



Action Plan

HRS4R

August 2019

TEMPLATE 2: HR STRATEGY - ACTION PLAN

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1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	2378 (1995+383 PhD students)
Of whom are international (i.e. foreign nationality)	331 (186 + 145 PhD students)
Of whom are externally funded (i.e. for whom the organisation is host organisation)	1
Of whom are women	669
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	529
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	88
Of whom are stage R1 = in most organisations corresponding with doctoral level	1 761
Total number of students (if relevant)	18 317
Total number of staff (including management, administrative, teaching and research staff)	3580
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	193 146 205
Annual organisational direct government funding (designated for research)	80 347 185
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	69 690 040
Annual funding from private, non-government sources, designated for research	10 657 145
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
The Czech Technical University in Prague is one of the biggest and oldest technical universities in Europe. It was founded on the initiative of Josef Christian Willenberg on the basis of a decree issued on January 18th,	

1707 by Emperor Josef I. CTU currently has eight faculties (Civil Engineering, Mechanical Engineering, Electrical Engineering, Nuclear Science and Physical Engineering, Architecture, Transportation Sciences, Biomedical Engineering, Information Technology) and about 20,000 students. In 2017, CTU occupied, for example, the following positions in the QS World University Rankings: Civil and Structural Engineering – 51st to 100th position; Mechanical Engineering – 151st to 200th position.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

1. *Ethical and Professional Aspects*

Strengths:

- CTU has already implemented its Code of Ethics as internal regulation.
- Intellectual Property Right protection and technology transfer service are supported by the Department for Project Management and Technology Transfer of CTU Rector's Office.
- Career Code and academic employee assessment documents and procedures are fully implemented at some CTU faculties and institutions, e.g. FEE, CIIRC. These might serve as an example of implementation documents and procedures.
- Some of the faculties of CTU have set up faculty-level ethics committees that deal not only with violations of the "Code of Ethics for CTU" but also assess the wider professional issues - e.g. the Ethics Committee of FBME, which deals with human subjects protection in clinical trials and experiments on humans. The rules of procedure of these local ethics committees can serve as an inspiration to the implementation of new rules of the CTU Ethics Committee.
- CTU has an Ethical Committee established according to national legislation.

Weaknesses:

- Career Code and academic employee assessment procedure are implemented only at some faculties and institutes at CTU but not at the university level.
- Career Development Strategy as a CTU strategy document is not implemented at all.
- Recognition of European research positions is not adopted in CTU internal regulations.
- The "Rules of Procedure of the CTU Ethics Committee" deal only with cases of violation of Code of Ethics for CTU, but does not include, for example, the issue of protecting human subjects in research.
- The Code of Ethics for CTU does not meet all principles of Charter and Code.
- The current relevant CTU legislation (i.e., Code of Ethics for CTU and CTU Ethics Committee) does not regulate the possibility of setting up faculties and institutes level ethics committees and split of competencies between the CTU Ethics Committee and the faculties and institutes level committees.

2. *Recruitment and Selection*

Strengths:

- CTU has implemented the Rules of the Selection Procedure used for appointing academic positions at CTU according to national legislation. These internal rules address specific needs of faculties and institutes.
- The selection committees are balanced according to professional qualification. Members of selection committees are of the highest professional qualification relevant to the recruitment position at hand.

Weaknesses:

- The recruitment process misses some important aspects of the OTM-R policy.
- Procedure guidelines and criteria are not complete.
- Due to the highly unequal gender composition in some faculties, selection committees are often not gender-balanced.
- English version of the website for applicants is missing at some faculties and institutes. The open position advertisement website is missing at the University level.
- Positions are advertised at EURAXESS only at some faculties, institutes and departments. There is no obligation to use EURAXESS. Some faculties and institutes have created separate profiles at the EURAXESS website. Other international researchers portals are not used commonly at some faculties and institutes at CTU.
- The internal regulation of the recruitment process does not include selection process regulation for non-academic research staff and administrative positions.
- The postdoctoral position is not defined at faculties and institutes of CTU, except for CIIRC.

3. *Working Conditions and Social Security*

Strengths:

- CTU is committed to provide the most beneficial research environment, which is evidenced in the CTU's Long-plan term, valid for years 2016 – 2020, that focuses on activities in research, education, development and innovations, arts, and others.
- CTU recognizes its employees as professionals, and strives towards maximum professionalism throughout all aspects of the institutions.
- Working conditions at CTU allow balanced work and family life of researchers and other staff. CTU offers part-time positions, flexible week schedule and longer vacation than the legislative limit for non-academic staff (academic staff has longer vacation according to national legislation), supplemented with childcare services offered in the main campus.

