ACTION PLAN
HRS4R

CHARLES UNIVERSITY
SUBMISSION TO EUROPEAN COMMISSION

29th JANUARY 2019

Action Plan

Organization: Univerzita Karlova (Charles University)
Case number: 2018CZ348775
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STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	4724
Of whom are international (i.e. foreign nationality)	450
Of whom are externally funded (i.e. for whom the organisation is host organisation)	45
Of whom are women	1863
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1120
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	1866
Of whom are stage R1 = in most organisations corresponding with doctoral level	1738
Total number of students (if relevant)	48623
Total number of staff (including management, administrative, teaching and research staff)	8162

RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	123 973 350
Annual organisational direct government funding (designated for research)	57 250
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	58 106 000
Annual funding from private, non-government sources, designated for research	77500

1. **ORGANISATIONAL PROFILE (a very brief description of your organisation)**

Charles University was founded in 1348, making it one of the oldest universities in the world. Yet it is also renowned as a modern, dynamic, cosmopolitan and prestigious institution of higher education. It is the largest Czech university, and it is also the best-rated, according to international rankings. There are currently seventeen faculties (fourteen in Prague, two in Hradec Králové and one in Plzeň), three higher education institutes, six other institutes (e. g. the technology transfer office and the library), four special-purpose facilities serving the whole University, and the Rectorate, which is the executive management body for the whole University.

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

TOPICS ACCORDING TO CHARTER AND CODE	STRENGTHS AND WEAKNESSES (more details will follow)
1. **Ethical and professional aspects**	**Strengths:** Code of Ethics which reflects all C&C conditions, though will be further improved Research freedom is fully respected and on top of that is a part of the code of Ethics Equal opportunities are fully respected **Weaknesses:** Missing evaluation of employees Evaluation of research in pilot phase Targeted communication via website is missing
2. **Recruitment and selection**	**Strengths:** Faculties are able to tailor recruitment according the needs of each faculty **Weaknesses:** Job offers are not regularly placed on Euraxess The Competitive Hiring Process Code does not reflect fully all the request of C&C (e.g. no direct rule on gender balance in selection committees) There is no formal definition of post-docs at CU
3. **Working conditions**	**Strengths:** Level of gender equality Working conditions and research environment are good in general TTO works very well towards researchers Many possibilities for foreign mobility of researchers **Weaknesses**: Low salaries and bursaries of PhDs. Lack of guidance through career development Working conditions and research environment: lack of physical capacities/premises
4. **Training and development**	**Strengths:** Broad opportunities via Life Long Learning programmes Variety of trainings offered **Weaknesses:** Evaluation of performance is missing at most of the faculties Low information level of researchers about all the training activities which are offered Supervision of PhD's

Ad1) Ethical and professional aspects

The principles in this category are all to a greater or lesser extent implemented. The majority of the principles are addressed in Czech legislation (in particular the Higher Education Act, and in some cases in the Charter of Fundamental Rights and Freedoms or the Labour Code, the Personal Data Protection Act and the Antidiscrimination Act), as well as in the CU Constitution, the CU Code of Ethics and CU strategy documents. Violations of the Code of Ethics are adjudicated by the CU

Ethics Commission. One problem is that scholars and researchers lack information about these rules, in spite of their being made generally available. For that reason, the University provides numerous training courses and workshops aimed at increasing awareness, and it is planning to continue doing so in the future. One of the steps toward better awareness will be expanding the number of documents available in English.

Commercialisation of the results of research is the concern of a separate part of the University, the Centre for Knowledge and Technology Transfer, and a rector's advisory body, the Board for Commercialisation. Recently, a subsidiary entity of the University, Charles University Innovations Prague (CUIP) was formed with the same purpose. The popularisation of science takes place at the initiative of individual scholars, with the help of projects like the Science Slam and the Junior University. It will also be one of the goals of the new '4EU' Alliance. A targeted marketing and communication strategy will be prepared in 2019 and the University intends to integrate it into its strategic goals for the future.

One problem is the system for evaluation of employees. According to the Law on Employment, authority over employment relations is in the hands of the deans of the faculties, which are very diverse. No unified and comprehensive system of evaluation that would include all elements of a scholar's work exists. In the action plan, however, we intend to create a general framework in which the faculties will operate. Research is evaluated on a bibliographic basis, and more emphasis is placed on that than on teaching, which is evaluated using regular surveys of the student body. The first pilot program for evaluating research at the CU is now underway. A new system will gradually be implemented, the first results of which will be known in November 2020.

