder provides technical and administrative support.</p> <p>HIPC publishes over 200 research papers per year in impacted international journals. Research outputs include scientific books, chapters, contributions to scientific meetings, patents, software, and utility models. Accent is on impact and outreach.</p>	

<sup>1</sup> Statistical data correspond to the situation as of 31/8/2020.

<sup>2</sup> Figures correspond to the state as of 2019, the exchange rate for conversion of Czech Crowns into Euros - 25.725 CZK / EUR (fixed annual exchange rate for 2019).

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

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Note: Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

<b>Thematic heading of the Charter and Code</b>	<b>STRENGTHS and WEAKNESSES</b>
Ethical and professional aspects	<p>STRENGTHS</p> <p>The strengths in the area of research freedom remained at the same level as in the initial phase, the researchers focus their research on the socially relevant areas of physical chemistry and related subjects or discover new phenomena bridging the relevant knowledge gaps. Scientists enjoy the freedom of thought and expression, and the freedom to identify methods they apply in their scientific research to an extent appropriate to their career stage. The system of evaluation was further improved</p>

	<p>and simplified by providing bespoke web-based software ensuring transparency and documentation of the evaluation process. Assessment by international experts was introduced for researchers of the R4 career stage. In the field of ethics, two different committees were established (a Committee for the ethics of research involving human subjects, a Committee for scientific work ethics), and male and female ombudsman positions were appointed to assure and maintain good research practice. The situation of researchers without knowledge of the Czech language has been improved, many documents are now available also in English and the supporting staff is attending an English language course. The project database and the grant support section were established. Public relations and communication with the general public have been improved by the appointment of a specialist in this field.</p> <p><b>WEAKNESSES</b></p> <p>Budgetary constraints limit the availability of modern, highly specialized equipment for physical chemistry research, which puts our researchers at a disadvantage when choosing their research methods when compared to researchers from research organizations in developed ERA countries. The internal standard for archival data for possible external scrutiny has not yet been implemented and is only in the preparation phase. The website is still not completely user-friendly and is only partially bilingual. The methodology for distinguishing between internal and public information is not properly defined.</p>
Recruitment and selection	<p><b>STRENGTHS</b></p> <p>The recruitment was formalized and defined by newly created process. The positive aspects of the previous practice have been implemented in rules that improve transparency and document the merit-based selection of candidates. All new advertisements are now advertised on Euraxess and wider advertising is facilitated by further professionalisation of the whole recruitment process. Instructions for Open, Transparent and Merit-based recruitment (OTM-R) have been created and the implementation process has been started. The selection committee received appropriate training. All OTM-R training materials, including webinar records, are available. Significant experiences were gained during a recruitment phase of the ERA chair project “J. Heyrovsky Chair” where several scientists at R1 to R4 career stages were successfully selected from more than 100 candidates. Guidelines for the recognition of foreign qualifications are now available.</p> <p><b>WEAKNESSES</b></p> <p>The OTM-R principles were introduced in practice only in September 2020. HIPC thus needs to gain more experience conducting the hiring process in accordance with the OTM-R policy and related internal guidelines. So far, no selection has been carried since the implementation of the OTM-R policy and thus there are some risks that with a wave of new grant projects, starting at the beginning of 2021, the staff capacity will not be sufficient to carry out the OTM-R process in a timely manner. The main weakness is reflected in the difference between salaries offered to researchers in R1 to R4 career stages and the cost of living in the Czech Republic and the overall level of salaries in ERA in general. Recognition of foreign qualifications is not sufficiently visibly</p>

	advertised on the webpage yet.
Working conditions	<p><b>STRENGTHS</b></p> <p>All the previous strengths are maintained. In addition, the Welcome information package and manual (WIPM) was prepared and published in Czech and it received positive feedback from employees and newly hired persons. Rules for complaints and appeals were also published in Czech. Updated training materials on occupational health and safety were prepared and are now available in Czech and English. The remaining personnel agenda, including the leaves of absence, was converted to a fully electronic form in the newly purchased commercial system (OKbase). Women are represented adequately in the newly appointed committees. The intellectual property rules have been updated and published in Czech. The Intellectual Property Committee composed of representatives of researchers as well as experts was appointed and trained. Guidance on authorship in scientific publications was prepared, approved and it is now available in Czech and English. Ombudsmen (a man and a woman) are now available to mediate any disputes in the field of scientific ethics.</p> <p><b>WEAKNESSES</b></p> <p>Researchers paid from project grants still do not have a guarantee of stable employment. The stability of employment is threatened by a lack of a transparent mechanism for salary adjustments in negotiations with the HIPC trade union. The Welcome information package and manual is not available in English and needs to be updated, a process ensuring regular updates is not implemented. Rules for complaints and appeals are also not available in English. Practical training in the field of occupational health and safety is not available and e-learning provides only theoretical knowledge. The under-representation of women in the highest levels of decision-making bodies (the Management and Institute Boards) remains. ESR and researchers without Ph.D. cannot vote in the Institute Assembly. There are no transparent rules for study and sabbatical leaves. There is no formal scheme for regular evaluation of the performance of researchers either career advice. Internal procedural and human resources audit that took place in 2019 showed that we lack effective information sharing within the processes at the Institute.</p>
Training and development	<p><b>STRENGTHS</b></p> <p>The strengths have been maintained. Furthermore, an individual mentoring scheme was introduced where each ESR has appointed mentor who is not his/her Ph.D. supervisor at the same time. Training in advanced scientific writing and presentation in English has been introduced for ESR. Training has been implemented in the following areas: English language courses for the Economy department, IPR issues, Managerial skills, the process of preparation of research proposals, and OTM-R principles.</p> <p><b>WEAKNESSES</b></p>

The actual content of mentoring is not defined yet and is thus left to the discretion of individual mentors. There are still gaps in continuing professional development. Career development plans are not part of the system for regular researcher performance assessment either of career advice. There is a lack of practical training in the field of occupational health and safety.

Have any of the priorities for the short- and medium term changed?

No, none of the priorities have significantly changed.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?

The ERA Chair project was commenced in 2Q 2018 and its aims to raise the standards and attract more high-level staff, are in line with the HRS4R process (e.g. implementation of the OTM-R principles and wider use of Euraxess for advertising). This project is now in the implementation phase. The ERA-Chair holder was appointed, a new Department of Nanocatalysis was established, 5 research positions from R1 to R4 career stages were appointed. The project also provides a good example worth following in terms of the HR strategy, which is currently being implemented. The organisational structure regarding scientific departments was changed but the supporting sections remained. The impact on the HR strategy was in putting accent on improved process management of the OTM-R. As the general level of costs and living costs, especially in Prague, has increased dramatically (perhaps more than by 10% since the start of the HRS4R process) and the institutional funding has not increased accordingly, the mismatch between salary funding and living costs is becoming increasingly worrying.

Are any strategic decisions under way that may influence the action plan?

The terms of office of the current Management Board and the current Director will end within the next 2 years. Both the Board and the Director fully and actively support the HRS4R process. The Director, Prof. M. Hof, will be likely appointed for the second term what would assure the smooth continuation of the implementation of the action plan.

### 3. ACTIONS

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

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

<https://www.jh-inst.cas.cz/basic-page/human-resources-strategy-researchers-hrs4r>

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also add new objectives.

