

GAP Analysis (Charter and Code Checklist)

Case number: 2018CZ318013

Name Organisation under review: Faculty of Applied Sciences of the University of West Bohemia

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GAP Analysis overview

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

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

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

Status

Ethical and Professional Aspects

Status

1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Research freedom is stipulated in the Higher Education Act, as amended, in the Code of Conduct of UWB, the Statute of UWB, as well as in other policies of UWB and FAV. The boundaries of research are given by the needs of the society and by R&D funding. The questionnaire survey showed that 87.5% of FAV respondents believe that research at FAV is sufficiently free (responding AGREE and SOMEWHAT AGREE).

2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	<p>UWB GAP: In conformance with the Ethical Framework for Research (adopted by the Government of the Czech Republic in 2005), UWB has adopted the Code of Conduct of UWB. However, the Code (as amended at the time of the preparation of the analysis), does not fully reflect the requirements of the Charter and Code. Furthermore, UWB has not implemented support mechanisms for identification and subsequent solution of potential breaches of the ethical principles. FAV GAP: The questionnaire survey showed that nearly 80% of FAV respondents considered the ethical norms and corresponding standards beneficial for their work (responses AGREE and SOMEWHAT AGREE). The survey also indicated that nearly 40% of FAV respondents were not adequately familiar with the Code of Conduct of UWB (responses DISAGREE and SOMEWHAT DISAGREE). The findings of the FAV Focus Group suggest the need to increase researchers' awareness of research and publishing ethics; discussion on co-authorship is very necessary.</p>	<p>Proposals for improvement: Amend the Code of Conduct of UWB so it reflects the requirements of the Charter and Code, including the specification of procedures allowing safe reporting of suspected breaches of ethical principles and provision of confidential, informal assistance in addressing such suspicions (the position of an ombudsman). The Code of Conduct will be easily accessible and become a binding document for all employees and students at UWB; its principles will be enforced. All new employees are familiarised with the Code of Conduct upon hiring. The offer of training will include topics such as R&D ethics, whistleblowing, and procedures to be used if unethical behaviour is suspected.</p>

Status

3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Professional responsibility is closely related to the observing of ethical principles, see the Code of Conduct of UWB and to the fundamental knowledge of protection of intellectual property, copyright, and conflict of interest. FAV GAP: The questionnaire survey indicated that 36% of FAV respondents were not adequately familiar with legislation on protection of intellectual property (responses DISAGREE or SOMEWHAT DISAGREE).	In conformance with legislation, protection of intellectual property is governed by a Rector's Directive. UWB's Project Centre is in charge of the methodology and consulting on this topic. Proposals for improvement: Expand the offer of training courses with the topics of professional responsibility of researchers, protection of intellectual property, and plagiarism.

4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Strategic goals of R&D at FAV are amended annually in the plan for implementation of the strategic intent and published on the Faculty's website. Delegation of responsibility and powers in investigation of research projects falls into the authority of Senior Researchers.

5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>UWB GAP: The translations of certain important UWB documents and norms into English are not available (e.g., a template of the employment contract); this is a complication for hiring of foreign employees and their familiarisation with UWB legislation. The questionnaire survey and outcomes of the Focus Group also indicate the need to improve the manner of relaying information on norms, regulations, important directives, and deadlines.</p>	<p>FAV regularly conducts training in occupational health, safety, and fire protection. The Lifelong Education Institute of UWB organises courses in the fields of protection of intellectual property and copyright as e-learning sessions. Information on the amendments of UWB legislation is given to executive employees. All employees subscribe to adherence to UWB's internal regulations, norms, and other legislation. Proposals for improvement: Systematic translation of relevant UWB documents and norms into English. Improve the content and form of communication given to executive employees. Update the set of training sessions for new employees in their introduction to the legislation environment at UWB (e.g., introduction to the ethical principles of R&D).</p>

Status

6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Executive Researchers are in charge of successful completion of the main goals of implemented projects as well as efficient use of allocated funds. The responsibility of researchers for the objectivity, reliability, and accuracy of their research and for efficient and effective application of resources provided for their research is codified in the Code of Conduct of UWB. UWB operates an internal control system. The Internal Audit Division conducts independent internal audits. The division controls adherence to legislation and norms of the University; verifies whether the data in financial, accounting, and other documents truly represent the assets, the funding sources and their management; examines on a random basis whether operations are economical, effective, and efficient, as well as the appropriateness and effectiveness of the internal control system.