Actions needed partly. Actions in Action Plan nr. 3, 4, 16, 19, 22, 23.
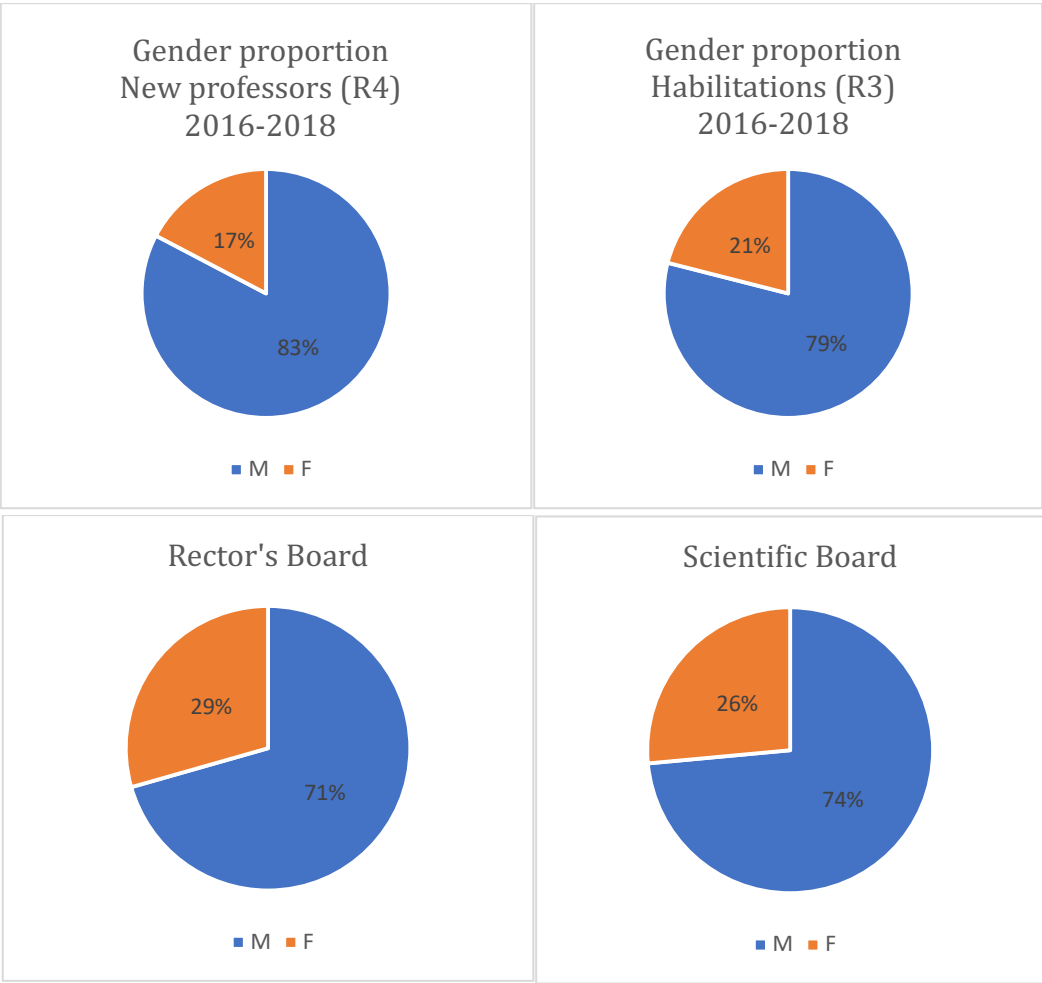
Ad2) Recruitment and Selection

The hiring process for academic workers is regulated by the Competitive Hiring Process Code of the CU. This code applies to academic workers, and only exceptionally to researchers and other employees. The Code sets forth minimum standards for the faculties and other parts of the University, but leaves them the freedom and opportunity to tailor the hiring process to their own needs and specifications. The Code does not assign responsibility for publishing advertisements (including those using electronic tools with international reach), the content of ads, the establishment of hiring committees with diverse membership (they usually are established on the basis of professional competence), criteria for choosing among applicants, or mechanisms for handling complaints. However, the action plan does provide for their implementation. For the time being, internal regulations do not permit hiring process remotely by electronic means.

Action needed: Actions in Action Plan nr. 14, 15, 17.

Ad3) Working Conditions

All responsibility for employment matters is vested in the faculties. It can generally be said that the Czech higher education system suffers from long-term under-financing, which has had a negative effect on employees' salaries (which are established by the CU's Internal Salary Regulation) and on stipends for doctoral candidates (which are set by the CU Scholarship and Bursary Rules and Scholarship regulations on faculty level), as well as the environment for research generally. This results in a lack of physical facilities as well as insufficient funding for some projects.

There are no problems in terms of the participation of scholars in decision-making, gender discrimination or foreign mobility. The Higher Education Act gives many competences to the autonomous academic bodies of the University. Scholars, students and sometimes doctoral candidates are represented on them. The University has no separate strategy related to gender balance because we believe the principle of non-discrimination is well-implemented. However new Code of Ethics and Competitive Hiring Process Code will refer to the gender issues, sexual harassment and equal opportunities. The CU is dedicated to solving any gender issues which might arise, however steps for first years of HR Award implementation based on the survey we made shows, that there are other issues we have to address first. Charles University also striving for stronger family policy by building kindergartens and children's group across the university.

Gender proportion New professors (R4) 2016-2018	Gender proportion Habilitations (R3) 2016-2018
M 83% / F 17%	M 79% / F 21%
Rector's Board	Scientific Board
M 71% / F 29%	M 74% / F 26%

Foreign mobility is funded from many sources (mainly Erasmus+ and internal sources such as strategic partnerships, inter-university and inter-faculty agreements, the mobility fund and the Grant Agency of the CU). However, the University has not succeeded in attracting enough scholars from abroad. Financing from the PRIMUS program, which assists researchers in obtaining seed money to start their own research groups at the CU is expected to help in that respect.

The systems for protection of intellectual property rights and for career development of employees are well-established at the University. Information is available to employees and the University provides a number of training courses. Nevertheless, those courses are not fully attended in many cases because employees do not have much motivation to participate and sometimes are not well-informed about them.

Teaching is a part of the work requirements of every academic worker and evaluations by students are part of their overall evaluation. The CU offers courses for improving teaching skills at the Centre for Lifelong Learning (in particular at its Centre for Development of Teaching Skills) and at the Information and Advisory Services. In some cases, not enough emphasis is placed on the quality of teaching. In the future teaching should be evaluated in the course of the accreditation process and also in the personal evaluation of every employee.

Complaints are primarily resolved by employees' supervisors. Beyond that there is the CU Ethics Commission, and many faculties have their own ethics commissions. For doctoral candidates, the key body is the disciplinary committee, which makes decisions on the basis of the Disciplinary Code of the CU and the disciplinary codes of the faculties. There is no special 'defender of rights' or 'ombudsman' at the CU because those roles are filled by other university bodies.

Actions needed. Actions in Action Plan nr. 4, 6, 7, 9, 10, 11, 13, 16, 18, 20, 21.

Ad4) Training and development

Implementation of these principles often varies across the faculties. Implementation also differs according to individual fields of research, in that there are differences between social science research and laboratory work. Doctoral candidates are individually supervised by tutors and once a year receive a review by the council for their field of research and the doctoral candidates' seminar, which they must attend. Programs for support of the sciences at the CU support cooperation among researchers, for example, the UNCE program, which is mainly aimed at supporting promising young scholars and research workers in the most highly qualified research groups.

To improve project management, courses in management know-how and other soft skills are offered. Attendance at them is voluntary and seats in them are frequently empty. It is also a problem that workers focus on their scientific activities, and do not sufficiently devote themselves to development of their workplaces and their younger colleagues. They are reluctant to involve themselves in management because of the burden of the administrative tasks required. In the future, it will be necessary to motivate employees more effectively to pursue personal development and participation in training.