**Note:** Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
<i>I Ethical and Professional Aspects Free text -100 words max</i>					
1	Establish a committee for the ethics of research involving human subjects.	(2) Ethical principles	4Q 2018	Director	I1.1. A directive establishing a committee for ethics of research involving human subjects. I1.2. Integrating this committee into the organisational structure. T1. Disseminate information about availability among researchers.
	Current status	Remarks			
	COMPLETED	I1.1. The committee has been established by Directive 7/2018 (December 17, 2018). The committee is composed of 5 internal and 2 external members. The term of office of the committee is from 01/2019 to 12/2023. I1.2. This committee has been integrated into the official organisational structure (RD-01, 06/10/2020). Delay in the implementation of this indicator was caused by inappropriate timing in the original action plan. Changes in the Organizational rules are subject to a number of approvals. The new Organizational rules were updated and approved on 6/10/2020. T1. All employees were informed about the existence of this Committee by the dissemination via the Minutes from the 24 <sup>th</sup> meeting of the Director's Board on 25/03/2019. The Committee has drafted its Rules that will be approved before the end of the year 2020.			
2	Appoint a committee for scientific work ethics. An impartial ombudsman will chair the committee.	(2) Ethical principles	4Q 2019 4Q 2019	Director	I2.1. A directive appointing the ombudsman and the committee (also covering OTM-R complaints). I2.2. Integrating this committee into the organisational structure. T2. Disseminate information among researchers.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	COMPLETED	<p>I2.1. The committee for scientific work ethics was established by Directive 4/2019 from 20/12/2019. The procedure of the appointment was discussed with the International Advisory Board of the Institute during the meeting of the Institute Board on 25/11/2019 because we are aware of the importance of the committee. One member of the Advisory Board is an Ombudsman of Science in Germany since 2014 and shared his experiences. To ensure a transparent selection of members all heads of the departments were asked to propose male and female candidates from their department. The director chose from the list of suggested candidates (22) and appointed 9 of them. The appointment was approved by the Institute Board (11/12/2019). The committee has nine members (seven members from the proposed list and two ombudspersons). The term of office of this Committee is from 01/2020 to 12/2022.</p> <p>I1.2. This committee has been integrated into the official organisational structure (RD-01, 06/10/2020). Delay in the implementation of this indicator was caused by inappropriate timing in the original action plan. Changes in the Organizational rules are subject to a number of approvals. The new Organizational rules were updated and approved on 6/10/2020.</p> <p>T2. The procedure of nomination and the appointment was continually consulted with the working group and all employees were informed regularly by email and personal discussions. This task is connected with the election of two ombudsmen. Before the election that took place on 6/12/2019 a brief presentation emphasizing the need for the Committee and Ombudsman was held during the Assembly of all employees and it was followed by the Ombudsman election. See also Action No. 32.</p>			
3	Write the welcome information package and manual (WIPM) in Czech and English languages.	(3) Professional responsibility (4) Professional attitude	3Q 2019 1Q 2021	Human resources department	<p>I3.1. Initial version of the Czech WIPM - Document (brochure), online web link. I3.2. Initial version of the English WIPM - Document (brochure).</p> <p>T3.1. New employees get all useful information in one brochure. T3.2. All employees get information on where to find the information from the WIPM.</p>
	Current status	Remarks			
	IN PROGRESS	<p>I3.1. An initial version of the Czech WIPM was released on 17/10/2019 and it is available only to the employees of the Institute because it contains some personal information (GDPR). WIPM summarizes all basic information connected with the operation of the Institute, e.g. benefits, important contacts and agenda of the supporting sections, attendance system, orders, chemicals and technical equipment available at the Institute, maintenance and alterations, evaluation of scientists, arrangements for official travels, library information, contract termination, etc. The first edition of this document is currently being revised and the English version will be ready at the scheduled time after the revision (1Q 2021).</p>			
4	Monitor the satisfaction of foreign, as well as Czech researchers with the occupational physician.	(5) Contractual and legal obligations	1Q 2019 4Q annually	Human resources department	<p>I4.1. Satisfaction monitoring questionnaire release. I4.2. Evaluation of responses.</p> <p>T4. Foreign researchers adhere to national regulations without undue difficulties.</p>
	Current status	Remarks			