7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	UWB organises periodical training in occupational safety and health (OSH) and fire protection for executive employees; they have an obligation to provide such training for their subordinate employees. FAV has prepared the operation and laboratory policies as well as a comprehensive risk analysis in terms of OSH. Each FAV unit has a designated OSH specialist who continuously monitors occupational safety and conducts public annual tests on OSH. In conformance with EU Directive 2016/679 (GDPR), protection of personal information is governed by Rector's Directives. UWB employees have been trained in the handling and protection of personal information (e-learning and interactive test).

Status

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	UWB GAP: UWB monitors and analyses long-term trends of job opportunities of graduates based on sociological and demographic surveys; however, there is no system in place for starting and supporting business incubators for graduates, spin-off, or start-up companies. FAV GAP: The questionnaire survey, as well as the outcomes from the Focus Group, suggest that cooperation with the Technology Transfer Department is not sufficiently effective; specification of the roles and basic principles for establishing spin-off companies are not present.	Commercial use of research results is supported by the Technology Transfer Department at UWB; at NTIS, it is supported by the Manager for Cooperation with Practice and for Technology Transfer. Proposals for improvement: Clarify the roles and powers between FAV researchers and the Technology Transfer Department.

9. Public engagement

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	UWB operates the External Relations Division which provides communication with the public, advertising and presentation of UWB. FAV also engages in communication with the public in order to present interesting topics addressed by the Faculty's research teams. Research results are presented to the general public in science events organised by UWB and FAV. Representatives of the Faculty participate in study fairs and presentations in secondary schools.

10. Non discrimination

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	The academic environment has enjoyed academic freedom since 1989. The environment of higher education institutions is completely free of discrimination on the basis of nation, race, and religion.

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	<p>The methods of evaluation of researchers depend on the type of R&D activities; major risks are present in further increasing the administrative workload. An important aspect is the balancing of bibliometric data with other creative activities and their practical benefits, such as investigation of national and international grants, performance of contracted research orders, patent applications, and student supervision. In technical fields, results are typically achieved by entire research teams which need to be evaluated as a whole. Key roles are held by employees in charge of R&D activities in given fields as well as for the motivation and evaluation of the members of their teams. FAV GAP: The questionnaire survey, as well as the outcomes from the Focus Group, suggest that researchers would enjoy more frequent communication with their executive employees about the subject and quality of research, instead of impersonal bibliometric evaluation. 30% of FAV respondents stated that they (DISAGREE or SOMEWHAT DISAGREE) that evaluation of performance is sufficiently transparent and clear.</p>	<p>Proposals for improvement: A new Directive, Evaluation of Employees at UWB, is being prepared which is intended to unify the evaluation of creative activities across the parts while being sufficiently flexible to allow the parts to consider their specific features. An amendment of the Career Regulations of UWB is being prepared as well. Adequate utilisation of the University-wide motivation system is designed to support R&D staff. Improvement of communication to support the sharing of information, knowledge, and teamwork.</p>

Recruitment and Selection - please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-based Recruitment included in a separate section, which focuses on the operationalization of these principles.

Status

12. Recruitment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>UWB GAP: A Code of Conduct for Recruitment for Academic Staff is in force at UWB (it does not apply to non-academic staff). The Code is brief and does not contain many requirements of the Code and of the OTM-R Checklist. The recruitment and selection of employees at the NTIS centre is conducted in conformance with the Rules for Selection Procedure for Recruitment of Staff at NTIS; only basic administrative support is offered on the UWB level. Those employees who have, for any reason, taken a break in their research, do not experience any official obstacles upon their return; however, no targeted support exists either.</p>	<p>Proposals for improvement: Amend UWB's current Code of Conduct for Recruitment to reflect the requirements of the Code and the OTM-R Checklist.</p>