Action needed: Actions in Action Plan nr. 1, 2, 5, 8, 12.

3. **ACTIONS**

Action plan and Gannt Chart are published here: https://www.cuni.cz/UKEN-852.html

Internal GAP Analysis, Results of Survey and OTMR-Check list has been passed to the reviewers in Euraxess

Nr. of Action (in order of their fulfilling)	Title of action	Quarter and year of realization	Proposed Action	GAP Principle addressed	Responsible Unit	Target/Indicator
Ethical and professional aspects						
3	A new regime for dealing with the results of scientific work	Q2 2019	Rector's Measure no. 33/2015 on management of results of scientific work will be amended, so that it corresponds to the requirements of the latest legislation and the needs of the Charles University (CU). The measure will also take into account the existence of subsidiary entity of the University.	7, 8, 31	**Centre for Knowledge and Technology Transfer**	**Indicator**: Revision of Rector's Measure no. 33/2015. **Target**: revenue from successful commercialization of intellectual property
4	Revision of the Code of Ethics of the CU	Q2 2019	A new Code of Ethics approved by the CU Academic Senate, will put emphasis on all the principles of the Charter and Code that are currently not addressed. New procedural rules for dealing with violation of the Code of Ethics will be passed.	1, 2, 34	Deputy of **Ethical Committee** with regular consultation with working group	**Indicator:** new code of Ethics **Targets**: gender issues, sexual harassment issues, plagiarism, equal opportunities to be addressed.
16	Framework of principles for career development	Q2 2020	Framework of principles for career development for all academic and research workers at the CU and support for preparing of similar documents for	11	**Rector's Office** (in necessary cooperation with HR dpt. and RSO)	**Indicator**: framework of principles for career development

			individual faculties that express interest will be delivered. Researchers will have a better guidance through their career, therefore the CU will be more successful in attracting interesting team members from abroad as well as receiving international prestigious grants.			**Target:** better guidance for researchers through their career
19	Improvement in the handling of sensitive (personal) data in both research and administration	Q4 2020	We will fully implement the General Data Protection Regulation and related national legislation. Amendment of Rector's Measure and consequential methodology based on national legislation (which has not yet been passed) will be created.	7	**Data Protection Officer** (DPO)	**Indicator:** full implementation of GDPR. **Target**: GDPR compliance will be achieved in all key spheres. The primary target is to keep the rules in the handling of sensitive and personal data by all administrative staff and researchers.
22	Improvement of the popularisation and medialisation of the creative activities of the CU	Q2 2021	We will create a communication and marketing strategies aimed at the popularisation of science – with improvements in the use of social networks, the CU web pages and other opportunities for presentation of the creative activities of CU employees. More active cooperation with the media, aimed both at the general public and potential students.	5, 8, 9	**PR dpt.** (coordination with vice-rector for PR)/ Lifelong Learning Centre and RSO (depending on the activities)	**Indicator:** Creation of communication and marketing strategies. **Target:** Popularisation of science at the CU via the '4EU' Alliance, its web pages, and other tools. **Target**: As a result of that CU is more

			Indicator: CU students in the secondary schools. On top of that other activities will be supported: Science Slam, the Junior University (JCU), including e-JCU and i-JCU. CU will also act as an ambassador of European values, environmental values and populariser of science.			visible among the international academic community and within international university networks, therefore is able to attract the best students all around the world.
23	A new system for evaluating research activities	Q2 2021	A strategy for a new system of internal evaluation of research activities at the CU will be delivered, including a technical manual (by the beginning of 2019). The process will be followed up by gathering data and performing the first evaluations (end of 2019) and on-site visits by foreign evaluators (end 2020). The last output will be a final report on the evaluation process. (summer 2021).	8, 11, 22	**RSO**	**Indicator:** new system of research evaluation **Target:** Clear evidence on research outputs which will create just distribution of money among the faculties
Recruitment and Selection						
14	Revision of the Competitive Hiring Process Code	Q2 2020	Code will be revised with respect to our effort to promote internationalisation (we want to learn best practice from our strategic partners), modernisation and transparency. We will train human resources employees in the new regulations (note: specific	12-20, 27	**HR dpt.** (coordination and consultation together with the working group)	**Indicator:** new Competitive Hiring Process Code followed by corresponding training **Target:** Hiring process is

			cases from the faculties for resolution will be needed, therefore cooperation with working group is necessary). A new Competitive Hiring Process Code compatible with Open, Transparent and Merit-based Recruitment (OTMR).			comparable to best European universities.
17	Use of modern, international tools for recruitment	Q3 2020	We will use modern tools and tools with international reach for recruitment of workers on the basis of the new Competitive Hiring Process Code (see above), especially for senior workers with obligation of using EURAXESS, jobs.cz and other portals.	12-20	**HR dpt.**	**Indicator**: Training of human resources employees in the use of the tools. **Target:** Use of modern tools for recruitment.
15	Resolution of the situation for post-doctoral employees.	Q2 2020	Following up the revision of Competitive Hiring Process Code we will also establish principles and regulations for hiring of post-doctoral employees, setting of the parameters of post-doctoral positions (duration, publications, project and teaching responsibilities).	21	**RSO** (in necessary cooperation with the HR dpt.)	**Indicator**: Definition of post-doctoral position and principles for hiring post-doctoral employees. **Target**: System of research position is comparable to R1-R4 division.
Working conditions						
6	Better information for University employees	Q3 2019	We will create web pages in Czech and English to operate as a guidebook for employees, with links to regulations, including those for occupational health and safety, strategic documents, seminars and courses in the	5, 7, 23, 38, 39	**HR dpt.** (with necessary continuous counselling of the working group, including	**Indicator**: web pages and guidebook **Target:** all employees (with different needs) will have all the information easily accessible and could

			Information and Advisory Services, Ethics Commission, Centre for Lifelong Learning. Materials will include all manuals, methods, and other documents related to the subject matter on the University's web pages (in cases where there is no issue of exposing our know-how), for example, advice on grants, academic integrity, commercialisation, open access, data protection, etc.		researchers to know what are the most desirable information and services)	provide manuals to all of their employees.
7	Better communication and provision of information in English	Q3 2019	We will translate key Rector's Measures, including the organisational regulations for the Rector's Office and the most important strategic documents. Translation of documents affecting foreign scholars and researchers at the CU will be provided as well. Selected departments will offer fully translated English versions of their web pages (Research Support Office and the International Relations Office. Programs aimed at attracting foreign researchers will have all their documentation primarily in English. Language courses for administrative staff will be provided massively according to the needs of their daily tasks.	5, 10	**HR dpt.** (necessary cooperation of Advisory and Counselling Services and working group)	**Indicator:** Translation of key Rector's Measures **Indicator:** Full translation of the Study Information System (SIS), the Personal Bibliographic Database, the WhoIs personnel system and forms. **Target:** all foreign employees will have same access to all the information as Czech ones.