No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	<p>I4.1. A questionnaire for monitoring satisfaction with the compulsory health checks was approved by the Steering Committee in 1Q 2019. Its preparation was carried out by the members of the Monitoring Group who commented on its content during the meeting on 25/2/2019. All employees were informed about the questionnaire release by the Minutes of the Director's Board on 25/3/2019.</p> <p>I4.2. The first responses (covering the period from 01/04/2019 to 01/12/2019) evaluation showed that employees are satisfied with our occupational physicians. Employees could choose from two occupational physicians. In the case of a male occupational physician, only one response from 30 was classified with a score lower than 4 (5 strongly agree/satisfied, 1 strongly disagree/unsatisfied). In the case of a female occupational physician, eight cases from 58 were classified with a score lower than 4 (employees were usually not satisfied with too long waiting time).</p> <p>T4. One of the problems that came up from the Gap analysis was the lack of facilities for English-speaking employees. Therefore, we have issued a document that summarizes the legal requirements for providing working medical examinations in <a href="#">Czech</a> and <a href="#">English</a> and it is available on our website.</p>			
5	Develop transparent website.	(5) Contractual and legal obligations	1Q 2019 Continuous 1Q 2019	Director's Board	<p>I5.1. First version of the new website in Czech and English. Web link. I5.2. Daily updates of the content. I5.3 A feedback button for writing opinions or questions</p> <p>T5.1. Making the HR policy of the HIPC more visible. T5.2. Simplify and clarify the accessibility to get information for institutes researchers. T5.3. Improve transparency of the institute by making selected organisational and OTM-R policy documents publicly available. T5.4. Allow a group of editors to seamlessly update the information content. T5.5 To develop a feedback system for employees.</p>
Current status		Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	<p>New Institute's website was released in January 2019. From that date, the content of the website is updated on daily basis.  <a href="http://web.jh-inst.cas.cz/cs">http://web.jh-inst.cas.cz/cs</a>  <a href="http://web.jh-inst.cas.cz/">http://web.jh-inst.cas.cz/</a></p> <p>I5.1 The website is fully operational, however, the content of the two language versions is not entirely identical. A new programmer was appointed to increase the capacity for the development of new functionalities of the web pages.</p> <p>I5.2 and T5.4 The updates are done on daily basis by specialists in PR, HR, and the representatives of all departments.</p> <p>I5.3. and T5.5. A feedback button for writing opinions or questions is available <a href="#">here</a>. A document describing the complaints and appeals is publicly available in <a href="#">Czech</a> version. English version will be available in November 2020.</p> <p>T5.1. The HR policy of the HIPC is available from a prominent link with an appropriate logo.</p> <p>T5.2. The information is divided between the public website and the advanced intranet interface for access to an extensive database of documents and operational data. Feedback from the researchers is continually evaluated and used in the further in-house development of both parts (now a team of two programmers).</p> <p>T5.3. The key documents relating to good research practice and the OTM-R policies are publicly available  <a href="https://www.jh-inst.cas.cz/recruitment">https://www.jh-inst.cas.cz/recruitment</a>  <a href="https://www.jh-inst.cas.cz/cs/recruitment">https://www.jh-inst.cas.cz/cs/recruitment</a>  <a href="https://www.jh-inst.cas.cz/basic-page/human-resources-strategy-researchers-hrs4r-2">https://www.jh-inst.cas.cz/basic-page/human-resources-strategy-researchers-hrs4r-2</a>  <a href="https://www.jh-inst.cas.cz/cs/zakladni-stranka/strategie-lidskych-zdroju-pro-vyzkumne-pracovniky-hrs4r-2">https://www.jh-inst.cas.cz/cs/zakladni-stranka/strategie-lidskych-zdroju-pro-vyzkumne-pracovniky-hrs4r-2</a></p>			
6	Translate all essential documents to both English and Czech languages.	(5) Contractual and legal obligations (7) Good practice in research (8) Dissemination, exploitation of results	1Q 2019 1Q 2020 1Q 2021 2Q 2022	Director's Board	I6.1. Prioritisation of documents for translation (a list of texts). I6.2. Translation of essential documents (web link). I6.3. Translation of additional documents (web link). I6.4. English version of annual report.  T6. To enable foreigners, as well as the Czech speakers, to access the information.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	<p>16.1. – 16.2. The Steering Committee agreed to translate the list of the important internal documents prioritized by the members of the Monitoring Group. It comprises Vnitřní mzdový předpis/Internal payroll rules, Účtování sociálního fondu - jak čerpat/Accounting for the social fund, Pravidla pro hospodaření s fondy/Fund management rules, Příloha č. 3 - Kolektivní smlouvy/Annex No 3 – Collective Agreement, Kolektivní smlouva/Collective agreement, Směrnice SM-09 Nakládání s duševním vlastnictvím /Directive SM-09 Treatment of intellectual property, Provozní a ubytovací řád ubytovny/Operating and accommodation rules, Pokyny pro autorství ve vědeckých publikacích/Guidance on Authorship of Scientific publications, BOZP testové otázky/ BOZP test questions,RD-01 Organizační řád/Organizational rules, RD-06 – Jednací řád Rady ústavu/Rules of procedure of the Institute Board. All documents are available on internal pages only except for Pokyny pro autorství ve vědeckých publikacích/Guidance on Authorship of Scientific publications that is available publically <a href="#">here</a>. 16.3. We try to create a bilingual environment. Newly prepared documents are gradually translated also thanks to the financial support of the project <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj</a> – reg. No. CZ.02.2.69/0.0/0.0/16_028/000625. 16.4. The English version of the annual report will be available in November 2020.</p>			
7	Place all essential documents on a transparent website.	(3) Professional responsibility (4) Professional attitude (5) Contractual and legal obligations (6) Accountability	2Q 2019 4Q 2020	Director's Board  Human resources department	17.1. Review of documents for public and internal websites (report). 17.2. Release of publicly available documents (Web link).  T7. Inform employees about the accessibility of documents on the new website.
Current status		Remarks			
COMPLETED		<p>During the meeting of the Monitoring Group on 20/5/2019, documents for publication on our external web were discussed. The list of documents was released and it was approved by the members of the Steering Committee. The approved list is available <a href="#">here</a> (the Czech version <a href="#">here</a>) and it consists of Foundation Deed of the J. Heyrovský Institute of Physical Chemistry of the Czech Academy of Sciences / Zřizovací listina ÚFCH JH AV ČR; Director's Appointment / Jmenování ředitele ÚFCH JH – 2017 (Czech version only); Decision of the MEYS about the registration of J. Heyrovsky Institute of Physical Chemistry into the register of public Institutions / Rozhodnutí MŠMT o zápisu do Seznamu výzkumných organizací (Czech version only); Act No. 342/2005 Coll., on amendment to some acts in connection with adoption of the act on public research institutions / 342/2005 Sb., Zákon o změnách některých zákonů v souvislosti s přijetím zákona o veřejných výzkumných institucích; Act No. 283/1992 Coll., on the Academy of Sciences of the Czech Republic / 283/1992 Sb., Zákon o Akademii věd České republiky; Act No. 130/2002 Coll., on the support of research and development from public funds / 130/2002 Sb., Zákon o podpoře výzkumu a vývoje; Act No. 341/2005 Coll., on public research Institutions / 341/2005 Sb., Zákon o veřejných výzkumných institucích; Rejstřík ÚFCH JH na MŠMT- Rejstříky v.v.i. (s platností od 1.5.2017, Czech version only); Daňová příručka pro zahraniční zaměstnance/Foreign Employees Tax Handbook. All newly prepared documents are always considered whether or not they are suitable for public release and are published accordingly on public websites or the internal intranet pages. All employees were informed about the accessibility of documents on the new website in the Minutes from the 27<sup>th</sup> meeting of the Director's board on 20/06/2019.</p>			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
8	Declare internal standards for archival data for external scrutiny. The Academy Council of the Czech Academy of Sciences (CAS) is discussing Open Access and European Open Science Cloud (EOSC). The HIPC has to follow the CAS rules and wait for the CAS recommendation.	(6) Accountability	1Q 2021 4Q 2021	Director's Board	I8.1. Internal directive on archival data (document, web link). I8.2. Review of relevance of EOSC for research at the institute (report).  T8.1 Facilitate the use of open access to data by researchers. T8.2 Make the data repositories available to the researchers via EduID access ( <a href="https://www.cesnet.cz/?lang=en">https://www.cesnet.cz/?lang=en</a> ).
	Current status	Remarks			
	IN PROGRESS	I8.1 Members of the working group were encouraged to study the Open Access and European Open Science Cloud (EOSC). The first version of the Internal directive on archival data is under construction. The current international practice in archival of scientific data for external scrutiny will be adopted in line with systems used by major publishers in the field of physical chemistry as far as possible within the financial constraints. Based on the revision of the time schedule of individual actions, we decided to move the implementation of this event from 4Q 2020 to 1Q 2021. I8.2 The team is available to review during the year 2021.			
9	Create e-learning on Occupational Safety and Health and Fire Protection.	(7) Good practice in research	1Q 2021	Administrative department	I9. E-learning training (certificates).  T9. Certifiable health and safety training of all employees, including researchers.
	Current status	Remarks			
	COMPLETED	A modern version of e-learning training on occupational safety and health was newly prepared and it is accessible to all employees from 15/9/2020. The training is now divided into three groups based on the employee classification (laboratory, administrative, manual work) and it is extended by First aid in the workplace and Computer security. The training was approved by the Director's Board on 31/8/2020. Also, a new intranet platform has been created to test employees on health and safety issues, and new training is part of this platform.			
10	Establish project database <ul style="list-style-type: none"> <li>Appoint the project group.</li> <li>Set clear rules for the project group and researchers.</li> </ul>	(8) Dissemination, exploitation of results	1Q 2019 3Q 2019  4Q 2019	Director's Board	I10.1. Internal Project database. I10.2. Letter of appointment of the project database group responsible for the update of project outputs. I10.3. Directive – Project database regulations.  T10.1. Spread the information about project database amongst researchers. T10.2. Facilitate dissemination of research results.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	COMPLETED	<p>I10.1., I10.3 At the end of 2019, a project database was prepared. The timing of the release of this database was shifted from 1Q 2019 to 4Q 2019 and it was approved by the members of the Steering Committee. The database was prepared in the cooperation of the process manager with a team of project specialists and was developed by an in-house programmer. After several discussions, the first stage of implementation of parts of the process (namely – new grant call, grant preparation project, internal approval, external approval) was released after an on-line training from 29/06/2020 (webinar was recorded and it is available on the internal webpages as well as training materials).</p> <p>The process is relevant for the 1<sup>st</sup> stage of implementation of parts of the process, namely: New grant call, Grant preparation project, Internal approval, External approval. Together with the process implementation, the regulations are formed based on the process development and are defined in the official document 'The process of preparation, approval, and administration of grant projects' and were given in the on-line training. The owner of the Grant process, the head of the grant department, is responsible for monitoring and dissemination.</p> <p>I10.3 The above document replaces the directive – project database regulations.</p> <p>I10.2. The project database group was appointed by Directive 02/2020 from 16/3/2020.</p> <p>The 2<sup>nd</sup> stage of implementation of the Process is in progress and thus this action is extended and regular reports will be given in line with action No. 37 (2Q and 4Q, continuously).</p>			
11	Personalize public relations and improve outreach to students.	(9) Public engagement	1Q 2019 Continuous	Director's Board	<p>I11.1. Regular press release (web link).</p> <p>I11.2. Annual review of public outreach (media report in the annual report).</p> <p>T11. To improve public perception of the institute through science communication.</p>
	Current status	Remarks			
	IN PROGRESS	<p>The Institute used the external services of a PR agency until August 2019 but unfortunately, the cooperation did not work. The Institute's management agreed to create a new position – PR specialist. From September 2019 the PR specialist is working on the improvement of communication with the public to increase the visibility of the institute and to publicize the scientific results. He cooperates with scientists, publishes regular press releases not only on webpages of the Institute but even on newly created Twitter, Facebook, and LinkedIn accounts, and facilitates media coverage.</p> <p><a href="https://www.jh-inst.cas.cz/">https://www.jh-inst.cas.cz/</a>  <a href="https://www.facebook.com/jhinst/">https://www.facebook.com/jhinst/</a>  <a href="https://twitter.com/JHINST_Prague">https://twitter.com/JHINST_Prague</a>  <a href="https://www.linkedin.com/company/ufchjh-prague">https://www.linkedin.com/company/ufchjh-prague</a></p>			
12	Improve bilingual environment for researchers – English courses for personnel and economy department.	(10) Non discrimination	4Q 2018	Vice director for Economy	<p>I12. Organisation of English courses for relevant persons.</p> <p>T12. Create better working and friendlier conditions for foreigners.</p>
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	The English courses for employees of the economy department started in September 2019. From now on they are improving their language skills. There is already an effort to create friendlier conditions for our non-Czech speaking employees. As reported in other actions (4, 5, 6, 7, 9), English versions of documents are becoming a rule rather than an exception. Most e-mails distributed to all researchers are now in English or bilingual. These English courses are also financially supported from the project <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj</a> – reg. No. CZ.02.2.69/0.0/0.0/16_028/000625.			
13	Simplify the evaluation procedure; keep the administrative burden to a minimum. Improve the criteria for researcher's evaluation. Create evaluation manual for researchers and heads of the departments. Create manual for Evaluation Committee.	(11) Evaluation/appraisal system	3Q 2018 2Q 2019 2Q 2019 4Q 2019	Director/Vice-director for Science	I13.1. Document – Methodology of Evaluation. I13.2. A manual for researchers and heads of departments. I13.3. A manual for Evaluation Committee. I13.4. Letter of appointments of International Advisory Board.  T13. To set up clear, transparent rules for the evaluation of researchers with the contribution of the International Advisory Board.
	Current status	Remarks			
	COMPLETED	<p>All Researchers are subjected to evaluation at least once in 5 years (depending on experiences and educational attainment).</p> <p>I13.4 An International Advisory Board was appointed by the Directive No. 5/2018 from 25/09/2018. It consists of 5 members (1 woman, 4 men). One of the main objectives of this Board (IAB) is providing advice to the director of the Institute on the evaluation of researchers.</p> <p>I13.1 In 2018 (19/09/2018), the evaluation of researchers was carried out according to the new Methodology of evaluation, which was approved by the decision of the director No. 4/2018 (Methodology of evaluation). For the first time, documents were collected using a newly developed module for the intranet and further processed in a completely electronic form. Researchers were notified in two stages (recommendation of the evaluation committee and the recommendation of the director). Newly appointed members of the IAB were asked to make recommendations.</p> <p>I13.2, I13.3 In spring 2019, new documents – Criteria of evaluation (Directive 2/2019 from 12/06/2019), manual for evaluated scientists and head of the departments, and a manual for the evaluation committee (approved by the Director's Board on 20/06/2019) were prepared. Evaluation criteria were adjusted with consideration of the IAB (5 years of citation analysis; conferences, invited talks or seminars, and other information).</p> <p>The periodic evaluation of scientists took place in September 2019 with two significant changes. First, that to comply fully with the Status of the Czech Academy of Sciences the evaluation was widened to all employees of the scientific departments with university degree including R1, that was also to ensure that all researchers are treated according to the Charter. Second, that the promotions to the R4 career stages were based on a review by a foreign expert. The smooth course of evaluations in September 2020 demonstrated, that they are set following the clear and transparent rules based on the recommendation of IAB.</p> <p>T13. All employees of the scientific departments were acquainted with the methodology of evaluation during the employee's assembly held on 06/12/2019.</p>			
<b>II Recruitment and Selection</b>					

