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1. Executive summary

The deliverable, D3.1 Analysis of HRS4R guidelines, strategies, and practices has been prepared at the kick-off workshop for WP3, which took place on November 22nd at TH Köln. The analysis was prepared institution-specific referring to the 40 principles of Charter and Code using the template provided by the EU Commission for the HRS4R analysis (in order to apply for the HRS4R award).

2. History of changes

Title of the document	Version number	Changes	Who	Date
D3.1 - Analysis of HRS4R guidelines, strategies, and practices	0.1	Initial version	All authors for each institution, document compiled by Mirjam Heetkamp	18.12.2022
D3.1 - Analysis of HRS4R guidelines, strategies, and practice	0.2	Review	All partners	25.01.2023
D3.1 - Analysis of HRS4R guidelines, strategies, and practice	1.0	Final check	Mirjam Heetkamp and Catarina Ferreira da Silva	31.01.2023

3. HRS4R Analysis TH Köln

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis			
Status: to what extent does this organization meet the following principles?	Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented	In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organization. If relevant, list any national/regional legislation or organizational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	++		<ul style="list-style-type: none"> • Laws: Article 1 of the Higher Education Act NRW § 4; Article 5 of the Basic Law in the Federal Republic of Germany; Fundamental Rights of the European Union (2000/C 364/01) • Anchored in University Development Plan 2030, Research Strategy 2030
2. Ethical principles	++		<ul style="list-style-type: none"> • Ethical competence of the professors is given consideration in the Appointment Guideline and emphasized during the recruitment process. • The order on "Good Scientific Practice" updated by TH Köln in 2020 refers to basic ethical principles.
3. Professional responsibility	++		<ul style="list-style-type: none"> • The order on "Good Scientific Practice" updated by TH Köln in 2020 refers to professional responsibility as researchers.
4. Professional attitude	++		<ul style="list-style-type: none"> • Researcher receive information on the required professional attitude first in their recruitment interview and subsequently in the documents handed out to them at the point of their hiring (information package or instructional guidelines handed out during

			the introductory event for newly appointed professors).
5. Contractual and legal obligations	++		<ul style="list-style-type: none"> • Researchers receive support concerning the fulfilment of their contractual and legal obligations by the Department of Research and Knowledge Transfer and the External Funding Division. • TH Köln administration collaborates closely with researchers when applying for and carrying out their research projects. • University administration is informed when research projects are delayed, remodelled, complemented, terminated prematurely or suspended for different reasons. This allows the administration to support to researchers in their projects.
6. Accountability	++		<ul style="list-style-type: none"> • Researchers at TH Köln receive information on their accountability during the interview and in the documents handed out when they first start their new job.
7. Good practice in research	++		<ul style="list-style-type: none"> • The order on “Good Scientific Practice” updated by TH Köln in 2020 refer to this principle. • TH Köln has appointed a data protection officer in accordance with the EU General Data Protection Regulation (GDPR). The data protection officer is available as a contact person for all data protection law queries.
8. Dissemination, exploitation of results	++		<ul style="list-style-type: none"> • TH Köln uses its own patent strategy for the commercial exploitation of research results on industrial property rights. Updated strategy in 2022. • Since 2010, a PatentScout service has been offered to researchers to support patent applications. • Since 2015, the "Guidelines for Handling Inventions" have provided university inventors with a transparent framework for patent and exploitation proceedings.

9. Public engagement	++		<ul style="list-style-type: none"> • The "Transfer Strategy 2025" of TH Köln formulates strategic goals for the extended understanding of transfer, was adopted by the Executive Board of TH Köln in 2017 in agreement with the Senate. • The "Entrepreneurship Education and Business Start-ups" Strategy was approved by the Senate and the University Council in 2018. • TH Köln Open Science Policy was published in 2022.
10. Non discrimination	++		<ul style="list-style-type: none"> • According to the laws (Article 3 of the German Constitution; German General Equal Treatment Act (AGG); German Disabled Persons Act; German Anti-Discrimination Act; German Social Security Code (SGB); North Rhine-Westphalia Act on the Equal Treatment of Women and Men), TH Köln guarantees a working environment in which researchers are in no way discriminated against on the grounds other gender, age, ethnic, national or social origin, religion or world view, sexual orientation, language, disability, political views or social or economic reasons. • To ensure this, TH Köln has installed a special needs representative, a staff council for academic staff and a staff council for non-academic staff as well as a mobbing and addiction task force. • An action plan on inclusion has been drawn.
11. Evaluation/ appraisal systems	++		<ul style="list-style-type: none"> • Appreciation of research activities is reflected by its granting of the W-remuneration (W-Besoldung) as well as the additional benefits negotiated during a professor's appointment. • Academic staff with a particular focus on research may join forces to fund research clusters or research institutes, for which internal funds can be made available under certain circumstances. • TH Köln also grants researchers the opportunity to do an individual research semester.
Recruitment and Selection			

12. Recruitment	++		<ul style="list-style-type: none"> • In November 2016, TH Köln adopted an Appointment Guideline for the selection process of professors at TH Köln. It is based on Appointment Regulations and guarantees a uniform procedure for all faculties. The guideline sets out the fundamental principles of respectful treatment of applicants, adequate information on the status of the proceedings, transparent procedures and comprehensive support for invited applicants and newly appointed staff
13. Recruitment (Code)	++		<ul style="list-style-type: none"> • In order to ensure a transparent application process, a profile of requirements is published with the job advertisement. Applicants may also request feedback on their application, selection interviews or demonstration lessons at any time.
14. Selection (Code)	++		<ul style="list-style-type: none"> • Appointment of selection committee by the respective faculty council of TH Köln, consists of three professors of TH Köln from the respective faculty, one external professor, one research associate with representation and one student with representation. It is chaired by a professor of TH Köln. • The Appointment Guideline provides for an evaluation matrix for the evaluation of the basic competences, which also contains a weighting of the requirement criteria. The applicants will then be assessed and selected according to their ranking. The result is presented to the Executive Board in an appointment report which documents the selection process and justifies the selection.
15. Transparency (Code)	++		<ul style="list-style-type: none"> • The OTM-R guideline of TH Köln defines four basic principles for staff recruitment at TH Köln: Openness, transparency, performance and quality. These basic principles guide the entire acquisition process and the methods and tools used in staff selection and the appointment and recruitment process.

16. Judging merit (Code)	++		<ul style="list-style-type: none"> • The OTM-R guideline of TH Köln defines four basic principles for staff recruitment at TH Köln: Openness, transparency, performance and quality. These basic principles guide the entire acquisition process and the methods and tools used in staff selection and the appointment and recruitment process.
17. Variations in the chronological order of CVs (Code)	++		<ul style="list-style-type: none"> • Pursuant to Section 36 Higher Education Act (HG) NRW, variations in the résumés of applicants are expressly required.
18. Recognition of mobility experience (Code)	++		<ul style="list-style-type: none"> • Deviations from a linear-chronological résumé as well as stays abroad, research semesters and occupationally relevant positions outside the university are regarded as indicators of mobility and are evaluated positively in the selection practice.
19. Recognition of qualifications (Code)	++		<ul style="list-style-type: none"> • Pursuant to Section 36 HG NRW, one of the prerequisites for recruitment is a practical period of at least three years outside the university. • Qualifications acquired abroad are checked for their comparability
20. Seniority (Code)	++		<ul style="list-style-type: none"> • Once the selected candidate has been confirmed, the appointment (recruitment) may take place without any age limit. The only exception to this is civil servant status after the age of 50, which is only possible under certain conditions due to the law.
21. Postdoctoral appointments (Code)	+/-	<ul style="list-style-type: none"> • Pursuant to Section 36 HG NRW, one of the prerequisites for recruitment of professors is a practical period of at least three years outside the university. Therefore not many postdoctoral candidates are appointed directly. The project PLan_CV focused on the recruitment of postdoctoral researchers. • Graduate Center of TH Köln has been established in 2016 to support the needs of doctoral and postdoctoral researchers 	