			CU will unify and publish an official dictionary of often-used names and terms.			
9	Internationalisation of the administrative apparatus	Q4 2019	CU will increase the number of administrative employees accepted from abroad for short-term placements at the CU and will send employees from CU on short-term placements abroad.	10, 29	**International Relations Office** (IRO) (with necessary cooperation of RSO)	**Indicator:** Increase the number of administrative employees accepted from abroad and sent abroad **Target:** mutual exchange of best practice with strategic partner universities **Target**: As a result of this action better services will be provided to the researchers.
10	Improvement of administrative services for new employees from abroad.	Q4 2019	Methodology and training for human resources employees in connection with hiring of foreign employees will be developed. We will also work on assurance of language competences of employees working who provide hiring and services for foreign employees (see above language courses).	5, 23, 24, 26, 29	**HR dpt**. (with necessary cooperation of Economic Department and IRO)	**Indicator:** training for human resources employees in order to improve services to new employees from abroad. **Target**: better services to employees
11	Improvement of the HR administration via the personnel and	Q4 2019	Current systems (WhoIs and the salary system Elanor Global Java Edition – EGJE) will be analysed, their functionality and	11, 23, 26	**IT department** (with necessary cooperation of HR dpt.)	**Indicator:** Analysis of current system. **Target:** better services to employees and

	compensation ICT system		effectiveness for the purposes of the CU. On the basis of the analysis, measures for improving the efficiency of use of those systems will be taken.			decrease of administrative burden
13	Informing new employees	Q1 2020	We will issue a guidebook for new employees (academic, research and administrative) and, based on feedback, we will establish a system of training for new employees (with a general part for all employees and modules for employees of particular workplaces). New employees will be trained and will have all the necessary information easily accessible at one place (guidebook, webpages).	5, 7, 38, 39	**Information and Advisory Services** (coordination with working group and individual departments)	**Indicator**: Published guidebook **Target**: Better access to all necessary information.
18	A system for evaluation of employees	Q4 2020	We will propose a new system of regular evaluation of all academic, research and administrative employees that will include teaching, creative and administrative activities, popularisation of science, involvement in the third role of the University, and, in the case of senior employees, mentoring of doctoral candidates and younger employees, including advising of supervised employees.	9, 11, 33, 37, 38, 39	**Rector's office** (with necessary cooperation with HR dpt.)	**Indicator:** Draft of a new system of evaluation and undergoing a pilot at some of the faculties. **Target**: higher quality of staff employed at CU

			We already set up a frame for pilot program of evaluation in some parts of the CU.			
20	Data management	Q4 2020	We will create a data management plan for dealing with data in connection with research. We will analyse the current state of handling research data and the possibility of establishing a unified system of data management for the entire CU.	7	**RSO** (with necessary know how of DPO and cooperation with IT department)	**Indicator:** Development of data management plan **Target:** all data are safe, and all researchers have velar information and know how to handle the research data
21	System for grant advising	Q1 2021	Grant advisors at the CU and in the faculties will undergo training and a University-wide system of grant advising will be established, so that the systems at faculties level complement the University-wide system. The final shape of the system will be approved by the management of the CU.	23, 28	**RSO** (coordination of training with grant offices of faculties)	**Indicator:** Trainings **Target:** Grant advisors at all faculties are capable to provide qualified help to researchers compared to foreign universities **Target**: As a result of that success rate will be increased in international grant schemes and researchers will have a better access to counselling services.
Training and Development						
1	Improvement in the application for grants	Q1 2019	At least twice a year Charles University (CU) will arrange training courses with foreign guest teachers, successful applicants and evaluators	28, 38, 39	**RSO**	**Indicator**: training courses **Target:** higher successful rate in

			experienced in issuance of European grants. Target group are primarily researchers (R1-R4) and grant experts at faculties.			H2020 and other grant schemes
2	Soft Skills Academy for doctoral candidates	Q1 2019	CU will organize training in soft skills for PhD candidates (R1) with the participation of subject matter experts. R1 will be exposed to training in the international environment with participation of PhD candidates and subject matter experts from abroad. These trainings should contribute to their further career development.	22, 28, 30	**Student Affairs Office** (with cooperation of RSO)	**Indicator**: training courses on soft skills **Target:** better skills of PhD students and improvement of their position on labour market
5	School for Doctoral Candidates	Q3 2019	CU will organize together with its international strategic partners an intensive several-week course for very promising doctoral candidates, focused on a specific discipline including a series of lectures by top scientists, experimental work in the laboratory and the like(depending on the faculty). Professional skills of R1 will be increased, thanks to networking they will have an opportunity to be influenced by top scientist all over the world; thanks to university strategic partnerships they will have an opportunity to get an	22, 28	**Student Affairs Office** (necessary cooperation with RSO, responsible faculty) with continuous consultations with responsible vice-rectors	**Indicator:** intensive doctoral school (length depends on each discipline) **Target**: increase of professional skills of R1

			internship in partner's university/lab.			
8	Courses in teaching methods for doctoral candidates	Q4 2019	Each semester a training course in teaching methods will be provided for doctoral candidates.	22, 28, 33	**Student Affairs Office** (with necessary cooperation with Centre for Lifelong Learning)	**Indicator:** Training courses **Target:** better pedagogical skills of R1
12	Strategy for doctoral studies	Q1 2020	We will create a strategy for doctoral studies at the CU based on identification of strengths and weaknesses in the usual course of practice and discussion in the Coordination Committees of Doctoral Studies.	22, 36	**Student Affairs Office** (cooperation with Centre for doctoral studies)	**Indicator**: Strategy **Target:** Spreading knowledge of best practices, sharing of experiences.