Weaknesses:

- Personal development planning and evaluation as a part of career development are missing at the university level. Career development strategies and relevant processes of evaluation and planning are only implemented at some faculties and institutes at CTU.
- Non-academic research staff participation in decision-making bodies is limited according to national legislation.

4. *Training and Development*

Strengths:

- All CTU research staff has access to continuous educational process at the institutional and individual level. Lifelong learning opportunities are widely supported at CTU.
- Training and supervision process of R1 researchers (PhD students) is clearly described and regulated by the national and internal legislation at CTU.

Weaknesses:

- The personal development planning system is not widely implemented at CTU (implemented partly at some faculties and institutes).
- The supervision of R2 researchers (postdocs) is not defined and the process is implemented only at the level of some departments or research groups.
- There is no management and leadership skills training for senior researchers at CTU.

3. ACTIONS

<i>Title action</i>	<i>GAP Principle(s)</i>	<i>Timing (at least by year's quarter/semester)</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target(s)</i>
1. Recruitment and implementation of OTM-R principles				
Advertising all researcher vacancies on EURAXESS	12, 13	September 2019	HR recruitment units at faculties/institutes	Increase in job applications from abroad.
Transparent rules and guidelines for recruitment	12, 13, 14, 15, 16, 17, 18, 19, 27	December 2019	CTU Rector's Office	Implementation of new recruitment rules regulation at CTU.
Description of all research positions at CTU.	10, 20, 21, 22, 36	February 2020	CTU Rector's Office	All research positions (e.g. postdoctoral) are clearly defined. The definition includes the competencies, responsibilities as well as rights.
Training of HR staff	12, 13, 14, 15	December 2020	CTU Rector's Office	Introduction of training activities for HR staff at CTU.
Improved HR related website	12, 13, 14, 15	December 2020	CTU Rector's Office	Creation of HR Support Section at CTU website
English version of relevant documents	12, 13, 14, 15	December 2020	CTU Rector's Office	Relevant documents translated to English
2. Evaluation and Personal Development				
Career Code at CTU and faculties/institutes	10, 11, 20, 21, 22, 24, 25, 26, 27, 28, 29, 30, 32, 33, 35, 36, 37, 38, 39, 40	June 2020	CTU Rector's Office/Dean's offices at faculties or Director's offices at institutes	Career Codes approved and their implementation started.
Methodology for evaluation of employees including the areas to be evaluated, criteria and frequency	11, 26, 27, 29, 32, 33	December 2020	CTU Rector's Office/Dean's offices at faculties or Director's offices at institutes	Evaluation processes are implemented at CTU.
Mentoring program	21, 28, 30, 36, 38, 40	December 2020	CTU Rector's Office/Dean's offices at faculties or Director's offices at institutes	Proposal of the Mentoring program at CTU that will be implemented in the next period of the Action plan.
3. Ethics and Good Research Practice				
Good research practice Handbook	4, 5, 6, 7, 8, 9	September 2020	CTU Rector's Office	Preparing handbook on Good research practice, containing guides on accountability

				issues, result dissemination including PR activities
Revision of Intellectual Property Rights related Information Documents and relevant Codes	31, 32	September 2020	CTU Rector's Office - Department of Project Management and Technology Transfer	Updating information in relevant rector /vice-rector directives related to the IPR management and handling and technology transfer
Revision of the Code of Ethics and Ethical Commission Statute	1, 2, 3, 23, 32, 34, 36	December 2020	Ethical Commission/ CTU Rector's Office	Publication of revised Code of Ethics and Ethical Commission Statute.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

Prior to the implementation of Open, Transparent, Merit-Based Recruitment, the position of CTU HR department will be clarified and current recruitment procedures of CTU faculties and institutes will be reviewed, unified, and described in an internal document compliant with OTM-R principles, referred to as the Guidelines. These internal guidelines will set out OTM-R procedures and practices for all types of positions (R1-R4 and technical and administrative staff). Relevant parts will be published online at CTU website. To address the implementation and fulfill the set goals in the OTM-R CTU Checklist, a new HR CTU Manager position with the overall responsibility for OTM-R procedures including the Guidelines maintenance will be created. Being aware of the length and difficulty of the whole process, some preliminary actions will be undertaken in the next few months (e.g. single CTU EURAXESS account, advertising all research positions in the English language on EURAXESS). Other steps will follow after the detailed revision of the current recruitment procedures (e.g. updating the current document on the composition of selection committees).

4. Implementation

From the GAP analysis three main aspects are clear: (i) the scope of the identified gaps is rather broad so many measures need to be taken; (ii) the highly fragmented character of the university with different working cultures; and (iii) successful implementation of HRS4R requires substantial cultural change at all levels, which goes beyond the two-year frame of the Action plan. Therefore, to keep the Action plan realistic and feasible, we decided to focus first on building a common regulatory framework that will serve as the implementation basis at the faculties and institutes of CTU. In the current system this means preparing legally-binding documents that must be approved by the Academic Senate or introduced by Rector's directives. This framework will be implemented and tested whether it addresses the most critical gaps (described below), so we can ensure its feasibility.