Working Conditions and Social Security			
22. Recognition of the profession	++		<ul style="list-style-type: none"> • TH Köln attaches great importance to the acknowledgement of the research profession and appreciation of researchers at all career levels. • In the case of professors, the appreciation of the research activity on the part of the university as an employer is also reflected in the particular salary scale (W-Besoldung) and the allowances negotiated at the time of appointment. • Leading researchers at TH Köln can come together to form research focal points or research institutes, which may be provided with university funds. • It is also possible to apply for an individual research sabbatical.
23. Research environment	++		<ul style="list-style-type: none"> • The Department of Research and Knowledge Transfer offers researchers from all faculties assistance in submitting applications as well as support in concluding cooperation agreements with external partners, e.g. from industry and culture. • In addition, the department provides information on internal funding mechanisms and external funding options, offers the possibility of registering for a licensed research newsletter, advises researchers individually and organizes information events and workshops on research funding programs, peer review activities, etc. depending on the occasion as well as information events for new employees or newly appointed professors.
24. Working conditions	++		<ul style="list-style-type: none"> • In 2018, the Executive Board adopted the draft for the implementation of the Contract for Good Employment Conditions of January 15, 2016, prepared by the HR Services Department • All newly appointed professors and new employees receive training and instruction in relevant areas of occupational safety on the basis of the current

			<p>operational guidelines and are made aware of possible dangers and appropriate protective measures.</p> <ul style="list-style-type: none"> • The university governance has established a "Health Forum" working group, which offers all employees of TH Köln a comprehensive health promotion scheme with a wide range of services for maintaining health. • A guideline to enable mobile work has been passed.
25. Stability and permanence of employment	++		<ul style="list-style-type: none"> • With regard to long-term and stable employment, lifetime civil servant status is usually granted after a probationary period of one year. • Professors in private employment are generally employed indefinitely after a probationary period of one year.
26. Funding and salaries	++		<ul style="list-style-type: none"> • With regard to the remuneration of professors, the salary scales for civil servants in the state of North Rhine-Westphalia apply to TH Köln. • They are paid according to W2, and in employment under private law the remuneration is paid analogously to W2. • In addition, the professors have the opportunity to receive additional benefits through additional performance.
27. Gender balance	+/-	<ul style="list-style-type: none"> • The long-term goal of the university is to achieve an equal proportion of women and men in all employee groups of TH Köln as well as a balanced participation of women and men in the decision-making structures in teaching, research and administration. • The university has a full-time, central equal opportunities officer, two deputies and an Equal Opportunities Office with two employees, an Equal Opportunities Commission consisting of one woman and one man from each of the 	

		<p>university employee groups, and decentralized equal opportunities officers in the faculties.</p> <ul style="list-style-type: none"> • The active implementation of equal opportunities for women and men is anchored both in the University Development Plan and in the Equal Opportunities Plan adopted by TH Köln in 2018. • The Mathilde-von-Mevissen program adopted in 2014 bundles measures to promote women at various academic levels (degree, doctorate, teaching). 	
28. Career development	++		<ul style="list-style-type: none"> • TH Köln offers all newly appointed professors a one-year coaching program on university teaching. • Individual career development advice for managers is offered by the Human Resources Development team as part of its internal training provision. • The hdw nrw network provides staff with a comprehensive range of advanced training courses and, in addition to advanced training in teaching methods, also offers seminars on personality development, communication and the like. • In general, applications for advanced training for employees are welcomed and supported, as long as there are no urgent operational concerns. The commitment to continuous advanced training can be established through target agreements.
29. Value of mobility	++		<ul style="list-style-type: none"> • In order to strengthen internationally oriented research, TH Köln aims to increase the international mobility of its researchers and to intensify the exchange with foreign guest researchers. • International Scholar Services were established in 2019. The ISS supports international guest researchers in organizing their stay and in their integration at TH Köln, provides advice to the faculties on attracting international guest researchers and assists TH

			<p>researchers in preparing for a research-related stay abroad.</p> <ul style="list-style-type: none"> • TH Köln has published a new internationalization strategy in 2022.
30. Access to career advice	++		<ul style="list-style-type: none"> • Individual career development advice for managers is offered by the Human Resources Development team as part of its internal training provision. • The Family Services Office offers personal advisory services on the topic of life/work balance for researchers
31. Intellectual Property Rights	++		<ul style="list-style-type: none"> • TH Köln uses its own patent strategy for the commercial exploitation of research results on industrial property rights.
32. Co-authorship	++		<ul style="list-style-type: none"> • The “Guidelines on Good Scientific Practice” specify the way in which co-authorship and scientific misconduct are handled, for example in the form of plagiarism or honorary authorship.
33. Teaching	++		<ul style="list-style-type: none"> • Professors are involved in 18 teaching hours/week • In order to enable doctoral researchers to gain teaching experience, they can be employed as research associates in teaching. The Ordinance on the Compulsory Obligation to Teach and Learn (Lehrverpflichtungsverordnung, LVV NRW) allows a maximum of four semester hours per week for a full-time position.
34. Complains/ appeals	++		<ul style="list-style-type: none"> • Opportunities to raise complaints, opposition procedures or similar concerns exist at meetings with the members of the Executive Board or in a feedback meeting with the Head of the HR Services Department one year after the appointment.
35. Participation in decision-making bodies	++		<ul style="list-style-type: none"> • All university members are also entitled to participate in different decision-making bodies.
Training and Development			

36. Relation with supervisors	++		<ul style="list-style-type: none"> • "Guidelines for the Good Supervision of Doctorates" were adopted by the Executive Board in March 2017.
37. Supervision and managerial duties	++		<ul style="list-style-type: none"> • "Guidelines for the Good Supervision of Doctorates" were adopted by the Executive Board in March 2017.
38. Continuing Professional Development	++		<ul style="list-style-type: none"> • The Graduate Center at TH Köln was founded in 2016 to support the needs and requirements of early-stage researchers.
39. Access to research training and continuous development	++		<ul style="list-style-type: none"> • Graduate Center service desk advises and supports doctoral researchers at TH Köln and provides counseling as well as networking and advanced training opportunities. In addition to information events on a wide variety of topics relevant to doctoral research, this currently includes a free advanced training program to support doctoral researchers in acquiring key qualifications. • Since 2016, a peer coaching program for female doctoral researchers is offered. The coaching program was opened to male doctoral researchers in 2018.
40. Supervision	++		<ul style="list-style-type: none"> • "Guidelines for the Good Supervision of Doctorates" were adopted by the Executive Board in March 2017.

4. HRS4R Analysis ISCTE

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
<p>Status: to what extent does this organization meet the following principles?</p>	<p>Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented</p>	<p>In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organization.</p>	<p>Initiatives undertaken and/or suggestions for improvement:</p>
Ethical and Professional Aspects			
<p>1. Research freedom</p>	<p>++</p>		<p>Research freedom is stated in the following documents:</p> <ul style="list-style-type: none"> • Article 64 of the statute of the university teaching career, Decree-Law 205/2009, 31 of August (https://files.dre.pt/1s/2009/08/16800/0572905757.pdf); • Article 8. Duties of the contracting institution, of the Regime for contracting doctorates aimed at stimulating scientific and technological employment in all areas of knowledge - Decree-Law 57/2016, of 29 August (https://dre.pt/dre/detalhe/decreto-lei/57-2016-75216371); • Code of Ethics in Research Conduct (https://www.iscte-iul.pt/assets/files/2019/11/11/1573475578159_Cod_e_of_Ethical_Conduct_in_Research_ISCTE_IUL_Engli_sh_november_2019.pdf) • Code of Academic Conduct (https://www.iscte-iul.pt/assets/files/2019/01/18/1547824702225_Aca_demic_Code_of_Conduct_CCA_.pdf)
<p>2. Ethical principles</p>	<p>++</p>		<p>Ethical principles are stated in the following documents:</p>