More detailed description of some actions:

<u>Actions focused on ethical and professional aspects</u>
ACTION 3,
Rector's measure 33/2015 on management of results of scientific work is a cornerstone of intellectual property (IP) acquisition, protection and exploitation. It is based upon the doctrine of employee's invention which according to the law is transferred to employer at the time of its creation and applies this regime to other results of technical creative activity such as designs or know-how. For this regime to be legally applicable the rector's measure also sets binding rules of IP creation cross notification and creator's remuneration. The new measure should take into account the setting up of the knowledge and technology transfer system after the establishment of a CU's subsidiary Charles University Innovations Prague (CUIP). It will aim to introduce general rules which would to be followed during IP commercialisation, including IP licensing and assignment requirements or spin-off company etsablishment through CUIP.
Another important tool for dealing with results of scientific works is the wholly owned subsidiary of CU. The goal is to quicken and simplify the process of commercialization and to have a single entity for the final commercialization stages, i.e. selling or out licensing university's IP. The progress will be measured by revenue delivered by the subsidiary company.
ACTION 4 – sufficiently described above
ACTION 19
Charles University organises many individual trainings about data protection policy for both administrative employees and researches.
The priorities will be the effective management of scientific data and document management, both key processes secured by standardized internal systems.
It is also necessary to conclude data processing agreements and contracts with all cooperating third parties. The emphasis will be given to adjustment of internal electronic communication with respect to possible impacts of e-Privacy Regulation.
ACTION 16
During last year we managed successfully introduce the university **ERC pipeline**, which is focused on the career track of researchers who might be successful applicants for this prestigious grant schemes. This pipeline works very well especially at some faculties and we intend more focus on SSH researchers. We want to create a **framework for principles of career development**, to involve all researchers at all stages at the university (especially R1-R3) to be more engaged also in training activities and have a better access to consulting services.
ACTION 22 – sufficiently described above
ACTION 23
A new system for evaluating research activities is about to be implemented within 2 years period. It will consist of two equivalent parts: peer-review and bibliometrics. There will be finally included approx. 2500 outputs for evaluation of more than 40 research areas of 17 faculties. The evaluation panel will have more than 60 members with strong emphasis on external (preferably foreign) evaluators. The evaluation process will focus on a balanced and fair assessment of university outputs. It should identify strong and potentially growing scientific disciplines and help to define potential research areas for further exploration. All faculties and research units will be strongly involved in the process.

<u>Actions focused on recruitment and selection:</u>

ACTION 14 and 17

The CU's goal is to create a new **Competitive Hiring Process Code reflecting the principles of Open, Transparent and Merit-based Recruitment (OTMR),** to communicate it to the faculties and institutes and to train the employees who will participate in the hiring process under the new regulations. The title of this action in the Action Plan is 'Revision of the Competitive Hiring Process Code in Order to Internationalise and Modernise It and Increase Transparency'. The relevant guiding principles in the OTMR checklist are no's. 1, 16, and 17.

Hiring of applicants now is done by each faculty or part of the University individually, the regulation on university level sets only basic requirements. The current Competitive Hiring Process Code of the CU does not establish any requirement for diversity on hiring committees. Hiring committees are set up based on professional skills and their members are selected by the deans of the faculties. Members of committees are not required to attend training in recruitment. External professional opinions are not normally sought. The new regulation should follow the OTMR principles in the sense of the Code. Proposed changes will include requirement of (gender and sectoral) balance among the members of hiring committees, making sure they know the procedure and criteria for evaluation of applicants, but also the option to conduct the interview with the help of Skype or similar tools and the requirement to use modern electronic tools such as Euraxess for publishing vacancies.

With these measures, the CU's goal is not only to facilitate participation in the hiring process for local applicants, but also **for foreign research workers**. The key objective is that the hiring process be transparent from the outset and that applicants are informed about it. **The hiring process will be carefully monitored** and will clearly mention the CU's internal regulations regarding OTM-R policy.

ACTION 15 – sufficiently described above

Actions focused on working conditions

ACTION 6 – sufficiently described above

ACTION 7 – sufficiently described above

ACTION 9

As a comprehensive part of striving to create more international environment at CU, we like to make full use of "**internationalization at home"** which means we more than welcome the administrative staff from universities abroad for short and mid-term stays and internships. On top of that we want to send more of our **administrative staff for short/mid stays abroad.**

ACTION 10

In spite of striving for better services during the last years, **some of the** CU **employees** still miss **sufficient foreign language competencies and knowledge of processes related to employing foreigners**. Therefore, we would like to create a centre consisted of skilled workers who will be able to provide any assistance to foreign researchers (including the matters such as assistance with accommodation, taxes, kindergarten, school, driving licence, visa or social activities for family members).

ACTION 11

In order to achieve more efficient operation in the area of HR administration we aim to upgrade our personnel management and compensation systems. The systems will be improved to enable mutual exchange of information among all faculties, university institutes and other units. Improved HR systems will enable efficient personnel planning, better monitoring of training and development, internal and international employees' mobility etc. We are going to train HR specialists from faculties to use upgraded systems. In addition, they will participate in training

focused on legal and tax issues of foreign employees. With regard to foreign employees' stronger emphasis will be on the bilingual environment also in terms of availability of English version of all documents related to personnel agenda.

ACTION 13 – sufficiently described above
ACTION 18 – sufficiently described above
ACTION 20 – sufficiently described above
ACTION 21 – sufficiently described above

<u>Actions focused on training and development</u>
ACTION 1
International grants are inherent part of research work. Despite the fact that CU established European project centre at Rectorate 4 years ago, we are still not able to get on board some of the faculties. We established a lot of processes and funding tools for active researchers, managed to increase success rate as well as be better in the evaluation of submitted ERC grants, however we still need to do more **training courses focused mainly on SSH fields** and increase the awareness of European funding. We believe that step by step we can be even more successful on European funding.