In particular, the implementation steps included in the Action plan (Career code, Evaluation of staff, Ethical issues - Code of Ethics and Recruitment rules) were selected according to the results of the Survey, GAP Analysis, and OTM-R Checklist. The first implementation steps were discussed within the researcher community (e.g. Academic Senate) and with the CTU management. The Actions have been identified as essential for launching the implementation process at CTU and are deemed achievable within the two-year implementation period. The subsequent actions (e.g., career advice improvement, innovations of internal information systems and support tools, educational activities (including

language training), establishment of CTU Welcome Office etc.) are planned for the following period of revised Action plan implementation (2021 - 2023).

A Steering Committee comprising the relevant stakeholder representatives (management, decision bodies, researchers and administrative staff) will be established. The Steering Committee coordinates and evaluates the implementation process of the Action Plan. Permanent Working Groups for implementation will be established at the beginning of the implementation period for each action and will be responsible for all steps required by the Action plan. Each Permanent Working Group has one representative in the Steering Committee.

The implementation at CTU will be carried out at two levels (university level and faculties/institutes level). Such a split accommodates optimization of internal processes according to the specific needs of the faculties and institutes in the areas of science and arts.

The research community at CTU will be involved in the implementation process in three ways. First, representatives of the research community will be integral parts of the Steering Committee. Second, the research community will have an influence on the implementation process through existing bodies (such as the academic senate) according to Czech national legislation and CTU Statute. Third, the evaluation process will include periodic surveys for the research community, which facilitates the influence of the research community on the implementation process.

A Monitoring Committee will be established to monitor and evaluate implementation progress, to identify as fast as possible problems in the process. The Monitoring Committee will periodically report the progress of each action to the Steering Committee.

The implementation time schedule is set up for the period of two years from Q1/2019 to Q4/2020.

<p>How will the implementation committee and/or steering group regularly oversee progress?</p>	<p>The Steering Committee will periodically discuss the implementation progress reports containing indicators achievement and occurred implementation problems and risks. The Monitoring Committee of the Working Group will be responsible for progress reporting. The steering Committee will regularly discuss the achieved outputs with relevant stakeholders (e.g. Academic Senate) to facilitate the implementation process.</p>
<p>How do you intend to involve the research community, your main stakeholders, in the implementation process?</p>	<p>A Steering Committee and Working group comprising the relevant stakeholders representatives (management, decision bodies, researchers and administrative staff) are established. The Steering Committee coordinates and evaluates the implementation process of the Action Plan. Working Group is responsible for implementation of each action and will be responsible for all steps required by</p>

	<p>the Action plan. Working group will be responsible for monitoring implementation progress and its reporting to the Steering Committee. The research community at CTU will be involved in the implementation process in three ways. First, representatives of the research community will be integral parts of the Steering Committee and the Working Group. Second, the research community will have an influence on the implementation process through existing bodies (such as the Academic Senate) according to Czech national legislation and CTU Statute. Third, the evaluation process will include periodic surveys for the research community, which facilitates the influence of the research community on the implementation process. A specialized HR Award implementation process webpage will be implemented for facilitating the dissemination of information to relevant stakeholders at CTU.</p>
<p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.</p>	<p>The implementation at CTU will be carried out at two levels (university level and faculties/institutes level). Such a split accommodates optimization of internal processes according to the specific needs of the faculties and institutes in the areas of science and arts. The HRS4R is acknowledged as the main policy for human resources at CTU and its integration as a part of university policy is assured by the involvement of relevant managers that are responsible for human resources (e.g. rector, vice-rectors, deans etc.) as a members of the Steering Committee and the Working Group.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>The Steering Committee and the Working Group will represent all groups of researchers (R1-R4, managers and administrative staff and will comprise as members relevant representatives of university, faculties and institutes that have mandate for the actions implementation. The implementation process will be periodically consulted with relevant stakeholders (e.g. Academic Senate, Internal Evaluation Committee, Ethical Committee, researchers, trade unions etc.).</p>
<p>How will you monitor progress (timeline)?</p>	<p>A Monitoring Committee as a part of the Working Group will be established to monitor</p>

	<p>and evaluate implementation progress of all steps (indicators) according to planned schedule, to identify as fast as possible problems in the particular processes. The Monitoring Committee will periodically report (every four months) the progress of each action to the Steering Committee. The Steering Committee will be able to make decisions preventing possible risks and eliminating problems that will occur during the implementation process.</p>
<p>How will you measure progress (indicators) in view of the next assessment?</p>	<p>Indicators are individually established for all planned actions. These indicators will be periodically evaluated by the Monitoring Committee and the Steering Committee will be responsible for appropriate decisions achieving the Action Plan goals and schedule.</p>