13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	<p>FAV GAP: Vacant positions are posted on the University and Faculty websites, usually only in Czech. Only a fraction of vacant positions are posted on international websites. The selection procedures fail to achieve the parameters comparable to similar procedures in the EU (extent of description of required knowledge and skill, working conditions, rights, and career development prospects).</p>	<p>Proposals for improvement: Expand FAV recruitment activities abroad, e.g. by higher usage of the EURAXESS European portal and its comprehensive information and support services for researchers.</p>

Status

14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	FAV GAP: Members of the selection committees are not trained or demonstrably familiarised with the principles of the Code.	The committee for the selection procedure and its Chairman are appointed by the organiser (Dean of FAV), or by proposal of the NTIS Director. The committee must have no fewer than 3 members who are typically from the ranks of FAV employees. The combination of experts and the size of the committee is proportional to the nature of the advertised position. Proposals for improvement: Amend UWB's current Code of Conduct for Recruitment to reflect the requirements of the Code and the OTM-R Checklist. Modify the NTIS internal policy to the amendment of the Code of Conduct for Recruitment at UWB. Members of the selection committees will be trained or demonstrably familiarised with the principles of the Code.

15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	UWB/FAV GAP: The Code of Conduct for Recruitment at UWB (as amended), and NTIS internal policy for selection do not explicitly govern the procedure with the candidate prior to, during, or after the conclusion of the selection procedure. Candidates, especially unsuccessful applicants, are not familiarised with the strengths and weaknesses of their candidacy. Recruitment notifications on the website are very brief and do not deliver detailed information on the possibilities of career development.	Proposals for improvement: Amend the existing Code of Conduct for Recruitment at UWB so that it includes the obligation to familiarise the candidates with the selection criteria and the possibilities of career development. Furthermore, even unsuccessful candidates should be informed about the strengths and weaknesses of their candidacy. Modify the NTIS internal policy to the amendment of the Code of Conduct for Recruitment at UWB.

Status

16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	In technical fields, it is important that the evaluation of the candidates balances the number and impact of their publications with other results of their career, e.g. the benefit of their results for industry or the value of results achieved by research teams supervised by the candidate, etc. UWB/FAV GAP: Neither UWB's Code of Conduct for Recruitment nor NTIS internal policy for employee selection explicitly state the requirement for balancing the quantity and quality parameters during the assessment of candidates.	Proposals for improvement: Amend UWB's existing Code of Conduct for Recruitment to include the requirement for comprehensive evaluation of the candidates throughout their professional careers. Modify the NTIS internal policy to the amendment of the Code of Conduct for Recruitment at UWB.

17. Variations in the chronological order of CVs (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Code	The background for comprehensive evaluation of the candidate is their structured professional CV. The interview with the candidate serves to clarify any potential inconsistencies in the candidate's professional career. The evaluation of the candidate is comprehensive and addresses any potential variations in the chronological order in their CV.

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Code	Mobility of academic staff, researchers and doctoral students is generally considered at FAV to be a major component of their career development. Any mobility in the candidate's professional career, especially stays abroad, is considered positive experience.

Status

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	UWB/FAV GAP: Neither the Code of Conduct for Recruitment at UWB nor NTIS internal policy for selection of employees explicitly specify the assessment and evaluation of academic and expert qualifications, especially in terms of international and occupational mobility.	Recognition of higher education abroad is governed by "Rector's Provision 15R/2009". At FAV, the assessment of qualifications in the selection procedure is conducted in the context of the candidate requirements. Informal qualifications from professional mobility are evaluated on an individual basis. Proposals for improvement: Amend the Code of Conduct for Recruitment at UWB, include the requirement to assess and evaluate academic and expert qualifications, especially in terms of international and occupational mobility. Promote the active role of the Personnel Division of UWB in recognition of qualifications (in conformance with Czech legislation and the ENIC-NARIC International Qualification Recognition System). Modify the NTIS internal policy to the amendment of the Code of Conduct for Recruitment at UWB.

20. Seniority (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Code	The candidate's academic degree or qualifications conform to the position requirements. The educational institution where the candidate was awarded their qualifications is not specified or preferred. The committee carries out a comprehensive evaluation of the candidate's professional development and achievements based on the submitted CV.