ACTIONS 2 and 5
Soft Skills Academy for PhDs is not a brand-new program, we organise something similar last year. However, we figured out that the format we offered to PhD students is not suitable for them as many of them are working during the day. Therefore, together with our international strategic partners we want to offer new format to the students, which would allow them to participate as much as possible and exchange the experiences and network with other students but also with foreign lecturers.

As a complementary part we will offer to the students School for Doctoral Candidates which will be focused on their professional skills depending on their specialization. These very intensive schools will take from one week to one month and will be combined of research and high education. We want to develop the whole concept and centre for these schools to be organized regularly for every discipline.

ACTION 8
To support pedagogical and also didactic skills of doctoral students the training course in teaching will be offered each semester. This course will be organised by the Centre for Lifelong Learning of CU thanks to specialized platform called "Pedagogium" that comprises of specialists in didactics and pedagogy from all faculties of CU. Comprehensive set of suitable methods of teaching and learning will be introduced to doctoral candidates to support their good practice and openness to innovations in teaching and learning.

ACTION 12
We will create a strategy for doctoral studies at the CU based on identification of strengths and weaknesses of our current performance. The aim of the strategy will be to spread knowledge of best practices and to share the experiences across our university. The offer of workshops, seminars and other forms contributing to the PhD students' personal development will be on the increased thanks to the strategy also by inputs of our strategic international prestigious partners. The Soft Skills Academy for doctoral students as well School for Doctoral Candidates focused on their specialization will be complemented by further comprehensive offer of development activities.

4. IMPLEMENTATION PROCESS

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

In November 2017 the Rector of Charles University sent the European Commission a letter in which he committed the University to implementing the principles of the European Charter for Researchers, the Code of Conduct for Recruitment of Researchers, and the *Human Resources Strategy for Researchers* (HRS4R).

Subsequently, a steering committee was formed to coordinate the overall process and to maintain regular contact with the CU administration. The Committee was appointed by the University administration from among the employees of the Rectorate and researchers, who, because of their long association with the University, were well familiar with its activities. Also represented on the committee were employees who devote themselves to creative activities and their administration, European projects, human resources, and preparation of legal and strategy documents as well as researchers. After the demanded modifications from European Commission, Rector of CU decided to extend the Steering committee.

The Committee meet about once a month in order to evaluate progress, decide on further steps and distribute tasks. The whole time it closely cooperated with both the University administration (mainly through consultations with the Rector and regular communication with the Advisory Board). It assigned tasks to specific faculties, which it then reviewed and worked up into coherent documents for the whole University. The documents were then again provided to the contact persons for review and comment by the various parts of the CU. Over the first year there were two meetings between the Committee and the working group – one in January 2018 and another in June 2018. All other communication proceeded electronically and in appropriate cases in person when required. From the submission of the version of HR Award project to EC another three meetings with working groups took place.

b) Please describe how the Working Group doing the Gap Analysis was appointed:

The working group was formed on the basis of nominations by the deans of the various faculties and CERGE, in all eighteen parts of the University. The contact persons in the faculties were diverse – they included Vice-deans (researchers), as well as administrative experts and researchers. The working group was therefore able to approach the principles from various points of view, depending on the position the representatives had in the faculty. It is important to stress that all steps taken are regularly consulted with working group, which can anytime raise other issues which might consider as an important. As some of the members of working group are also members of the Steering committee, they can very easily and regularly oversee the whole process of implementation having a feedback from the researchers of their own faculty.

<u>Steering Committee Members:</u>
- Milan Prášil, Chancellor of the Charles University (CU)
- Tereza Svobodová, lawyer / coordinator for the HR Award, Rectorate
- since 8/2018 Marie Fiantová, Head of the HR Department, Rectorate, until 7/2018 Alžběta Hesová, Head of the HR Department, Rectorate
- Adéla Jiroudková, head of European Centre, RSO, Rectorate
- Since beginning of 2019 Josef Fontana, Member of the Rector's Board, PhD student
- Since beginning of 2019 Jan Trlifaj, Vice-dean for International relations and research, Faculty of Mathematics and Physics

- Since beginning of 2019 Petr Solich, Vice-Dean for Internal Affairs, European Projects and Strategic Development of the Faculty and Dean's Representative in Absence, Faculty of Pharmacy

Working Group Members: (coordinators at rectorate and faculties)