			<ul style="list-style-type: none"> • Code of ethics in research conduct (https://www.iscte-iul.pt/assets/files/2019/11/11/1573475578159_Cod_e_of_Ethical_Conduct_in_Research_ISCTE_IUL_Engli_sh_november_2019.pdf); • Code of Academic Conduct (https://www.iscte-iul.pt/assets/files/2019/01/18/1547824702225_Aca_demic_Code_of_Conduct_CCA_.pdf); • Principles and rules applicable to ethics committees operating in health institutions, higher education institutions and biomedical research centres that carry out clinical research - Decree-Law 80/2018 (https://dre.pt/dre/detalhe/decreto-lei/80-2018-116673880)
3. Professional responsibility	+ / -	<ul style="list-style-type: none"> • Information at the recruitment interview • Code of Ethics in Research Conduct • Code of Academic Conduct 	<ul style="list-style-type: none"> • Suggestion for improvement: produce and provide a Booklet with information about professional responsibility and ethical principles
4. Professional attitude	++		<p>Professional attitude is stated in the following documents:</p> <ul style="list-style-type: none"> • Article 9 - Duties of employees, of the regime for hiring doctorates aimed at stimulating scientific and technological employment in all areas of knowledge -Decree-Law 57/2016, of 29 of August (https://dre.pt/dre/detalhe/decreto-lei/57-2016-75216371) • Article 15 -Rights and duties of researchers under private law, of the Iscte’s Regulation of Research, Science and Technology Personnel under Individual Contracts - Regulation nb. 912/2022, of 28 of September (https://dre.pt/dre/detalhe/regulamento/912-2022-201585035); • Code of Ethics in Research Conduct (https://www.iscte-iul.pt/assets/files/2019/11/11/1573475578159_Cod

			<p>e of Ethical Conduct in Research ISCTE IUL English november 2019.pdf);</p> <ul style="list-style-type: none"> • Code of Academic Conduct (https://www.iscte-iul.pt/assets/files/2019/01/18/1547824702225_Academic Code of Conduct_CCA .pdf) • Iscte’s Intellectual Property Policy - Dispatch regulation nb. 17747/2010 of 26 of November (https://dre.pt/dre/detalhe/despacho/17747-2010-2007693)
5. Contractual and legal obligations	++		<p>Contractual and legal obligations are stated in the following documents:</p> <ul style="list-style-type: none"> • Regime for hiring doctorates aimed at stimulating scientific and technological employment in all areas of knowledge - Decree-Law 57/2016, of 29 August (https://dre.pt/dre/detalhe/decreto-lei/57-2016-75216371) • Iscte’s Regulation of Research, Science and Technology Personnel under Individual Contracts - Decree-Law Reg. 912/2022, of 28 of September (https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
6. Accountability	++		<p>Accountability is stated in the following documents:</p> <ul style="list-style-type: none"> • Regulation on the Evaluation of the Activity of Iscte Researchers - Reg 369/2020, of 13 of April (https://dre.pt/dre/detalhe/regulamento/369-2020-131348780) • Code of Ethics in Research Conduct (https://www.iscte-iul.pt/assets/files/2019/11/11/1573475578159 Code of Ethical Conduct in Research ISCTE IUL English november 2019.pdf); • Code of Academic Conduct (https://www.iscte-iul.pt/assets/files/2019/01/18/1547824702225_Academic Code of Conduct_CCA .pdf)
7. Good practice in research	++		<p>Good practice in research is stated in the following documents:</p>

			<ul style="list-style-type: none"> • Research and Academic individual Employment contract, • Iscte's Intellectual Property Policy - Dispatch regulation nb. 17747/2010 of 26 of November (https://dre.pt/dre/detalhe/despacho/17747-2010-2007693) • Code of Ethics in Research Conduct (https://www.iscte-iul.pt/assets/files/2019/11/11/1573475578159_Cod_e_of_Ethical_Conduct_in_Research_ISCTE_IUL_Engl_i_s_h_november_2019.pdf); • Handbook of pedagogical practices for the integration of research in Higher Education (https://repositorio.iscte-iul.pt/bitstream/10071/11232/3/20160422_iscte_e_b_o_o_k_manual%20de%20praticas%20pedagogicas.pdf)
8. Dissemination, exploitation of results	+/-	set out open data Policy (ongoing)	<p>Dissemination, exploitation of results are stated in the following documents:</p> <ul style="list-style-type: none"> • Reg. 369/2020 – Regulation on the Evaluation of the Activity of ISCTE Researchers, https://i-meritus.iscte-iul.pt/assets/documents/2020-04-13-regulamento-desempenho-investigadores.pdf • Reg 912/2022 - ISCTE's Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035; • Iscte's open access policy - Dispatch 65/2015 https://repositorio.iscte-iul.pt/documentos/despacho_no_65_-_politica_de_acesso_aberto_do_iscte-iul.pdf • Iscte Research Support Office Guidebooks
9. Public engagement	+/-	set out open data Policy (ongoing)	Reg. 369/2020 – Regulation on the Evaluation of the Activity of ISCTE Researchers

			https://i-meritus.iscte-iul.pt/assets/documents/2020-04-13-regulamento-desempenho-investigadores.pdf ; Reg 912/2022 – ISCTE’s Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
10. Non discrimination	++	FOLLOWING THE PT Laws – mentioning the articles of the LAW https://www.gpasa.pt/en/news/News-Flash-Employment-quota-system-for-people-with-disabilities/273/	Special needs - Law no. 4/2019, of 10 January Equality, diversity and inclusion plan will be developed within the InCities project
11. Evaluation/ appraisal systems	++		Reg. 369/2020 – Regulation on the Evaluation of the Activity of ISCTE Researchers https://dre.pt/dre/detalhe/regulamento/369-2020-131348780
Recruitment and Selection			
12. Recruitment	++		(Decree-Law 57/2016, of 29 August; Reg 912/2022 - ISCTE’s Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
13. Recruitment (Code)	++		(Decree-Law 57/2016, of 29 August; Reg 912/2022 - ISCTE’s Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
14. Selection (Code)	++		(Decree-Law 57/2016, of 29 August; Reg 912/2022 - ISCTE’s Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
15. Transparency (Code)	++		(Decree-Law 57/2016, of 29 August; Reg 912/2022 - ISCTE’s Research, Science and Technology Staff Regulation

			https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
16. Judging merit (Code)	++		(Decree-Law 57/2016, of 29 August; Reg 912/2022 - ISCTE's Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
17. Variations in the chronological order of CVs (Code)	++		(Article 11 of Reg. 912/2022, https://dre.pt/dre/detalhe/regulamento/912-2022-201585035) Article 11 Notice of opening 1 - The notice of opening of the competition must obligatorily contain: a) The scientific area(s), the category and the career for which the competition is being opened; b) The requirements for admission to the competition and the criteria for approval in absolute merit c) Selection methods, seriation and evaluation criteria, and tie-breaker criteria; d) Evaluation system and final classification; e) Remuneration and working conditions; f) Brief description of the functional content of the position to be filled; g) Place of employment, type of competition, number of positions to be filled and period of validity; h) Composition of the Selection Committee; i) Indication that the communication with the candidates is carried out via e-mail or a platform specially designed for the purpose; j) Entity to which to submit the application, with the respective address, deadline, form of presentation, documents to be attached and other information necessary for the formalization of the candidacy. 2 - The notice of opening of the recruitment procedure is published: a) In the ISCTE Internet site; b) In a means of communication with national coverage, containing only the general information concerning the recruitment