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
14	Prepare OTM-R based templates for advertising positions.	(12) Recruitment	2Q 2019	Human resources department	I14. Templates for each "R" position.  T14. To simplify the work of researchers and unify the form of advertisement with open and transparent characteristics.
	Current status	Remarks			
	COMPLETED	The first template for the advertising position was published in 2Q 2019 and all employees were informed about the requirement to use this template in the minutes of the Director's Board from 20/06/2019. In September 2020, a new OTM-R process has entered into force and a new <a href="#">Advertising request form – Scientific position</a> was prepared. This form is based on the principle of creating an advertisement on the Euraxess portal. Please see the section OTM-R Toolkit.			
15	Specify clear rules for recruitment connected with the Code in a manual.	(13) Recruitment (Code)	4Q 2019	Human resources department	I15. A recruitment manual.  T15. To establish open, efficient, transparent, supportive, and internationally comparable recruitment procedure.
	Current status	Remarks			
	COMPLETED	Clear rules for the recruitment were specified in the Guidelines for the members of the Selection Committee ( <a href="#">Czech version</a> - 31/08/2020, <a href="#">English version</a> - 13/10/2020) and the OTM-R at the Heyrovsky Insitute ( <a href="#">Czech version</a> - 30/6/2020, <a href="#">English version</a> – 2/11/2020). Please see the section OTM-R Toolkit.			
16	Use wide range of advertising media to meet wide range of researchers.	(14) Selection (Code)	4Q 2021	Director's Board Human resources department	I16. Number of vacancies published on Euraxess and other media.  T16. To reach a wider range of researchers.
	Current status	Remarks			
	IN PROGRESS	From 30/09/2020 it is mandatory to always publish each vacancy on the Euraxess portal and our webpages. The use of other advertising portals depends on the researcher looking for new colleagues. Advertisements are often published on the website of the Academy of Sciences, jobs.cz, Vesmír, on social media (Facebook, Twiter) and others.			
17	Train all relevant persons on OTM-R based recruitment and selection principles.	(15) Transparency (Code) (16) Judging merit (Code) (17) Variations in the chronological order of CVs (Code)	1Q 2019 1Q 2020 Continuous	Director's Board	I17.1 Initial OTM-R training I17.2 Methodology for continuous training of new relevant persons. I17.3 Routine OTM-R training.  T17. Number of trained people.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	COMPLETED	<p>I17.1 During the first two years of the HRS4R implementation, we have started to organize different courses. A total of 38 employees (researchers and administrative staff) took part in various courses dealing with the recruitment procedure.            Training of the Selection Committee members (11 participants);            Training of team leaders for selection procedure (25 participants);            HR department (2 participants).            These courses were financially supported from the project <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj – reg. No. CZ.02.2.69/0.0/0.0/16_028/000625</a>.</p> <p>I17.2, I17.3 Webinar on the new OTM-R process (30/09/2020) (38 participants) – video is available as training material to all employees. In the new OTM-R process, we have implemented a rule that each member of the Selection Committee must attend the training on selection principles. Please see the section OTM-R Toolkit.</p>			
18	Disseminate the information about the recognition of foreign qualifications among researchers by placing it onto HIPC website.	(18) Recognition of qualifications (Code)	4Q 2019	Director's Board	I18. Web link.  T18. To improve level of knowledge about recognition of foreign qualifications among researchers.
	Current status	Remarks			
	COMPLETED	Information about the Centres of ENIC-NARIC is placed on our <a href="#">website</a> . These centers help foreigners with the recognition of foreign qualifications. <a href="https://www.msmt.cz/areas-of-work/tertiary-education/enic-naric-czech-republic?lang=2">https://www.msmt.cz/areas-of-work/tertiary-education/enic-naric-czech-republic?lang=2</a> <a href="https://www.enic-naric.net/czech-republic.aspx#anc04_13">https://www.enic-naric.net/czech-republic.aspx#anc04_13</a> <a href="http://www.msmt.cz/areas-of-work/tertiary-education/recognition-of-foreign-higher-education-in-the-czech">http://www.msmt.cz/areas-of-work/tertiary-education/recognition-of-foreign-higher-education-in-the-czech</a>			
<b>III Working Conditions and Social Security</b>					
19	Welcome information package and manual (WIPM): 1. Safety equipment. 2. Clear rules for complains and appeals.	(23) Research environment (34) Complaints/appeals	3Q 2019 1Q 2021 Then continuous	Human resources department	See action number 3. I19.1. Initial version of the Czech WIPM - Document (brochure), online web link. I19.2. Initial version of the English WIPM - Document (brochure).  T19.1. New employees get information on safety equipment and rules for complaints and appeals. T19.2 To help all employees solve their problems transparently in a case of need.
	Current status	Remarks			
	IN PROGRESS	The WIPM contains the instruction on where to find the training on health and safety and the information about safety equipment. Clear rules for <a href="#">complaints and appeals</a> were approved by the Director's Board on 20/12/2019. All employees were informed about these rules in the meeting minutes. The first edition is currently being revised and the English version will be ready at the scheduled time after the revision (1Q 2021). The effectiveness of complaints and appeals will be evaluated on annual basis. All employees will be encouraged to use these mechanisms in a documented way wherever possible.			