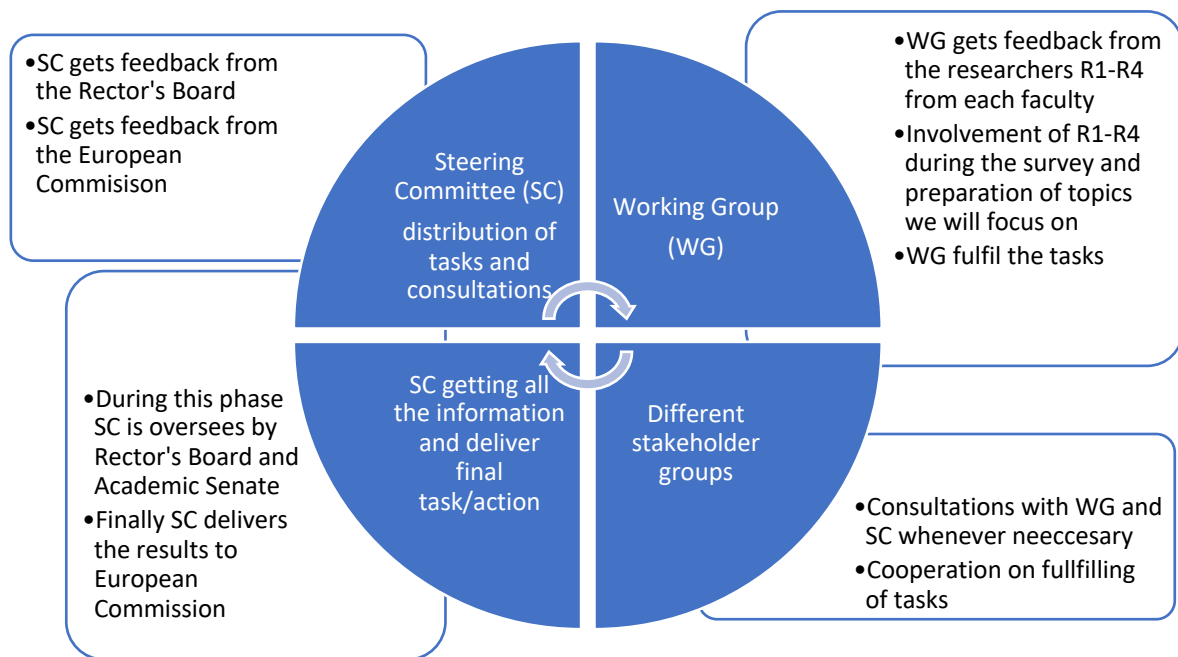|	
Eva Matějcová	Coordinator of Educational Activities, Rectorate, European Centre
Pavel Senderák, PhD.	Coordinator of Educational Activities, Rectorate, European Centre
Kateřina Šolcová, PhD.	Catholic Theological Faculty
Mgr. Pavel Moskala, Th. D.	Protestant Theological Faculty
ThLic. Lukáš Nosek, Th.D.	Hussite Theological Faculty
David Sanetrník	Faculty of Law
Lenka Karhanová	First Faculty of Medicine
doc. MUDr. Jan Trka, Ph.D.	Second Faculty of Medicine
Prof. MUDr. Michal Anděl, Csc./Mgr. Veronika Hájková	Third Faculty of Medicine
Daniela Vyzrálová	Faculty of Medicine in Plzeň
Petra Pšeničková	Faculty of Medicine in Hradec Králové
prof. RNDr. Petr Solich, CSc.	Faculty of Pharmacy in Hradec Králové
Doc. Mgr. Radek Skarnitzl, PhD.	Faculty of Arts
Kateřina Konečná	Faculty of Science
prof. RNDr. Jan Trlifaj, CSc., DSc.	Faculty of Mathematics and Physics
Helena Chalupová	Faculty of Education
PhDr. Natálie Švarcová Ph.D.	Faculty of Social Sciences
Jana Štollová	Faculty of Physical Education and Sport
Jan Tuček	Faculty of Humanities
Ondřej Rydval, Phd.	CERGE

Other Stakeholder Groups involved in implementation process:

Stakeholder group	Description (if needed) and consultation format	Contributions
Student Affairs Office, mainly the Doctoral Studies Office of the Rectorate	Consultation by the Steering Committee with responsible employees. Regular consultation from Vice-rector for Education and Vice-rector for Study conception	Advice on issues relating to doctoral students (R1). Advice on further career development of R1.
Analyses and Strategies Office of the Rectorate	Consultation by the steering Committee with responsible employees.	Advice from the department having the greatest experience with preparing analyses and strategic documents for the Charles University. Part of contributions to provided analysis are very often R2-R4.

Research Support Office and European Centre, Rectorate	Consultation by the Steering Committee with responsible employees (including administrative experts as well as researchers.	Advice on issues relating to creative/research activities and training of employees in the field.
Advisory and Information Services	Consultation by the Steering Committee with responsible employees as well as researchers involved in training/career advising activities.	Advice on issues relating to advising activities.
HR dpt. of the Rectorate	Consultation by the Steering Committee with responsible employees as well as researchers from different faculties who are coordinators of HR Award at faculties.	Advice on issues relating to HR matters, especially hiring of new employees.
R1 – R4	Anonymous online questionnaire containing questions about the gender and work requirements of the respondents, after which the respondents evaluate the extent to which the principles of the Charter and Code are being implemented at the CU (1 through 5, 1 = fully implemented, 5 = not implemented at all). Respondents can add comments for each principle.	Answers were received from almost 200 respondents. Respondents from Group R1 and Group R4 and individual research departments were equally represented. The first version of the internal analysis was based on their responses. The responses were then used as controls by the members of the working group, who gave opinions on the internal analysis and the action plan on behalf of their faculties. Based on the answer from R1-R4 the Action Plan and its priorities were set up.
Administrative Staff at Faculties	Members of the working group consulted with the administrations of their faculties on the internal analysis and action plan.	In light of the diversity of the faculties it was necessary to hold consultations across the board, so that both the evaluation of the current situation and proposed measures would respond to the situation in the individual faculties. The employees of the faculties were also able to suggest measures for the action plan.
Rector	Consultation with members of the Steering Committee.	The Rector, as head of the University, made some suggestions and consulted on the internal analysis and the action plan. He ensured consistency of the analysis with the situation of the University and that the proposed measures were consistent with the aims of the University. His assent is a prerequisite to implementation of the action plan.

The Rector's Board	The Rector's Board is a standing advisory body for the Rector. Its members are the Vice-Rector, the Bursar, the Chancellor, the President of the Academic Senate and representatives of the student body. Providing continuing information and discussion about the course of preparation of the internal analysis and the action plan.	Monitoring by a steering committee provided the University leadership with continuous information about whether the time schedule for the work was being adhered to and how the project was going. Approval of the internal analysis permitted work to go forward on the action plan, which was dependent on completion of the internal analysis. Review of the action plan ensured its consistency with the aims of the University and allowed both documents to be passed on to the Academic Senate (50% of students, 50% of researchers) of the CU for consideration.
The Expanded Rector's Board.	The Expanded Rector's Board is a standing advisory body for the Rector. In addition to the Board members, the deans of the faculties and the directors of the other parts of the CU are members of the Expanded Rector's Board. Discussion of the internal analysis and the action plan.	Thanks to the discussion, the leadership of all the faculties (leadership of faculties is consisted exclusively of researchers) was made aware of the documents and the deans of the faculties had an opportunity to comment on it.
Academic Senate of Charles University	The Academic Senate discussed the internal analysis and the action plan in its working groups and then accepted the documents by consensus at a plenary meeting in October 2018. The Academic Senate is an autonomous representative academic body. It has 70 members. Two representatives are elected from each faculty from the ranks of its academic workers and two others from the ranks of the student body. Two workers from each of the other parts of the CU are also elected.	The Academic Senate discusses and approves all key University documents. The University's academic community is thus familiar with the documents, which therefore have legitimacy and become binding on the University's administration. The advantage of such a consultation is that implementation committee got at one time opinion from students as well as researchers.