Status

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	UWB/FAV GAP: Neither UWB's Code of Conduct for Recruitment nor NTIS internal policy contain special provisions for hiring and appointing Postdoctoral Researchers. Postdoctoral Researchers are hired on the level of Junior Researcher.	Proposals for improvement: Amend UWB's Code of Conduct for Recruitment, include specifics for the hiring and appointing of researchers with a Postdoctoral Researcher status. Modify the NTIS internal policy to the amendment of the Code of Conduct for Recruitment at UWB.

Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Internal Compensation Regulations of UWB define the categories of scientists, researchers, and development staff, and their classification into pay bands (in conformance with the qualification background, education, and the responsibilities of the position).

Status

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	UWB/FAV GAP: Researchers are subject to major administrative workloads and cannot fully focus on R&D activities.	At FAV, researchers have at their disposal high-quality research facilities, which ranks among the best in Europe. They are situated in a new building erected with financial support from the European Regional Development Fund (ERDF). The questionnaire survey showed that 91% of FAV respondents considered the working conditions at FAV adequate for their work (responses AGREE and SOMEWHAT AGREE). Proposals for improvement: The objective is to deliver improvement and higher efficiency of administration support by UWB's central bodies to reduce the administration workload of researchers.

24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Care for employees is stipulated in the Collective Contract where basic employee benefits are specified. 90% of FAV respondents stated that the working conditions allow them to achieve work-life balance (responses AGREE and SOMEWHAT AGREE).

Status

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	FAV GAP: The questionnaire survey indicated that most of the employees did not consider a sequence of fixed-term contracts to be a problem. However, some employees perceive the uncertainties of fixed-term contracts negatively (e.g. for obtaining a bank loan).	UWB as a whole holds a large number of fixed-term contracts; this is caused by project financing of R&D. Multiple extensions of fixed-term contracts (as required by a project), are also allowed by the Collective Agreement of UWB in force. All employees, be they under permanent or fixed-term contracts, enjoy equal rights and working conditions. Proposals for improvement: Promote stabilisation of research teams in the NTIS centre which offer fixed-term contracts to the employees.

26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Financial compensation of employees is stipulated in the Internal Wage Regulations of UWB. Apart from the base salary, there exist benefits for long-term performance, singular performance, and anniversary, as mentioned in UWB's Collective Agreement. The exact amounts or scope of the benefit is specified on the systemic level and is guaranteed for the pay grade and bonus (e.g. for executive roles). An exceptional financial benefit is the possibility to receive support from UWB's Motivation System, which is designed to support the achievement of excellent R&D results. A key role in the evaluation of researchers at FAV is held by the executive employees who are in charge of the level of R&D activities in their respective fields.

Status

27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>UWB GAP: From the viewpoint of internal legislation at UWB, gender discrimination is non-existent; internal regulations have been prepared based on the philosophy of equal opportunities. However, the questionnaire survey indicated that some women had experienced gender-based discrimination. Furthermore, UWB does not monitor gender balance (composition of selection committees and representation at various management levels); the infrastructure is not in place for reporting and addressing suspicions of unethical behaviour, including gender issues.</p>	<p>Proposals for improvement: Provide independent assessment of suspicions of breaches of ethical principles and gender balance, provide confidential and informal assistance when addressing these issues.</p>

28. Career development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	<p>UWB GAP: UWB's Career Regulations (in the current form) do not describe potential career development of an employee related to the evaluation of their performance. UWB's Career Regulations only refer to other documents and do not offer supporting information for career development. Career discussions and the possibilities for development are not standard components of employee evaluation.</p>	<p>Proposals for improvement: Complete the new version of UWB's Career Regulations in conformance with the Charter and Code and implement the Regulation in practice (at individual parts of the University). Include career development discussion as a standard component of assessment interviews. Train executive employees in mentoring and in conducting motivation and assessment interviews.</p>

Status

29. Value of mobility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	Mobility of academic staff, researchers, and doctoral students at FAV, including mobility between the private and public sectors, is generally considered a major component of their career development. Inbound and outbound mobility is also financially supported from the projects being investigated.

30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	UWB GAP: UWB does not provide advice for further employment that would also include researchers whose fixed-term contracts are expiring (e.g. upon project conclusion).	Proposals for improvement: Broaden the scope of UWB's Information and Advice Centre.