<b>No</b>	<b>Proposed ACTIONS</b>	<b>GAP Principle (s)</b>	<b>Timing (at least by year's quarter/ semester)</b>	<b>Responsible Unit</b>	<b>Indicator (s) / Target (s)</b>
20	Translate all essential health and safety regulation documents into English language and place them visibly on the HIPC website.	(23) Research environment	3Q 2020	Director's Board Human resources department	See action number 6 and 7. I20. Web link.
	Current status	Remarks			
	COMPLETED	All essential training materials are now available on the intranet. All employees can use e-learning on occupational health and safety at any time. See action No. 9.			
21	Define clear rules for study and sabbatical leaves.	(24) Working conditions	1Q 2022	Director's Board	I21. Internal directive on rules for sabbatical leaves. T21. To set clear and transparent rules and spread the information among researchers.
	Current status	Remarks			
	IN PROGRESS	Action will be placed on a member of the working group to document the current best practice concerning study leaves and sabbatical leaves. This will form a base for documented rules to be set in an internal directive. Based on the revision of the time schedule of individual actions, we decided to move the implementation of this event from 2Q 2021 to 1Q 2022.			
22	Transfer the remaining paper agenda to the electronic form to keep the administrative burden to a minimum (leave of absence, contract termination, inventory).	(24) Working conditions	2Q 2020 4Q 2021	Director's Board Human resources department	I22.1 Intranet application for leave of absence. I22.1 Intranet applications for contract termination and inventory. T22. To minimize overloading researchers with paper agenda.
	Current status	Remarks			
	IN PROGRESS	A new system for payroll and HR agenda, OKbase, is used from January 2020. This system allows us to apply for a leave of absence without having to submit paper forms. Also, employees have an overview of personal data, payslips, and other useful information. The system is still not trouble-free and its features are now in the process of improvement. Based on the revision of the schedule of individual actions, we decided to move the implementation of this event from 3Q 2021 to 4Q 2021.			
23	Explore possibilities to further improve stability of employment conditions by a discussion with HIPC trade union.	(25) Stability and permanence of employment	4Q 2022	Director's Board	I23. Report on analysis of possible stability and permanence of employment. T23. Improved stability of employment conditions.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	The accent in the analysis will be on the transparent process of decision making on the allocation of institutional and project personnel funding to scientific departments to increase the stability of employment of researchers currently combining part-time work on several projects. Procedure for securing the financing of individual positions for the bridging period will be laid down (funding from the project ends and the employee waits for the award of the next submitted project). Also, the value of mobility will be considered. Based on the revision of the schedule of individual actions, we decided to move the implementation of this event from 3Q 2021 to 4Q 2022.			
24	Find a way to improve salaries to be competitive within the Czech employment market, with a special focus on ESRs.	(26) Funding and salaries	1Q 2021	Director's Board	I24. Report on utilisation of institutional and project funding with respect to salary levels.  T24. Salaries at a competitive level for both current employees and recruits, including PhD students.
	Current status	Remarks			
	IN PROGRESS	The internal payroll rules will be reviewed with a focus on the proportion of the base salary to the bonus components of the pay. The methodology of setting personnel costs for new project proposals will be discussed to maximise the utilisation of project funding to improve salary levels.			
25	Improve conditions for parents in order to facilitate combining family and work.	(27) Gender balance	3Q 2021	Director's Board	I25. Report on current situation and conditions for parents.  T25.1. To facilitate parents working on a part-time contract, encourage work from home. T25.2. To inform parents about vacancies in kindergartens.
	Current status	Remarks			
	IN PROGRESS	HIPC offers part-time contracts for our employees. It is especially used by mothers who are returning from maternity leave. The role of work from home will be emphasised also due to the recently recognised risk of epidemiological restrictions. The current experiences of parents combining their parenting role with scientific research will be collected and evaluated.			
26	Increase representation of women in decision-making body positions.	(27) Gender balance	3Q 2021	Director's Board	I26. Report on representation of women in decision-making body positions.  T26.1. To increase the number of women in institute committees to at least 20% for the upcoming function periods. T26.2 To create conditions for increased numbers of women in decision-making bodies for upcoming five-year period, 2022-2026, in the office of the Director and the Institute's board.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	<p>T26.1 All newly appointed committees are gender-balanced (the representation of female gender is at least 20 %). The old committees are subjected to the discussions.  The term of office of the Selection Committee is 2017-2021 and it was composed of 9 members (1 woman and 8 men). During the preparation of the OTM-R process, we have proposed to increase the representation of women in this committee by three female members and the Director approved this representation. Now, this committee consists of 12 members (8 men and 4 women).  Previously it could happen that the interviewing selection committee consisted of only 3 male and no female members. This fact could be considered discriminating against women and women who are interested in the position offered may not feel comfortable during the interview.  The rules of the newly established OTM-R process include a gender-balanced selection committee (at least 1/3 of women).  T26.2 The new election rules for the Institute Board will be reviewed for any hidden tendencies that could result in the underrepresentation of women.</p>			
27	Draw up the scheme for regular researcher performance evaluations and career advice. Specify and implement the career advice into the mentoring scheme (see (35)).	(28) Career development (30) Access to career advice	2Q 2021  2Q 2021	Director's Board	I27.1. Templates facilitating regular researcher performance evaluations and career advice. I27.2. Internal directive on Personal Career Development Plans for researchers, including a template.  T27.1. To propose a scheme for the annual researcher performance evaluations and career advice.
	Current status	Remarks			
	IN PROGRESS	<p>The templates will be prepared so that the annual performance evaluation can be done in parallel and complementarity to the 5-year evaluation. The principles of self-assessment will be integrated.  Based on the revision of the schedule of individual actions, we decided to move the implementation of this event (I27.1) from 4Q 2020 to 2Q 2021.</p>			
28	Define rules and procedures facilitating the mobility of researchers. Spread the information about MSCA grants and other mobility actions among researchers.	(29) Value of mobility	4Q 2020	Director's Board	I28. Internal directive on rules and procedures facilitation mobility of researchers.  T28.1. To propose the procedure and rules concerning the mobility of researchers. T28.2. To formulate the approach for spreading the information among researchers.
	Current status	Remarks			
	EXTENDED	This action was postponed to 4Q 2020 due to the preparation of the Interim Assessment. The Steering Committee agreed with the extension of the implementation of this action.			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
29	Update Intellectual Property Rights documents with respect to new CAS internal regulations (KAV-2357/SAR/2018 – 03/2018 of internal directive of the CAS).	(31) Intellectual Property Rights	1Q 2020	Director's Board	I29. Internal Directive on Intellectual Property rights.
	Current status	Remarks			
	COMPLETED	The directive SM-09 (Management of the Intellectual Ownership and Protection and Application of Industrial Property Rights) was updated at the earliest in March 2019 (01/03/2019) and then in July 2020 (01/07/2020). During the first two years of the Implementation of the Action Plan, the Intellectual Property Group mapped the technology potential of all departments and after the discussions with researchers, the Heyrovsky Institute decided to establish the Technology Transfer Center. See Action 39.			
30	To train the Intellectual Property Committee (IPR) and all relevant researchers.	(31) Intellectual Property Rights	1Q 2020 3Q 2021	Director's Board	I30.1 Training of the IPR committee. I30.2 Training of all relevant researchers in IPR issues.  T30. The committee will focus on the new approaches in IPR issues, will collect new information, and spread it among researchers.
	Current status	Remarks			
	IN PROGRESS	<p>The Intellectual Property Committee consists of the representatives of researchers as well as professionals. Members of the Committee continuously participate in various training organized by the Heyrovský Institute (financially supported from the <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj project</a> – reg. No. CZ.02.2.69/0.0/0.0/16_028/000625 and <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj II project</a> – reg. No. CZ.02.2.69/0.0/0.0/18_054/0014591) and training organized by the Technology Transfer of the Czech Academy of Sciences.</p> <p>Some of the members participated in:</p> <p>Cycle of skill training for those interested in knowledge and technology transfer (Technology Transfer, CAS, 27/03/2019, 31/10/2019, 17/06/2020);  R&amp;D results with application potential - how to work with them (Heyrovsky Institute, 05/03/2019);  Intellectual Property Records (CAS, 06/03/2019);  Training of department heads in the topic of intellectual property protection – e-learning (HIPC, 26/06/2019);  A spin-off in the Innovation Strategy of the Czech Republic (03/03/2020);  Academic Spin-off (Technology Transfer, CAS, webinar, 24/04/2020);  How to protect the results of research created in cooperation between the Institute and companies - current principles of patent protection in cross-sectoral cooperation (Heyrovsky Institute, 23/06/2020);  To protect or not to protect? If so, how? or Legal protection of scientific results created in cooperation of the institute with companies (30/06/2020).</p>			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
31	To prepare the Guidance on Authorship in Scholarly or Scientific Publications.	(32) Co-Authorship	3Q 2019 3Q 2019	Director's Board	I31.1. Document – The Guidance on Authorship in Scholarly or Scientific Publications. I31.2. Web link. Place the document on our website.  T31. Spread the information about Co-authorship among researchers.
	Current status	Remarks			
	COMPLETED	<p><a href="#">The Guidance on Authorship in Scientific publications</a> was prepared with the help of the members of the Monitoring Group, the Heads of the Departments, and other employees of the Institute. Firstly, the document was approved by the Director's Board (28/11/2019) and secondly, the approval has been confirmed by the Institute Board (per rollam meeting from 20/12/2019). Small changes have been made by the members of the Committee for scientific work ethics and subsequently approved by the Director's Board (13/10/2020).</p>			
32	Appoint an ombudsman.	(34) Complaints/appeals	4Q 2019	Director	I32. Internal directive on the appointment of an ombudsman. See action number 2.
	Current status	Remarks			
	COMPLETED	<p>The Action is connected with action No. 2.</p> <p>I32. Two ombudsmen – male and female were appointed by Directive 5/2019 from 20/12/2019. The procedure of nomination was as follows. The members of the Monitoring group were asked to discuss the agenda of the Ombudsman in their department. Based on these discussions 11 candidates for Ombudsman were proposed. 10 candidates agreed to meet as members of the Interim Committee for Scientific Work Ethics to establish the meaning of the Committee for Scientific Work Ethics and the main role of Ombudsman. The document summarizing the main tasks of the Ombudsman could be seen <a href="#">here</a>. Based on these rules it was ascertained that some of the proposed candidates are not independent of the management of the Institute and some of them changed their mind and the nomination refused. Two possible candidates one female and one male accepted their nomination and both candidates were elected during the Assembly of all employees called on 6/12/2019. The director thereafter appointed elected candidates and the appointment was approved by the Institute Board (11/12/2019).</p>			
33	To explore possibilities for participation of ESRs and scientists without PhDs in decision-making bodies.	(35) Participation in decision-making bodies	3Q 2022 3Q 2022	Director's Board	I33.1 Discussion forum facilitating participation of all researches. I33.2 Report on possibility for participation of ESR and scientists without PhDs in decision-making bodies.  T33. To initiate consultation with CAS on participation of ESRs in the decision-making body of the institute's employee assembly.
	Current status	Remarks			
	IN PROGRESS	<p>The discussion forum will be established including the R1 career stage researchers. A member of management of the institute will consult options for including all R1 researchers with the CAS headquarters, even those without PhD in the decision making assembly. Based on the revision of the schedule of individual actions, we decided to move the implementation of this event 3Q 2022.</p>			
<b>IV Training and Development</b>					