			procedure and referring to the ISCTE Internet site; c) In a means of communication with international coverage, when relevant. 3 - The deadline for submission of applications is set in the notice of opening of the recruitment procedure, which cannot be less than 15 consecutive days from the date of publication in the media mentioned in paragraph b) of No. 2 of this article, provided that the website mentioned therein contains the complete information.
18. Recognition of mobility experience (Code)	++		(Article 11 of Reg. 912/2022), https://dre.pt/dre/detalhe/regulamento/912-2022-201585035
19. Recognition of qualifications (Code)	++		(Article 11 of Reg. 912/2022), see above
20. Seniority (Code)	++		(Article 11 of Reg. 912/2022), see above
21. Postdoctoral appointments (Code)	+ -	<ul style="list-style-type: none"> Following laws but unbalanced due to the characteristics of each scientific area 	(Article 11 of Reg. 912/2022), see above
Working Conditions and Social Security			
22. Recognition of the profession	++		(Decree-Law 57/2016, of 29 August, https://dre.pt/dre/detalhe/decreto-lei/57-2016-75216371 ; Reg. 912/2022 - ISCTE's Research, Science and Technology Staff Regulation https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
23. Research environment	+/-	<ul style="list-style-type: none"> Improving scientific infrastructure by creating the conditions for co-creation and interdisciplinary to respond to global challenges 	Construction of ISCTE KNOWLEDGE AND INNOVATION - Centre for Technology Transfer and Value Creation
24. Working conditions	++		(Article 16 of Reg. 912/2022, https://dre.pt/dre/detalhe/regulamento/912-2022-201585035) Article 16 Service Provision Regimes 1 - The following modalities of service provision regimes are established

			<p>a) Exclusive dedication regime, which implies the renunciation of the exercise of any function or remunerated activity, public or private, including the exercise of a liberal profession, the exceptions provided for in paragraph 2 of article 52 of the Statute of the Scientific Research Career; b) Full-time regime, which corresponds to the weekly duration of the work, comprising the exercise of all functions corresponding to the respective category; c) Part-time regime, in which the total number of weekly service hours is contractually fixed, taking into account the percentage of full-time employment in question. 2 - For the purposes of assessing compliance with the obligations arising from paragraph a) of number 1 of the present article, researchers have the duty to provide the competent ISCTE services with the documentation requested for the purpose. 3 - Violation of the rules regarding exclusive dedication implies full replacement of the amounts received corresponding to the difference between full-time and exclusive dedication regimes, in addition to disciplinary responsibility. 4 - Career researchers in a private law regime shall perform their functions in an exclusive dedication or full-time regime, according to contractual definition. 5 - The researchers referred to in the previous number may transfer from one to another of the regimes referred to therein by means of a superior authorisation order; however, they shall remain at least one year in the regime to which they are transferring. 6 - Specially contracted researchers may exercise their functions under an exclusive dedication, full-time or part-time regime, as established by contract.</p>
25. Stability and permanence of employment	++		<p>(DL 57/2016; Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)</p>

26. Funding and salaries	++		(Article 17 of Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
27. Gender balance	-/+	In process	<ul style="list-style-type: none"> • Equal opportunities plan will be developed within InCities Project • Coaching for female and men
28. Career development	++		(Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
29. Value of mobility	-/+	increasing the awareness of mobility possibilities	Reg. 369/2020 – Regulation on the Evaluation of the Activity of ISCTE Researchers (https://i-meritus.iscte-iul.pt/assets/documents/2020-04-13-regulamento-desempenho-investigadores.pdf)
30. Access to career advice	-/+	increasing the training offer and career counselling for both doctoral candidates and academic staff	
31. Intellectual Property Rights	++		Regulation for the Administration of the Iscte's Intellectual Property Policy - Dispatch no. 17747/2010 – Article 14 (https://dre.pt/dre/detalhe/despacho/17747-2010-2007693)
32. Co-authorship	++		Code of Ethics in Research Conduct stresses the principle of recognising others contribution (https://www.iscte-iul.pt/assets/files/2019/11/11/1573475578159_Code_of_Ethical_Conduct_in_Research_ISCTE_IUL_English_november_2019.pdf)
33. Teaching	++		Article 7 of DL 57/2016 / Article 3 of Reg. 912/2022 (https://dre.pt/dre/detalhe/regulamento/912-2022-201585035)
34. Complains/ appeals	++		The Scientific Council is the central coordination body of Iscte's scientific activities. Iscte has a legal advisory office that provides counselling and ensures confidentiality.

35. Participation in decision-making bodies	++		Normative Dispatch 20/2019: no. 2 a) of art. 16.º; no. 4 of art. 59 (https://dre.tretas.org/dre/3847687/despacho-normativo-20-2019-de-11-de-setembro)
Training and Development			
36. Relation with supervisors	++		Article 15 of Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035
37. Supervision and managerial duties	++		Article 19 of Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035
38. Continuing Professional Development	+/-	Teaching and Training Programmes in process; To be improved	Annex to the reg. 369/2020 – Regulation on the Evaluation of the Activity of ISCTE Researchers Decreto-Lei 112/2021 (tretas.org) Approves the internal career system for promotion to intermediate and top categories of the higher education teaching and scientific research careers https://dre.pt/dre/detalhe/decreto-lei/112-2021-175865937
39. Access to research training and continuous development	+/-	To be improved; to learn with other's good practices	Articles 21 and 22 of Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035
40. Supervision	++	To learn with other's good practices	Article 4 of Reg. 912/2022 https://dre.pt/dre/detalhe/regulamento/912-2022-201585035

5. HRS4R Analysis Université Gustave Eiffel

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
Status: to what extent does this organization meet the following principles?	Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented	In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organization.	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	++		Article L952-2 of the education code Teacher-researchers, teachers and researchers enjoy full independence and complete freedom of expression in the exercise of their teaching and research activities, subject to the reservations imposed on them, in accordance with university traditions and the provisions of this code, the principles of tolerance and objectivity. Academic freedom is the guarantee of excellence in French higher education and research. They are exercised in accordance with the constitutional principle of teacher-researcher independence. https://www.legifrance.gouv.fr/codes/article_lc/LEGIARTI000042813115
2. Ethical principles	++		Uni Eiffel has an ethics referent who responds to agents who seek an opinion or advice on integrity, probity,

			<p>neutrality, secularism, professional secrecy, the independence of researchers, hierarchical obedience, the accumulation of functions or the conflict of interest. Any agent or the Presidency of the University can refer to this referent.</p> <p>Uni Eiffel has also a scientific integrity referent (RIS), to address breaches of scientific integrity. S/He participates, with the ethics referent, in the training of staff in matters of scientific integrity and ethics. A breach of scientific integrity can be reported to the RIS by anyone.</p> <p>To deal with a breach of scientific integrity, the RIS acts outside of any hierarchy, respecting the protection of the people involved and the presumption of innocence.</p>
3. Professional responsibility	+/-	Uni Eiffel is working on its internal code which will fix this issue (planned for September 2023)	
4. Professional attitude	+/-	Uni Eiffel is working on its internal code which will fix this issue (planned for September 2023)	
5. Contractual and legal obligations	+/-	Uni Eiffel is working on its internal code which will fix this issue (planned for September 2023)	
6. Accountability	+/-	Uni Eiffel is working on its internal code which will fix this issue (planned for September 2023)	
7. Good practice in research	++		See ethical principles; experimental research with human participants have to follow dedicated rules, an internal committee examines the research protocols
8. Dissemination, exploitation of results	+/-	Uni Eiffel is working on its internal code which will fix this issue (planned for September 2023)	
9. Public engagement			A dedicated service is devoted to the communication with citizens; participative research is promoted
10. Non discrimination	-/+	- Actual national measures by correspondence testing show discriminations. Even if it is difficult to measure discriminations in our recruitment procedures for researchers, due to procedures of national competitive examination, we suppose there are discriminations	<p>Equality plan resulting from group work of 40 people has been voted by all the bodies of the University (see Equality plan measure 5.2)</p> <p>- Clear confidential system for reporting violence and discrimination through e-mail exists. Equality plan commits University to restructure the system (measure 4.2.1).</p>