Implementation process in general:

- SC gets feedback from the Rector's Board
- SC gets feedback from the European Commisison

- WG gets feedback from the researchers R1-R4 from each faculty
- Involvement of R1-R4 during the survey and preparation of topics we will focus on
- WG fulfil the tasks

Steering Committee (SC)
distribution of tasks and consultations

Working Group (WG)

SC getting all the information and deliver final task/action

Different stakeholder groups

- During this phase SC is oversees by Rector's Board and Academic Senate
- Finally SC delivers the results to European Commission

- Consultations with WG and SC whenever neeccesary
- Cooperation on fullfilling of tasks

Implementation process in detail:

The main role of the SC will be ensuring implementation of all aspects of the Action Plan. The SC's duties are:

- Providing guidance for the further development of the Action Plan
- Assistance in implementing the actions called for by the Action Plan
- Analysis of potential risks
- Prioritising the tasks called for by the Action Plan
- Providing advice and making decisions on changes to the Action Plan

The SC will aid and advice but will not itself work directly on implementation of the project. It will communicate with the project manager and members of the steering committee. The project manager will normally participate in the meetings of the SC, in order to give reports on progress in implementing the Action Plan and to answer questions raised by members of the SC.

Although the SC will not itself implement the Action Plan, its members must:

- Understand the goals, strategies and intent underlying the results called for in the Action Plan;
- Understand the problems associated with winning the HR Award.

| How will the implementation committee and/or steering group regularly oversee progress? | The SC is formed in a way that will help direct the project to a successful conclusion. The SC will be staffed by representatives of the departments of the Rectorate and researchers that are key to the project's successful outcome and representatives of the faculties that will be charged with implementing the mandated measures. The SC regularly consults with different stakeholders' groups, whenever it's necessary to get the expert opinion on some topic. The SC is on monthly basis in touch with the working group, who is fulfilling the tasks based on the feedback of researchers from faculties. |

	Once the SC is about to complete the task/action, the progress is again controlled by the Academic Senate and the Rector's Board who are involved above as a stakeholder group.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	The research community was involved in the project of winning the HR Award from the time preparations for it began, in the form of monthly consultations and providing analysis from their faculties. This will continue as the Action Plan is implemented. The main units of our University are the seventeen faculties. Each faculty has appointed at least one person to be responsible for implementation of the HR Award. Sometimes, there are two, one from the administration and one from the research community. Moreover, in order to complete the gap analysis, we conducted a survey and asked both the researchers and administrative staff about their opinion on C&C principles being implemented at the CU. Research as well as administrative employees of the faculties are continuously informed about next steps, which are consulted with them in advance. At the time the Action Plan was created we took into account researcher's requests and comments and worked them into the Plan. Some members of the research community are members not only of the Working Group, but also the SC, so their active participation in the implementation process is assured. The make-up of the two bodies is flexible and can be adjusted according to the needs of the project, taking on other members from the research community or other stakeholders (for example, from the faculty administrations). Rector's advisory board as well as deans of faculties are regularly informed and consulted about further process and development. Once planning the next steps, the SC together with the WG will always consult the researchers by another survey or personally.
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organization's research strategy as the overarching HR policy	The HRS4R is acknowledged at the Charles University as the overarching policy for human resources. As some of the members of SC are also part of the university management, it is assured that HRS4R policy is an integral and coherent part of university policy. Also, the HR department has a member at the Steering Committee and takes part in the implementation of the various tasks called for by the Action Plan. All the important steps that are required by the Action Plan are approved in advance by all the University's parts, the Rector's Board, the Expanded Rector's Board of the Rector, and the Academic Senate. All faculties/researchers/students are informed about the procedure and processes connected to HR Award as well as benefits which it brings. This ensures familiarity and assent of the entire University to this policy.
How will you ensure that the proposed actions are implemented?	The project manager will monitor the implementation of the individual tasks called for in the Action Plan in close cooperation with the SC. The SC meets according to a schedule as the milestones of the project are being implemented. Well in advance of their meetings, the project manager

	distributes background to all the SC members on the state of implementation of the project, the project budget, minutes from the preceding meeting, and any other relevant documents. One person will always participate in the meetings of the SC, who will record the results of the meeting and future assigned tasks, so that they can be easily monitored, and their implementation can be assured. Whenever it is necessary, the SC can invite the external expert/advisor on certain topic.
How will you monitor progress (timeline)?	Progress will be regularly monitored according to the Gantt Chart. The SC and the project manager will keep themselves up-to-date on the progress of the project. The progress will be regularly overseen by Rector's Board demanding a report on progress every 9 months.
How will you measure progress (indicators) in view of the next assessment?	Indicators are individually established for each activity and are monitored by the Steering Committee and the project manager. The SC regularly evaluates progress on the project at its meetings by comparing the milestones achieved with the Action Plan and the Gantt Chart.

Additional remarks/comments about the proposed implementation process

The CU decided to address also the issues which might not fit into one of the categories mention above in template, such as for example improvement of popularisation of CU activities (we consider the visibility of the institution very important in the context of HR Award), as well as handling sensitive personal data and overall data management, even though these of course have a relation to the principles as you find in Action Plan.

The CU sees the HR Award as very ambitious and challenging project for itself but take this as an opportunity to make the university more visible, competitive and successful, despite the hard changes which it will demand.

Abbreviations and notes:

Please note that we use the names: Steering committee and Working group (instead of Implementation committee and Steering group).

Results of survey has been passed to the evaluators.

Academic Worker; besides his or her own scientific and research activities, an academic worker must also teach

CERGE – Centre for Economic Research and Graduate Education

CU – Charles University

CUIP – Charles University Innovations Prague

DPO – Data Protection Officer

e-JCU, i-JCU – Smart applications of the Junior University

HRS4R – Human Resources Strategy for Researchers

IP – Intellectual property

IRO – International Relations Office

Lector; gives lectures and performs other forms of teaching activities in the bachelor's or master's programs of study, as well as in the program of lifelong learning. Publishes mainly for purposes of education.

OTMR – Open, Transparent and Merit-based Recruitment
PhD. – PhD student (R1)
RSO – Research Support Office
SC – Steering Committee
SIS – Study Information System
UNCE – University Centres of Excellence
Research worker – Researcher, performs only research
WG – Working group