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
34	Establish personal career development plan as part of the scheme for regular researcher performance and career advice.	(36) Relation with supervisors	2Q 2021	Director's Board	See action 27. I34.1. Internal directive on personal career development plans for researchers, including a template.  T34.1. To formalise feedback between supervisors and supervised scientists. T34.2. To implement the form into the annual obligations of the supervisor.
	Current status	Remarks			
	IN PROGRESS	The template for personal career development plan (PCDP) will be based on established practice and experiences from the Marie Skłodowska-Curie Actions Innovative Training Networks projects. These will be used in documenting the feedback between supervisors and supervised scientists.			
35	Define and implement a mentoring scheme.	(37) Supervision and managerial duties	2Q Annually 1Q 2021	Vice-director for education	I35.1. Group mentoring in the form of a student seminar. I35.2. A list of mentors for individual mentoring programme.  T35.1. Ensure access to group mentoring to all ESRs. T35.2. Facilitate individual mentoring for ESRs.
	Current status	Remarks			
	IN PROGRESS	I35.1 The Heyrovský Institute organizes the annual Student seminar and it is the main agenda of the Vice-director for Education to plan it. The seminar is organized as a national conference. The main reason for this seminar is to acquaint all early-stage researchers with their work, to create a network of contacts with other researchers, and to gain experience from the presentation of their results. The performance of these early-stage researchers is evaluated by several members of the committee, who advise on how to better present their results. Early-stage researchers can also experience the role of a chairman. I35.2 The plan for individual mentoring is in progress.			
36	Develop training programmes and manuals for researchers.	(38) Continuing Professional Development (39) Access to research training and continuous development	Continuously	Director's Board	I36. Training in professional development skills and competencies.  T36. To make a training programme available to all researchers.
	Current status	Remarks			

No	Proposed ACTIONS	GAP Principle (s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicator (s) / Target (s)
	IN PROGRESS	<p>In the first two years of the implementation of the Action Plan several courses and training took place.</p> <p>English Courses for the economy department (18 participants, ongoing since 09/2018);            Training of team leaders for selection procedure (25 participants, 01/11/2018, 21/11/2018, 07/03/2019, 13/03/2019);            R&amp;D results with application potential - how to work with them (7 participants, 05/03/2019);            Training of the Selection Committee members (11 participants, 14 – 15/11/2018, 04 - 05/06/2019);            Training of the members of the HR department in selection procedure (2 participants, 17/09/2019);            Training of department heads in the topic of intellectual property protection – e-learning (26/06/2019);            Management skills courses (23 participants, 15-16/5/2018, 5-6/6/2018, 7-8/6/2018, 25-26/6/2018, 11/6/2019);            Blender 3D creation Suite (14 participants, 06 – 8/11/2019);            Managing stress, pressure, and developing well-being (20 participants, 20/11/2019, 3/12/2019);            Academic Spin-off (6 participants, 24/04/2020);            Current principles of patent protection in cross-sectoral cooperation (44 participants; How to protect the results of research created in cooperation between the Institute and companies - current principles of patent protection in cross-sectoral cooperation, 23/06/2020; To protect or not to protect? If so, how? or Legal protection of scientific results created in cooperation of the institute with companies, 30/06/2020);            New grant process (25 participants, 29/06/2020);            Processes of change on the path to job satisfaction (14 participants, 24/06/2020, 29/06/2020);            OTM-R at the Heyrovsky Institute webinar (36 participants, 30/09/2020).</p> <p>The need of practical training in the health and safety issues resulted from the meeting of Monitoring Group members.            Some courses were financially supported from the <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj project – reg. No. CZ.02.2.69/0.0/0.0/16_028/000625</a> and <a href="#">Rozvoj kapacit ÚFCH JH, v.v.i. pro výzkum a vývoj II project – reg. No. CZ.02.2.69/0.0/0.0/18_054/0014591</a>.</p>			
37	Facilitation of process management implementation to improve administrative support of researchers.	(24) Working conditions	1Q and 3Q annually	Director's Board	I37. Report on the progress in processes prioritized by the management of the Institute.  T37. To increase the cooperation of researchers and supporting staff.
38	Shared Institutional Calendar for scheduling meetings and setting deadlines.	(24) Working conditions	1Q 2022	Director's Board	I38.1. Adopting an application with clear and transparent usage and data sharing.  T38. Ensure adoption by all staff for effective scheduling and information sharing.
39	Development of cross-sectoral cooperation.	(37) Supervision and managerial duties  (8) Dissemination, exploitation of results	1Q and 3Q annually	Technology Transfer Center	I39.1. Report from the technology transfer section on the engagement of researchers in cross-sectoral cooperation.  T39. To support the cooperation of scientists with the newly established Technology Transfer Center.