		<ul style="list-style-type: none"> - Measure of gender distribution for recruitment shows gap between women’s applications and women recruited and gendered occupational segregation - Gender wage gap is 14,09% - Individual cases of violence and discrimination are reported to the system for reporting - a larger diagnosis should be done 	<ul style="list-style-type: none"> - Network of 70 equality “watchpersons” in all faculties, research units and services - To increase awareness on equality and to fight harassment, discrimination and violence (measure 4.3), a large program of training is established, for example training recruiters and managers to fight discriminatory bias -Equality plan commits University to 4 measures (Measure 1.1 to 1.4) to reduce gender pay gap. -Monitoring recruitment procedures Equality plan displayed 12 measures to ensure access to civil service bodies, frameworks, categories and jobs for men and women and https://mission-egalite.univ-gustave-eiffel.fr/agir-ensemble-pour-legalite/nos-engagements-et-nos-actions/ - University Gustave Eiffel created a National Observatory for Equality and against Discrimination in Higher Education to lead research on equality and promote good practices. Reports are published on a website https://ondes.univ-gustave-eiffel.fr/en/the-observatory/presentation-of-ondes/ - A survey a staff survey on violence and discrimination is coming as announced in Equality plan (measure 4.1.1) - A Guide for best practices in inclusive communication in French has been written and posted on the website https://mission-egalite.univ-gustave-eiffel.fr/fileadmin/contributeurs/Mission-egalite/Guide_langage_egalitaire_07_10_2021.pdf
11. Evaluation/ appraisal systems	-/+	<p>Researchers, associate professors, professors: Evaluation by an external body (COMEVAL or CNU) every 2 years (alternating between "light" and "heavy" evaluation for researchers) and 5 years (career follow-up for associate professors). Not compulsory for teacher-researchers.</p>	<p>Evaluation methods to be considered for contractual research staff.</p> <p>Université Gustave Eiffel joined the coalition to advance research assessment: https://coara.eu/</p>

Recruitment and Selection			
12. Recruitment	+/-	See below	See below
13. Recruitment (Code)	-/+	<p>Permanent teacher-researchers: validation of recruitments by the university authorities, inclusion of these recruitments in national campaigns led by the supervisory ministries, with a call for applications distributed nationally and via Euraxess, and a one-month application deadline. The composition and functioning of selection committees are highly regulated to ensure equal treatment of candidates and avoid any conflict of interest.</p> <p>Some researchers are recruited by the Ministry of Ecological Transition with an adhoc commission, the university is present but do not decide alone</p> <p>Contractual doctoral students: recruitment procedures of the same type, but managed by doctoral schools for the university for certain doctoral schools.</p>	<p>These measures do not concern the recruitment of contractual staff (post-doctoral students, researchers recruited on research contracts, etc.)</p> <p>Publication and recruitment procedures that guarantee transparency and equal treatment of candidates should be considered.</p>
14. Selection (Code)	++		<p>Equality plan measure 2.3 involves HRD representative in key steps of the process</p> <p>Measure 2.4 Improves the guidelines for recruitment assessment criteria</p> <p>Measure 2.5 and 2.6 Combat unconscious biases through production of recruitment statistics and training</p> <p>Category “Recruitment” with documents (leaflet and videos) on our website https://mission-egalite.univ-gustave-eiffel.fr/ressources/recrutement/</p> <p>Document intended for the committees for the selection of teacher-researchers</p>
15. Transparency (Code)	++		<p>Equality plan measures 2.1 and 2.2: ensure the vacancies are published in a transparent visible and egalitarian way with appropriate media of communication</p>

16. Judging merit (Code)	++		Use of anonymous CV to PHD position recruitment in specific program Clear-doc Category "Recruitment" with documents (leaflet and videos) on our website https://mission-egalite.univ-gustave-eiffel.fr/ressources/recrutement/ Document intended for the committees for the selection of teacher-researchers
17. Variations in the chronological order of CVs (Code)	-+	Not considered yet	Linearity in the chronological order of CV
18. Recognition of mobility experience (Code)	+		Mobility is considered important part for professional career and is considered as an asset.
19. Recognition of qualifications (Code)	+/-	Full researchers and teacher-researchers: previous research experience is taken into account at the time of appointment as a full faculty member, according to the rules defined by the regulations. Contract researchers: Taking into account previous experience of equivalent level to determine remuneration at the time of recruitment	Work to come in 2023 on the compensation and career of contractual staff (including researchers) in order to improve these aspects and make them more transparent and equitable
20. Seniority (Code)	++		No age limit, but public academic teacher-researchers can't work after 67 years old (discussions to extend this to 69)
21. Postdoctoral appointments (Code)	++		Not mandatory but highly recommended
Working Conditions and Social Security			
22. Recognition of the profession	++		Consideration of previous research experience at the time of appointment as a full member
23. Research environment	++		Health and well-being at work has a dedicated service, intranet web pages; several services are present to help researchers in their activities: set up of proposal, legal aspects, international collaboration, economic valorisation

24. Working conditions	++		Flexibility for week organization (4 ½ days) for some staff, teleworking possible up to 2 days per week for most of the staff (to be adapted to teaching period for teacher-researcher) Equality Plan measure 3.2.2 harmonizes teleworking options inside the University
25. Stability and permanence of employment	+ -	The institution gives priority to recruiting full and permanent researchers and teacher-researchers	To be done in 2023 on the compensations & benefits and career of contract staff (including researchers) in order to improve recruitment and career conditions
26. Funding and salaries	+ -	Legal framework for the compensation & benefits of permanent staff. Policy on bonuses and compensations for managerial activities and responsibilities in the institution voted by the university councils, in compliance with the legal framework	To be done in 2023 on the compensation & benefits and career of contract staff (including researchers) in order to improve these aspects and make them more transparent and equitable
27. Gender balance	-/+	<ul style="list-style-type: none"> - Measure of gender distribution for recruitment shows gap between women's applications and women recruited and gendered occupational segregation - Gender wage gap is 14,09% - The proportion of men and women varies by discipline and career stage. While they represent nearly 42% of teachers-researchers, they are 34% among the full professors. -The proportion of men and women in top position is 60/40 and must be monitored - Individual cases of gender based violence are reported to the system for reporting 	<p>Equality plan resulting from group work of 40 people has been voted by all the bodies of the University (see Equality plan measure 5.2)</p> <ul style="list-style-type: none"> - Equality plan commits University to 4 measures (Measure 1.1 to 1.4) to reduce gender pay gap. - Equality plan displayed 12 measures to ensure access to civil service bodies, frameworks, categories and jobs for men and women and https://mission-egalite.univ-gustave-eiffel.fr/agir-ensemble-pour-legalite/nos-engagements-et-nos-actions/ -Equality plan measure 2.12 Implement regular communication and awareness-raising actions in male-dominated professions (over 60%) to encourage women to apply for promotion -Monitor the evolution of the proportion of men and women in top-position and management position Equality plan measure 2.7

			<p>-Clear and confidential system of reporting violence and discrimination through mail addresses exists. Equality plan commits University to restructure the system (measure 4.2.1).</p> <p>Career advancement and sabbatical leaves for teacher-researchers are managed both at national and local levels through two ad hoc commissions</p>
28. Career development	++	Document Management guidelines relating to promotions and the enhancement of career paths of Gustave Eiffel University staff available on the intranet website	Researcher linked to the Ministry of Ecological Transition have a specific career development, based on decision taken by an ad hoc commission with the advice of the research rector
29. Value of mobility	-+	Guidelines should be provided	Global campaign for all the staff; correct mobility rates for academics but very low rate for other staff
30. Access to career advice	+-	Several internal and external structures exist and are mobilised to support the careers of researchers and teacher-researchers: the staff support service of the DGDRH, the research vice-presidency, and the ministry MTECT's research officers.	Consideration should be given to increasing the skills of the internal players responsible for the specific support of these staff, as well as developing partnerships with external structures in order to facilitate mobility and exchanges
31. Intellectual Property Rights	++		Every contracts or agreement is checked by the juridical staff to deal with IP; mandatory before signature by the presidency
32. Co-authorship	+-	Guidelines should be provided	Co-authorship is based on an agreement between respective co-authors.
33. Teaching	++	.	Teaching leave for new lecturers for the first two years in order to facilitate, in particular, their integration into research; leave for research and thematic conversion or leave for pedagogical projects provided for teacher-researchers; teaching authorisation granted to researchers in their working time, up to 64 hours per year
34. Complains/ appeals	-+	Guidelines should be provided	No explicit rules or process; some complains can be done via an administrative procedure
35. Participation in decision-making bodies	++		The functioning of the university provides, legally and in its statutes, for the participation (via election) of