Additional remarks/comments about the proposed implementation process:

Topic 1: Recruitment and implementation of OTM-R principles

Main GAPS: Improve the current regulation to include all OTM-R principles. The research positions are published on many EURAXESS profiles and web pages differs for each Faculty. Gender balance of the selection committees. Improve the directive *Rules of Selection Procedure to Appoint Academic Workers at CTU*. Codification of Postdoctoral position

Implementation

The implementation of OTM-R principles in the recruitment process at CTU will be coordinated by the working group of HR managers representing all parts of the university. The working group will be responsible for the implementation of OTM-R procedures including the Guidelines under supervision and coordination of the HR CTU Manager. The implementation process will start at selected (best prepared) parts of CTU as a pilot and will gradually involve all faculties and institutes at CTU. This will allow experience and best practice sharing and elimination of risks. The first step within the implementation will be the advertising all research vacancies on EURAXESS that will be followed by the new transparent rules for recruitment. CTU is committed to reducing the gender gap. This will be achieved through better representation of women in the selection committees and positive discrimination among candidates. The guidelines for recruitment will set a minimum representation of women in the selection committees that must exceed the gender FTE ratio of academic staff of the relevant Faculty or Institute. When multiple candidates of different gender rate equally for a position, then the female candidate will be preferred. The training activities for HR staff at CTU will be introduced as a part of implementation to strengthen the recruitment process. The final step will improve HR related website comprising the newly formulated OTM-R policy. Relevant documents will be translated to English.

Implementation steps timing

Advertising all researcher vacancies on EURAXESS - 09/2019

Transparent rules and guidelines for recruitment - 12/2019

Training of HR staff - 12/2020

Improved HR related website - 12/2020

English version of relevant documents- 12/2020

Topic 2: Evaluation and Personal Development

Main GAPS: Career Codes and Career Development Strategy are missing at some CTU divisions including annual and periodic assessment of academic and research employees. Research qualifications as codified in the Higher Education Act (assistant, assistant professor, associate professor, professor) are not fully consistent with European qualification definition. Missing positions in national legislation are e.g. postdoctoral fellow, junior/senior researcher.

Implementation

In order to comply with the requirements of HRS4R, it is necessary to carry out and put into practice the Career Codes at the university level, which will represent a general framework for all parts of the Czech Technical University in Prague. The aim of the Career Codes is to specify and complete the description of the individual positions, such as the definition of their rights, responsibilities and competencies. There will also be defined the process of career promotion (especially for those positions which are not covered by the Higher Education Act). With regard to specific of individual brands, the relevant internal regulations (including for example appropriate numerical indicators) will be established at individual faculties and institutes at CTU. The Mentoring program will be established at CTU for support of personal development of junior researchers.

Implementation steps timing

Career Code at CTU - including description of all research positions at CTU - 02/2020

Career Codes at faculties and institutes - 06/2020

Methodology for evaluation of employees - 12/2020

Mentoring program - 12/2020

Topic 3: Ethics and Good Research Practice

Main GAPS: Improve CTU's Code of Ethics. English translation of all the documents is currently unavailable. CTU lacks handbook on Good research practice. Significant part of researchers is not fully familiar with their public engagement. Up-to-date directives related to the IPR management and handling and technology transfer.

Implementation

In order to fully comply with the European Charter & Code for Researchers, it is necessary to implement a few changes in CTU's Code of Ethics. In particular, the expected changes are in dissemination and exploitation of results, recognition of the profession, stability and permanence of employment, salaries and gender balance. Alternatively, reference should be made to the European Charter & Code for Researchers and declaration of the compatibility with this Code. Rules of Procedure of the CTU Ethics Committee (or any other related document) will be adapted to allow the creation of faculty ethics committees, and to define the division of competences between CTU Ethics Committee and faculty ethics committees. The revision of the Procedure will deal with strengthening the CTU Ethics Committee's independence from the management of CTU. The controlling role of the academic senate will be reinforced. For future revision of the Action plan the establishment of an ombudsman-type position at CTU is planned.

Principles of Good Research Practice will be described in a new handbook that provide the relevant information and support dissemination and implementation within the researchers community at CTU.

Implementation steps timing

Good research practice Handbook - 9/2020

Revision of Intellectual Property Rights related Information Documents and relevant Codes - 9/2020

Revision of the Code of Ethics for the CTU - 12 / 2020

Revision of the Rules of Procedure of the CTU Ethics Committee - 12 / 2020