<b>No</b>	<b>Proposed ACTIONS</b>	<b>GAP Principle (s)</b>	<b>Timing (at least by year's quarter/ semester)</b>	<b>Responsible Unit</b>	<b>Indicator (s) / Target (s)</b>
40	Development of the strategy for international cooperation in research and innovation.	(23) Research environment (29) Value of mobility (24) Working conditions	4Q 2021	Director's Board	I40. Approved strategy document.  T40. Created stimulating environment for researchers based on international cooperation, facilitation of the mobility, and further internationalization of the institute.
41	Processing feedback from non-Czech speaking employees.	(24) Working conditions	3Q annually	Human resources department	I41. Report on analyses of feedback from non-Czech speaking employees.  T41. Evaluated current measures and assured long term viability of the working conditions for foreign researchers.

Note: Use "Add another row" button to add a new "proposed action".

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site \*:

<https://www.jh-inst.cas.cz/basic-page/human-resources-strategy-researchers-hrs4r>

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

We have started with the implementation of the OTM-R process in Autumn 2018 by organizing training in OTM-R principles. This training was followed by the appointment of a newly created position of process manager. The process manager has started mapping the previous good practice in the selection and hiring process. The group comprised of the representatives of the HR department, Implementation coordinator, Process manager, Secretary of the Vice-director for Science, and the Vice-director for Science met repeatedly and joined their forces to create a new recruitment system, fully compliant



with the OTM-R principles.

The methodology was written and published on the Institute's intranet. The following items were successfully implemented

*ad i. Define and publish an online version of OTM-R policy in line with policies to attract underrepresented groups and to provide attractive working conditions for researchers (4Q 2019; Weblink).*

An on-line version of the OTM-R policy was released in [Czech](#) (30/6/2020) and [English](#) (02/11/2020).

*ii. Write an internal guide concerning clear OTM-R procedures and practices for all types of positions including all the elements in line with the OTM-R expert report including Euraxess template and Czech language templates with links to all the elements listed in section 4.4.1 of the toolkit (4Q 2019; Document 'OTM-R guideline' including templates – distributed to all researchers).*

The guidelines for the members of the Selection Committee - in [Czech](#) (31/08/2020) and [English](#) (13/10/2020) versions are released and available.

[Advertising request form](#) for the scientific position was developed and introduced into use including the advertising template.

An on-line version of the OTM-R policy is published and available transparently to all applicants and scientific managers planning to hire new researchers.

*iii. Design the plan of regular OTM-R area training programme for our employees (1Q 2019; Encourage researchers in this type of training).*

Members of the Monitoring Group suggested that continuous training of new relevant persons should be realized for newly appointed members of the Selection Committee. The term of office of the current Selection Committee is 2017 – 2021.

In 2018 and 2019, the following training was carried out:

- Training of the Selection Committee members (11 participants);
- Training of team leaders for Selection procedure (25 participants);
- HR department (2 participants).

*iv. Study the possibility of use of the e-recruitment tools (2Q 2020; Decision on the extent of use of e-tools).*

To simplify the selection procedure for the main step in the evaluation of received responses to the advert we have tested the Teamio web application. We are looking for an application that helps to sort applicants, to recognize who has already passed interviews and if they are waiting for feedback. It helps to fulfill all principles of the OTM-R. However, it turned out that Teamio is not appropriate for the needs of the institute.

We now explore and review the possibility to extend the OKBase system also to OTM-R process.

*v. Establish a quality control system for OTM-R and the means to monitor whether the most suitable researchers apply (3Q 2020, then continuous;*

*Control and monitoring mechanisms properly scheduled. Annual OTM-R report released).*

The owner of the Recruitment process, the Vice-director for Science, is the person responsible for monitoring. The owner will check the update in the process and evaluate whether all vacancies were filled following the OTM-R principles. The process update date was set for the 2nd quarter of each year (starting in 2022).

*vi. Ensure that all advertisements are published always on Euraxess website and also on other job portals to attract researchers from abroad and to reach a wider audience (4Q 2020; Written guideline 'OTM-R guideline' becomes obligatory).*

In the process, it is stressed that all advertisements have to be published on Euraxess and our webpages. Our scientific managers and investigators who intend to fill a vacancy have to submit the advertising request form to jobs@jh-inst.cas.cz, an email address intended only for this purpose (the direct communication between the advertiser and the secretary of the vice-director for science). The secretary will always publish the advertisement on the Euraxess website, the institute's public webpages, and optionally on advertising portals.

*vii. Design e-recruitment tools to keep administrative burden for the candidate to a minimum (2Q 2021; e-recruitment tools).*

The OTM-R process was designed to keep the administrative burden to a minimum. All candidates (in the application phase) are informed about the eligibility criteria for the evaluation in the advertisement. We usually require the CV, the motivation letter, a list of publications, and the reference letter for higher positions (always for R4 and as needed for other career stages).

*viii. Formulate criteria for appointment of selection committee based on gender balance and including an international expert (3Q 2021; Internal directive: at least 20 % of women and always an external expert).*

The OTM-R process determines that 1/3 of the members of the Selection committee are female. Therefore, we have recommended to the Director's Board to extend the Selection Committee by three female members at least. The Director's Board has met on 29/09/2020 and approved this extension.

*ix. Write the guidelines for the selection committee which help to judge merit to select the best candidate (4Q 2019; Written guideline 'OTM-R guideline').*

The guidelines for the members of the Selection Committee were released (see ii).

*x. Write the guidelines for the appointment phase including feedback mechanism to interviewees and to ensure informing all applicants at the end of the selection process (4Q 2019; Written guideline 'OTM-R guideline').*

An internal guideline is available for our employees after the training on 30/09/2020. The guideline is written in Czech and English (see ii).

*xi. Establish the public and transparent complaints mechanism (4Q 2019; Complaints mechanism/web link, see action 2 in the HRS4R list).*

The complaints mechanism is already implemented, although so far only in the Czech version. The English version will be available at the end of 2020.

Almost all tasks planned in OTM-R policy were delayed which was caused by the over-ambitious timing in the original Action plan. We have planned to revise our best practice and implement several changes in the Process. The specific guidelines and procedural rules were missing. Members of the Steering Committee agreed to extend the deadline for the release of OTM-R process. We have succeeded in the introduction of the whole OTM-R policy however we are aware that HIPC needs to gain experience conducting the hiring process in accordance with the OTM-R policy and related internal guidelines.

Thus, we plan to revise OTM-R process every 2Q starting in 2022.

**Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.**

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL: <https://www.jh-inst.cas.cz/recruitment>

#### **4. IMPLEMENTATION**

General overview of the expected implementation process:

Based on the original GAP Analysis and discussions with the representatives of the researchers and the administrative staff, the 36 actions listed above and the listed gaps in the OTM-R policy are being addressed according to the proposed quarterly schedule. Additional 3 actions (37, 38 and 41) were added due to a gap identified in the working conditions of researchers with respect to administrative support as a lack of defined management processes. The need in cross-sectoral cooperation and the strategy for international cooperation in research and innovation is expressed in the action 39 and 40 following supervision and managerial duties, dissemination, exploitation of results and research environment, value of mobility and working conditions, respectively.