			researchers and teacher-researchers in the internal decision-making and social dialogue bodies of the institution.
Training and Development			
36. Relation with supervisors	+-	Guidelines should be provided	Researchers, Postdoc and PhD are supervised by the research lab directors, but mainly on a functional perspective; for PhD, doctoral schools have their own guidelines
37. Supervision and managerial duties	+-	Guidelines should be provided	People who plan to take a management position can apply for dedicated training, usually delivered by an external company or in another university
38. Continuing Professional Development	++		The internal training offer for all staff has been greatly enriched in recent years, particularly in the areas of research and teaching support. In addition, there is a training commission which studies and arbitrates all requests for individual or collective training, made outside the internal offer. It has a substantial budget, which has been regularly increased.
39. Access to research training and continuous development	++		See above
40. Supervision	-+	Guideline for PhD supervision should be produced	Could be a supervision of junior staff by senior but it is not institutionalized

6. HRS4R Analysis LAUREA

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
Status: to what extent does this organization meet the following principles?	Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented	In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organization. If relevant, list any national/regional legislation or organizational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	++		Researchers can apply funding for research subjects according to their own interest as far as they fit in the framework of Strategy of Laurea. Laurea has three (3) Research Areas and their director also has to approve the research subject.
2. Ethical principles	++		Laurea has The Ethical Guidelines . Its purpose is to provide support and act as a tool for the everyday operations of personnel and students.
3. Professional responsibility	++		https://www.laurea.fi/en/research/responsible-rdi-and-education/ Laurea has The Ethical Guidelines . Its purpose is to provide support and act as a tool for the everyday operations of personnel and students. Laurea follows Open Access recommendations for all research.

4. Professional attitude	++		<p>Laurea follows Open Access recommendations for all research.</p> <p>Researchers receive information on the required professional attitude first in their recruitment interview and subsequently in the documents handed out to them. In addition to that new researchers will take part of the introductory event to all new employers</p>
5. Contractual and legal obligations	++		<p>Laurea administration collaborates closely with researchers when applying for and carrying out their research projects</p>
6. Accountability	+/-	More attentions might be taken to the qualitative results of the research	<p>Researchers are given information on their accountability during their interview and in the documents handed to them</p> <p>In yearly discussions with the supervisor all results from the past year will be discussed</p>
7. Good practice in research	++		<p>Good Scientific Practice is followed</p> <p>Data protection officer is in place</p> <p>https://www.laurea.fi/en/research/responsible-rdi-and-education/</p>
8. Dissemination, exploitation of results	+/-	How to better utilize innovations raising from research	<p>Patent strategy of Laurea is followed. It includes also all Industrial property rights</p>
9. Public engagement	+/-		<p>The researchers are aware of the fact that the results of their research are of public interest and that they are obliged to share their results. All scientific research plans are first evaluated by a special committee.</p> <p>Much of the research results are published also in English language</p>
10. Non discrimination	++		<p>According to the laws; Act on Equality between Women and Men (Equality Act) and the Non-discrimination Act</p> <p>In order to ensure non-discrimination Laurea has a Laurea Equality and non-discrimination plan. The plan guides the operations in coordination with the Code of</p>

			<p>Conduct, Laurea's rules and regulations and the Student Accessibility and Equality Plan</p> <p>The implementation is monitored by the occupational safety and health organization</p> <p>Researchers has right to take a leave for their individual research purposes</p>
11. Evaluation/ appraisal systems	++		For postdoctoral positions, Laurea has specific evaluation criteria e.g. number of publications per year. All researchers have once a year a review with their supervisor of the results of the year
Recruitment and Selection			
12. Recruitment	++		Best-qualified person will be selected for every position. Job descriptions will be written for every position
13. Recruitment (Code)	++		<p>Application process is described in the Guideline for Recruitment,</p> <p>Recruitment must be transparent and open</p> <p>Not all positions are externally open, because sometimes the best knowledge is supposed to be found internally</p>
14. Selection (Code)	++		Group of Decision Makers (Selection Committee)
15. Transparency (Code)	++		<p>Candidates are informed about the recruitment process beforehand. They are informed about the principles of the selection</p> <p>HR is mostly involved in recruitment process, depending on the case also a personnel representative</p>
16. Judging merit (Code)	++		Whole range of experience is taken into consideration; Performance and quality, overall potential, focusing on outstanding results
17. Variations in the chronological order of CVs (Code)	++		Career breaks are not punished, diversity is positive
18. Recognition of mobility experience (Code)	+/-		Considered as a valuable contribution

19. Recognition of qualifications (Code)	++	A common Evaluation matrix might be taken into consideration	Appropriate assessment and evaluation, Law-based; Universities of Applied Sciences Act
20. Seniority (Code)	++		The levels of qualifications are in line with the needs of the position Many senior applicants recruited every year
21. Postdoctoral appointments (Code)	++		Laurea has a researcher's career path with separately set goals for progressing along the path
Working Conditions and Social Security			
22. Recognition of the profession	++		Salary scale if fixed, depends on the stage of the Researcher. Everybody is treated as professionals
23. Research environment	+/-	Should there be an internal funding possibility for researchers	Researchers are given support by the Service unit when applying for external funding for their research Equipment and facilities are given for researchers. National regulations concerning health and safety in research are followed
24. Working conditions	++		Working conditions are according to national regulations and collective agreements. Appropriate flexibility is granted for work, distance work is possible Possible to combine family and work, flexible working hours, part-time working, tele-working, sabbatical leave
25. Stability and permanence of employment	+/-	More stable employment contracts	Instability of employment contracts
26. Funding and salaries	++		According to national legislation and with sectoral collective agreements, two different sectoral collective agreements followed at Laurea depending on the work position
27. Gender balance	+/-	70 per cent of the Researchers are women	Non-discriminatory principles and laws are followed, equal treatment for all genders Every year a Personnel Balance is done , it includes comparisons between genders; number of employed, salaries etc.
28. Career development	+/-	More structured career development path	Mentoring, support from the Service Units, personal discussions at least once a year
29. Value of mobility	++		Fully valued

30. Access to career advice	+/-	More structured career development path	At least once a year discussion with the supervisor, services from HR
31. Intellectual Property Rights	++		Specific agreements for every research work is done
32. Co-authorship	++		Possibility to publish own research results independently of the organization
33. Teaching	++		Teaching duties are agreed separately with co-operation with the supervisor
34. Complains/ appeals	++		An impartial person (luottamusmie) elected among members the every four years and health and safety representative among personnel to help solving any issues
35. Participation in decision-making bodies	++		Feed-back channels, discussions with the rector on a regular basis, questionnaire for the whole personnel, a personnel representative in Board of Directors, in Management Team of UAS, Code of Conduct
Training and Development			
36. Relation with supervisors	+/-		Researchers have regular relationship with their supervisors and everybody has a right to have a discussion with his supervisor at least once a year, HR follows. Supervisors are educated on a regular basis of how to act as a supervisor at Laurea. A survey is made once a year how supervisors have succeeded in their supervision and a development plan is done if the results are not good
37. Supervision and managerial duties	++		High professional standards are followed at Laurea for supervision and management. About four times a year a shared education/workshop for supervisors About once a month an info session for supervisors
38. Continuing Professional Development	+/-	More structured development plans How to spread the knowledge of the employees and how to spread the results of the research done	Possibilities to take part into conferences, formal training

39. Access to research training and continuous development	++		Possibilities to take part into conferences, formal training
40. Supervision	++		High professional standards are followed Yearly formal discussions with the supervisor

7. HRS4R Analysis UNIZA

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
<p>Status: to what extent does this organization meet the following principles?</p>	<p>Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented</p>	<p>In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organization.</p>	<p>Initiatives undertaken and/or suggestions for improvement:</p>
Ethical and Professional Aspects			
<p>1. Research freedom</p>	<p>++</p>		<ul style="list-style-type: none"> • Laws: § 4 of the Higher Education Act from 21.2.2022: Academic freedom and academic rights • Anchored in the Long-term strategy of UNIZA 2021-2027: Values and basic principles of UNIZA • Anchored in the Ethical codex of UNIZA (validated by Academic Senate 28.6.2021): Article 2 General ethical principles, • University of Žilina (UNIZA) implementation of compliance with European Magna Charta Universitatum http://www.magna-charta.org/ • UNIZA Internal Directive No. 207/2021 (Code of Ethics as Directive): Activities of the academic community and university staff are based on full respect of the principles of humanism, equal opportunities, gender equality, freedom,

			democracy, respect for the environment, but also good pedagogical and scientific research practice.
2. Ethical principles	++		<ul style="list-style-type: none"> • Researchers at UNIZA receive information on their accountability during the interview and in the documents handed out when they first start their new job, • Ethical codex of UNIZA: Article 1 Preambula, Article 2 General ethical principles • Code of Ethics for Higher Education Employees. • In the academic year 2018/2019 an Ethics Committee was introduced, which was approved on 15.6.2018 at the Rector's Collegium (Rector's Advisory Body). Later for full implementation the Internal Directive No. 207/2021 (Code of Ethics as Directive) at the whole university was approved on 28.6.2021 and implementing the Ethics Committee.
3. Professional responsibility	++		<ul style="list-style-type: none"> • Ethical codex of UNIZA: Article 4 Basic principles of pedagogical activity, and Article 5 Basic principles of scientific and research activity, address the principles of professional attitude of UNIZA teachers and researchers.
4. Professional attitude	+/-		<ul style="list-style-type: none"> • Ethical codex of UNIZA: Article 6, Principles of research practice at UNIZA and non-acceptable research practices • Researchers receive information on the required professional attitude during a recruitment procedure. It is also indicated in a text of call for researchers, which are publicly available. Recruited researchers receive the information on the rules of professional attitude from their supervisors.
5. Contractual and legal obligations	-/+	<ul style="list-style-type: none"> • Not all contracts, guidelines and directives are currently available in the English language. • There is currently no Directive on the management of research and innovation 	<ul style="list-style-type: none"> • Contractual and legal obligations are covered by the work contract and the description of work which is a part of contract.

		<p>projects. However, the work on it has started recently with a support of an external company. The Working Group composed of researchers, vice-rectors, and HR has been established.</p>	<ul style="list-style-type: none"> All UNIZA Directives are available in intranet and when issued or modified, announced by an email to all UNIZA employees.
6. Accountability	++		<ul style="list-style-type: none"> Researchers at UNIZA receive information on their accountability during the interview and subsequently from their line managers.
7. Good practice in research	++		<ul style="list-style-type: none"> The internal Grant Scheme Call for Proposals Policies Directive No. 153/2017 on the Preparation, Approval and Implementation of Projects and their registration in the Information System of Science and Research at UNIZA. Manuals for effective use of public funds (APVV, VEGA, KEGA, FP projects) is available in the Grant Scheme Call for Proposals Policies Directive No. 153/2017 on the Preparation, Approval and Implementation of Projects. Implementation of the first ERA Chair (widening) project in Slovakia ERAdiate project has been accomplished (2014-2019): http://www.erachair.uniza.sk/ The team of international researchers hired during the project has been sustained and transformed to the Department of International Research Projects – ERAdiate+. One of the main objectives is to support UNIZA researchers to apply for EU R&I projects.
8. Dissemination, exploitation of results	-/+	<ul style="list-style-type: none"> Not all the project results are disseminated at a required level; a common approach at UNIZA in a form of a guideline is required. 	<ul style="list-style-type: none"> The results of Research and Innovation projects are disseminated in line with the project plans and the corresponding grant agreement. UNIZA has established a cooperation agreement with Slovak Centre of Scientific and Technical Information (CVTI) for provision of support services on protection and commercialization of the intellectual property of UNIZA researchers. It

			covers all steps including the declaration of intellectual property, estimation of its commercial potential, preparation and submission of patent application and the negotiation of licensing terms associated with the preparation of licensing agreements.
9. Public engagement	+/-	<ul style="list-style-type: none"> Public engagement is ensured by the project dissemination plan. As a rule, the results are presented in the UNIZA magazine "Spravodajca" and regional periodicals. A strategy for public engagement would be required. 	<ul style="list-style-type: none"> UNIZA regularly organizes presentations and events addressed to a wider public such as Researchers' Night, Open Days at each faculty, and many more. UNIZA engages a public through cooperation with different partners from the region, the Žilina self-governing region, start-ups, etc. UNIZA also uses the web site and social media to promote the results of the R&I projects.
10. Non discrimination	++		<ul style="list-style-type: none"> The legal environment of UNIZA as a public institution ensures non-discrimination. It is anchored in the following documents: Directive No. 159/2017 Staff Regulations, Act No. 311/2001 Labour Code Act No. 552/2003 on the performance of work in the public interest Directive No. 207/2021 UNIZA Code of Ethics
11. Evaluation/ appraisal systems	+/-	<ul style="list-style-type: none"> Internal UNIZA Directive on project remuneration is under preparation 	<ul style="list-style-type: none"> Appreciation of research activities is reflected by granting additional bonuses for applying for and implementing EU funded R&I projects. Internal UNIZA Grant for Young Researchers is provided based on a competitive call for grants.
Recruitment and Selection			
12. Recruitment	+/-	<ul style="list-style-type: none"> UNIZA is preparing an update of the Directive No.200/2021 because of the requirements of the new Higher Education Act, No. 131/2002 Coll. It includes changes in a composition of the selection committee, 	<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff.

		rules of the record from the selection procedure and publication of results.	<ul style="list-style-type: none"> Also EURAXES is used for positions within national and international projects.
13. Recruitment (Code)	+/-	<ul style="list-style-type: none"> There are no specific career development opportunities mentioned in job advertisements, since a strategy as well as a specific Unit devoted to career development is still missing at UNIZA. 	<ul style="list-style-type: none"> To ensure a transparent application process, a profile and requirements for a specific position are published with the job advertisement.
14. Selection (Code)	+/-	<ul style="list-style-type: none"> UNIZA is preparing an update of the Directive No.200/2021 because of the requirements of the new Higher Education Act, No. 131/2002 Coll. It includes changes in a composition of the selection committee, rules of the record from the selection procedure and publication of results. There is no appointment guideline at UNIZA. 	<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Appointment of a selection committee by the respective faculty/department consists of at least three persons one of them being from HR. It is chaired by a professor UNIZA. National portal PROFESIA and EURAXESS are used for posting calls for positions for national and international projects.
15. Transparency (Code)	+/-	<ul style="list-style-type: none"> OTM-R guideline is missing at UNIZA. 	<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. In addition, EURAXES is used for positions within national and international projects.
16. Judging merit (Code)	-/+	<ul style="list-style-type: none"> OTM-R guideline is missing at UNIZA. 	<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff.