The objectives remaining to be met by the key actions can be summarized as follows:

1. The Welcome informational package and manual (WIPM) has been written but needs continual updating. A point of contact needs to be added with respect to process management related to administrative support of scientific research.
2. The website needs to be maintained and regularly updated. The complaints/appeals mechanisms need to be put to active use. The essential documents are available online.
3. To continue the training plan for researchers and administrative staff to ensure improvement in different scientific and managerial skills. To improve bilingual background for researchers in the training of administrative staff in English courses.
4. To extend the procedure for the evaluation of researchers into a regular annual scheme.
5. To maintain and update all written rules and guidelines (Internal standards for data archival for external scrutiny, intellectual property rights, guidance on authorship in scholarly or scientific publications, rules for study and sabbatical leaves, mobility of researchers, establish the scheme for

annual researcher's performance and career advice, the personal career development plan and the mentoring scheme, increase the representation of women in decision-making body positions)

6. To analyse possibilities for improvement of salaries, conditions for parents, the stability of employment, and participation of the ESRs in decision-making body positions.
7. To monitor and evaluate the use of OTM-R policy.

In order to guarantee the implementation of the C&C principles by the HIPC, to render it more attractive to researchers looking for a new employer or a host for their research project, the Steering Committee, the Implementation Groups, and a Monitoring Group continue their regular activities and initiate, manage and monitor the actions listed in this action plan. The researchers including all stakeholder groups are regularly informed and included in the consultation process.

The action plan is modified for three years, from 4Q 2020 to 4Q 2023, and covers the timeline of two projects of the Ministry of Education, Youth and Sports of the Czech Republic under projects No. CZ.02.2.69/0.0/0.0/16\_028/0006251 (EU co-financing rate: 75,90 %, 2018 – 2022) and CZ.02.2.69/0.0/0.0/18\_054/0014591 (EU co-financing rate: 75,90 %, 2020 – 2022). The aim of these projects is to help with the implementation of the C&C. The action plan will be reconsidered after three years (4Q 2023) and may need to be modified to fully implement all C&C principles to demonstrate that the HIPC fosters a supportive environment for researchers.

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

Checklist	*Detailed description and duly justification
How have you prepared the internal review?	The internal review was based on the minutes of all meetings of the Monitoring Group, Steering Committee, Director's Board, and the Institute Board. All items in these minutes were cross-checked against the related documents that were released including the appointments of all relevant committees, issuance of criteria for evaluation of scientific work, and issuance of all relevant methodologies and manuals and guidance. Also, the realization of all the planned training programmes were checked by a review of the appropriate attendance sheets. An anonymous survey was conducted and the results were evaluated. All points of the Action Plans were appraised with respect to the planned timing. At the same time, the actions were revised to the current status, and five additional actions were added.
Do you have an implementation	The following committees are set since the onset of the HRS4R process to guarantee the process of

Checklist	*Detailed description and duly justification
committee and/or steering group regularly overseeing progress?	<p>implementation of the action plan:</p> <ul style="list-style-type: none"> <li>- A Steering committee including the Director and the top management of the Institute (with the same composition as the Steering committee involved in the initial GAP Analysis, i.e. involving the Institute Director and Vice-directors for Science, Economy and Education, Chair of the Trade Union, The Head of the HR department). The Steering committee will receive quarterly reports for approval per rollam. They oversee the implementation process, monitor the fulfillment of obligations, and make decisions or issue comments based on particular actions.</li> <li>- An Implementation Groups are established including administrators, managers with experience in European projects, representatives of the Human Resources Department, and Director’s Board. An Implementation Coordinator is appointed, involved in both Implementation Groups and the Steering committee, and ensuring proper communication between the individual units.</li> <li>- A Monitoring Group is established responsible for checking the timely delivery of the planned actions. This Group including representatives of all the stakeholder groups will meet at the end of each quarter.</li> </ul>
How have you involved the research community, your main stakeholders, in the implementation process?	<p>The research community was involved in the consultation process of each regulation, document, or guideline stemming from this action plan before its final version was released.</p> <p>All comments and feedback were processed by the Implementation Coordinator. The stakeholder representatives were involved in the Monitoring Group.</p> <p>The Monitoring Group meetings were and are open for the participation of all members of the research, administrative or technical community at the Institute from all stakeholder groups.</p> <p>Prior to the sending of the Interim Assessment, an anonymous questionnaire was published, the task of which was not only to find out the response to the steps already implemented but also to be informative. All responses were evaluated and are included in the revised Action Plan.</p>
Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the	<p>HIPC demonstrates an active commitment to the C&amp;C principles. The Steering Committee composed of the top Institute management included the commitment to HRS4R in the institute’s research strategy formulated by the Director and the Board of the Institute in December 2018 as <i>‘The integration of the Institute into the international scientific community will be promoted by the means of joint international research (particularly</i></p>

Checklist	*Detailed description and duly justification
organisation's research strategy, overarching HR policy	<p><i>European Commission, EC) projects, and through the exchange of scientists with cooperating institutions abroad. To facilitate this, the human resources strategy of the institute will be aligned with the 'European Charter for Researchers' and the 'Code of Conduct for the Recruitment of Researchers' with the objective to obtain the 'HR Award' certification from EC'. This commitment will be outlined in more detail in the revised strategy following the conclusion of the evaluation of the Institute by CAS (the Institute parent organisation).</i></p> <p>The participation of at least one member of the Steering Committee in the Implementation Committee meetings ensures the interconnection of the Steering Committee and the Monitoring Group.</p> <p>Importantly, the implementation of the C&amp;C principles by the HIPC is financially supported by the Ministry of Education, Youth and Sports of the Czech Republic under projects No. CZ.02.2.69/0.0/0.0/16_028/0006251 with the EU co-financing rate: 75.90 % (2018 – 2022) and CZ.02.2.69/0.0/0.0/18_054/0014591 (EU co-financing rate: 75,90 %, 2020 – 2022).</p>
How has your organisation ensured that the proposed actions would be also implemented?	<p>The Steering Committee including the Director of the Institute has the authority to implement the proposed actions as prepared by the Implementation group to check the status of implementation of actions based on reports. The Implementation Committee monitored actions through regular meetings and following the proposed timing schedule. The implementation of activities is under direct supervision of the vice-director for economy.</p>
How are you monitoring progress (timeline)?	<p>The Implementation Group reported quarterly to the Monitoring Group and the Steering committee via the Implementation Coordinator on the progress of implementation of the actions and planned actions for the upcoming period. Each half-year a separate report was delivered to the Ministry of Education, Youth and Sports of the Czech Republic to monitor the project. The Monitoring Group checked the implemented actions against the timing proposed in the action plan. Any discrepancies were discussed and resolved (usually by minor timing adjustments) with the Steering Committee during regular meetings.</p>
How will you measure progress (indicators) in view of the next assessment?	<p>Individual actions undertaken in the Institute to address the weaknesses or strengths identified in the GAP Analysis and listed in the Action Plan are measured based on the indicators I1 to I41 as listed in the table. Individual actions in the OTM-R policy are monitored separately including a dedicated quality control process.</p>
How do you expect to prepare for the	<p>The written report will be prepared based on documentation collected during the entire HRS4R process. For the purpose of the on-site visit, presentations will be prepared to highlight the major achievements and</p>

Checklist	*Detailed description and duly justification
external review?	important outstanding issues. Meetings will be arranged with the representatives of all stakeholder groups (e.g. early-stage researchers, non-Czech speakers, women, excellent scientists, and supporting staff).

Additional remarks/comments about the proposed implementation process:

<p>The implementation of HRS4R proceeds in synergy with mobility projects (funded by the Ministry of Education, Youth and Sports, European Structural and Investment Funds and the Operational Programme Research, Development and Education) and several projects funded by the European Commission (Horizon 2020) that benefit from the adherence to C&amp;C principles. Worthy of note are the Marie Skłodowska Curie Innovative Training Networks, ITN (IMPACT and ELCoREL), European Research Council (ERC) starting grant (TSuNAMI), and the ERA Chair project (J. Heyrovský Chair).</p> <p>The implementation process is guaranteed by the Steering Committee, under the supervision of the Monitoring group, and managed via the Implementation groups. The Implementation Coordinator leads all these bodies and ensures their cooperation.</p> <p>The beneficial effects of the initiation of the HRS4R process have started to appear. The GAP Analysis revealed several areas that needed urgent improvement in order to facilitate better working conditions for researchers. The implementation of several actions has already resulted in tangible improvements, e.g. optimization of evaluation procedures, English courses for employees and further training).</p>
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