17. Variations in the chronological order of CVs (Code)	+/-	<ul style="list-style-type: none"> Variations in the chronological order of CVs are not systematically considered. 	<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff.
18. Recognition of mobility experience (Code)	++		<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Mobility is considered important part for professional career and is considered as an asset.
19. Recognition of qualifications (Code)	++		<ul style="list-style-type: none"> Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff.
20. Seniority (Code)	++		<ul style="list-style-type: none"> Once the selected candidate has been confirmed, the recruitment may take place without any age limit.
21. Postdoctoral appointments (Code)	-/+	<ul style="list-style-type: none"> Long-term career prospects for PhD. students are not defined; there is no clear employment policy. 	<ul style="list-style-type: none"> In 2021, UNIZA established the counselling and career centre for students, including PhD. students, which can get here the necessary information. Calls for PhD. students are published on the web sites of the respective Faculties.
Working Conditions and Social Security			
22. Recognition of the profession	+/-	<ul style="list-style-type: none"> There is no common practice at UNIZA to apply for an individual research sabbatical. 	<ul style="list-style-type: none"> UNIZA gives attention to the acknowledgement of the research profession and appreciation of researchers at all career levels. In the case of professors, the appreciation of the research activity on the part of the university as an employer is also reflected in the particular salary scale.

23. Research environment	++		<ul style="list-style-type: none"> • The University Science Park, The Research Centre and the Department of International Research Projects- ERAdiate+ offer researchers from all faculties support and assistance in submitting project proposals as well as support in concluding cooperation agreements with external partners, e.g. from industry. • The Vice-rector for Science and Research, provides the information on internal and external funding options through Vice-deans of respective Faculties. • The Department of International Research Projects – ERAdiate+ organizes information events and workshops on research EU funding programs.
24. Working conditions	+/-		<ul style="list-style-type: none"> • UNIZA put much effort to improve the working environment. • During an initial training or when changing occupational positions, employees are trained on safety and health at work. • In Directive No. 159/2017 Staff Regulations and the UNIZA Collective Agreement, some additional benefits for employees have been introduced to improve working conditions at UNIZA (flexible working time, work from home, reduced working time if required).
25. Stability and permanence of employment	-/+	<ul style="list-style-type: none"> • There is not much interest in researchers' positions, which is manifested by a persistent shortage of top researchers in particular. It is caused by remuneration rules, which must comply with the national law. • UNIZA is actually preparing the new Directive on project remuneration to make a researcher position more attractive. 	<ul style="list-style-type: none"> • Higher Education Act, No. 131/2002 • Law act No. 553/2003 on remuneration of certain employees performing work in the public interest • Act No. 311/2001 Labour Code • Directive No. 159/2017 Staff Regulations • Directive No. 194/2021 Salary Regulations
26. Funding and salaries	-/+	<ul style="list-style-type: none"> • As above 	<p>As above:</p> <ul style="list-style-type: none"> • Law act No. 553/2003 on remuneration of certain employees performing work in the public interest

			<ul style="list-style-type: none"> • Act No. 311/2001 Labour Code • Directive No. 159/2017 Staff Regulations • Directive No. 194/2021 Salary Regulations
27. Gender balance	-/+	<ul style="list-style-type: none"> • Some workplaces at UNIZA such as laboratories for heavy are not suitable for women, and need to be rebuilt and adapted to women. • The UNIZA GEP is not available in English. 	<ul style="list-style-type: none"> • UNIZA introduced the Gender Equality Plan for 2021-2025 23062022 Plan-rodovej-rovnosti-Zilinskej-univerzity-v-Ziline-2021-2025.pdf (uniza.sk). • In 2023, UNIZA aims to open a kindergarten for children of employees and students.
28. Career development	-/+	<ul style="list-style-type: none"> • Long-term career prospects for PhD students and postdocs are not specified. • Career development is in responsibility of respective Faculties. • Methodological Guidelines “Professional Development of University Teachers” is under a process of approval. 	<ul style="list-style-type: none"> • Regular staff annual reviews are performed based on a set of defined criteria. • UNIZA organizes different types of educational activities and courses for its employees, e.g. soft skills training courses and on/off-the-job training. • UNIZA also supports mobility of UNIZA’s employees, in particular within the ERASMUS+ programme. • The Institute of Lifelong Learning at UNIZA provide adaptive education courses for young university teachers and researchers involved in teaching.
29. Value of mobility	++		<ul style="list-style-type: none"> • UNIZA also mobility of UNIZA’s employees, in particular within the ERASMUS+ programme, and considered positively in staff annual reviews.
30. Access to career advice	-/+	<ul style="list-style-type: none"> • Career development department does not exist at UNIZA. 	<ul style="list-style-type: none"> • Professional seminars on entrepreneurial practice and entrepreneurship are organized regularly at UNIZA. • In cooperation with the Slovak Association of Doctoral Students, UNIZA organises Career Days (e.g. IAESTE, EURAXESS), and Info Days on career development in both academic and non-academic environments, • In 2021, UNIZA established the career centre for students, where they are supported by a career advisor and psychologist.

31. Intellectual Property Rights	++		<ul style="list-style-type: none"> Intellectual property rights are defined by the national legislation.” https://www.dusevnevlastnictvo.gov.sk/web/guest/ochrana-dusevneho-vlastnictva <p>See also item 8.</p>
32. Co-authorship	-/+	<ul style="list-style-type: none"> Guidelines on Good Scientific Practice is missing at UNIZA. 	<ul style="list-style-type: none"> Co-authorship is based on an agreement among respective co-authors. When related to scientific publications, share of contribution by respective authors is formalised by registering a publication in an UNIZA and national library system.
33. Teaching	++		<ul style="list-style-type: none"> There is no fix number of hours per week specified for teachers. Usually, professor assistants have more teaching hours per week than associated professors and full professors, as they are involved in practical and laboratory courses and exercises. A vast majority of academic staff at UNIZA is involved in teaching and research (research activities correspond to 30% of contractual obligations)
34. Complains/ appeals	++		<ul style="list-style-type: none"> Directive No. 155/2017 Handling complaints by natural and legal persons at UNIZA. Also within the Directive No. 207/2021 UNIZA Code of Ethics
35. Participation in decision-making bodies	++		<ul style="list-style-type: none"> Higher Education Act, No. 131/2002 Coll. Directive No. 106/2012 Statute of UNIZA The Statutes of the respective faculties and institutes at UNIZA. UNIZA’ senate and faculties’ senates, Rectors and deans collegium are composed of UNIZA employees.
Training and Development			
36. Relation with supervisors	-/+	<ul style="list-style-type: none"> UNIZA plans to introduce Guidelines for supervision of PhD. students and postdocs. 	<ul style="list-style-type: none"> At UNIZA, respective guarantors of study programs and heads of departments mentor researchers.
37. Supervision and managerial duties	-/+	<ul style="list-style-type: none"> UNIZA plans to introduce Guidelines for supervision of PhD. students and postdocs. 	<ul style="list-style-type: none"> Supervision is carried out at by Deans of respective faculties, departments and/or laboratories.

			<ul style="list-style-type: none"> • Managerial duties subsequently assessed by respective scientific councils and collegiums.
38. Continuing Professional Development	-/+	<ul style="list-style-type: none"> • Professional Development is not institutionalised at UNIZA. 	<ul style="list-style-type: none"> • Each Faculty has a long-term graduation plan, which is required to guarantee study programs at different levels of universities studies. • Professional development is then handled by respective departments.
39. Access to research training and continuous development	+/-	<ul style="list-style-type: none"> • UNIZA plans to introduce Guidelines for supervision of PhD. students and postdocs. 	<ul style="list-style-type: none"> • UNIZA supports researchers, provides conditions for further vocational, pedagogical, and project management education and training.
40. Supervision	-/-	<ul style="list-style-type: none"> • UNIZA plans to introduce Guidelines for supervision of PhD. students and postdocs. 	<ul style="list-style-type: none"> • PhD. students are supervised by respective supervisors, and postdocs by their line managers. • Currently, there is not a common Guideline for supervision at UNIZA.

8. Next steps

The document provides an overview of guidelines, strategies and practices regarding the 40 principles of the European Charter and Code in the fields **Ethical and Professional Aspects, Recruitment and Selection, Working Conditions and Social Security and Training and Development** already existing at each of the InCITIES institution. In the next step (T3.2) actions will be specified. The specific internal processes of each institution will be reviewed and existing and new stakeholders to be involved will be identified to point out the fields in which there is a need for action.