Status

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	FAV GAP: In the text component of the questionnaire survey, some FAV respondents commented on the inefficient collaboration with UWB's Project Centre. 26% of respondents believe that UWB does not engage in adequate activities for utilisation of R&D results in practice (responses DISAGREE and SOMEWHAT DISAGREE).	UWB operates a Policy on Protection of Intellectual Property and Knowledge Transfer which governs the property rights and copyright on the results of R&D. Financial compensation for the author for exceptional results can also be obtained from UWB's Motivation System. UWB's Project Centre includes the Technology Transfer Department, the primary purpose of which is to record R&D results and their preparation for legal protection, to prepare research papers, and to issue a catalogue with the innovation potential offered by UWB. NTIS employs a Manager for Cooperation with Practice and for Technology Transfer. Proposals for improvement: Improve the process and efficiency of communication between the UWB's Technology Transfer Department and FAV. Create a functional division of competences and roles in technology transfer.

32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	UWB/FAV GAP: In the text component of the questionnaire survey and in the findings of the Focus Group, some FAV respondents commented on the issue of co-authorship. The issue warrants more discussion; subsequently, UWB's Code of Conduct should define specific rules.	Proposals for improvement: Finish the amendment of UWB's Code of Conduct so that, in conformance with the Charter, it includes the topic of co-authorship and its misuse. Provide independent review of complaints/appeals of researchers and offer confidential, informal assistance when addressing such motions (the position of an ombudsman). Implement targeted discussions on co-authorship, especially with doctoral students.

Status

33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>UWB GAP: Neither the Career Code of UWB (in its current version) nor any other document specifies assessment of the teaching activities of researchers. New employees, in particular, are not sufficiently informed on the development of teaching skills offered by UWB, or they do not have enough time for improvement of those skills.</p>	<p>71.4% of FAV respondents stated in the questionnaire survey that, while teaching, they have adequate possibilities (in time, finance, capacity) to also engage in research (responses AGREE and SOMEWHAT AGREE). Proposals for improvement: Finish a new version of the Career Regulations to consider the principles of the Charter in teaching. Complete and more actively advertise education programmes that focus on the development of teaching skills, especially for early-stage researchers.</p>

34. Complains/ appeals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>UWB GAP: 80.4% of FAV respondents stated in the questionnaire survey that they have sufficient opportunities to file complaints about “unfair behaviour” at their workplace (responses AGREE and SOMEWHAT AGREE). The text component of the questionnaire survey, as well as the outcomes of the Focus Group, still suggests that respondents are not clear about who they should safely and effectively discuss their complaints with and that they would welcome an opportunity for informal assistance when addressing work-related conflicts. UWB’s Code of Conduct (in its current version), does not sufficiently govern employee complaints/appeals in terms of independent review and provision of confidential, informal assistance. UWB has not appointed an independent person to review complaints/appeals from researchers.</p>	<p>Proposals for improvement: Finalise amendment of the Code of Conduct of UWB so it fully reflects the specifics of R&D in conformance with the Charter and Code. Provide an independent review of complaints/appeals of researchers and confidential, informal assistance when addressing such motions (the position of an ombudsman).</p>

Status

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	FAV GAP: The limited potential to participate in information, advisory, and decision-making bodies of the Faculty for those who are employed solely as researchers.	In 2017, FAV employed approximately 330 people (HC) of whom 140 were academic employees and 160 were researchers involved in various projects. In conformance with the Higher Education Act, academic employees can vote and be voted into the Academic Senate, and independent governing academic bodies of the University or the Faculty. Persons working solely as researchers do not have such rights stipulated in the legislation. Proposals for improvement: Strengthen the advisory powers of researchers at FAV. Establish a board of researchers and appoint a representative of that board a member of FAV Dean's Board.

Training and Development

36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	The rights and obligations of students on doctoral studies are governed by the Study and Examination Regulations of UWB. Doctoral studies are conducted under expert and organisational oversight by experienced supervisors (doctors and professors). After the end of the academic year, the supervisors prepare evaluation of their PhD students, describing the course of the study, performance of agreed schedule, and their achievements. The evaluation is in the form of a structured document (the student provides responses to questions) which is submitted for review by the Study Field Board of the Faculty.

Status

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	UWB GAP: On the University level, there is no systemic provision for further education of executive employees in their new roles (coordination and management of R&D) and career development advisers.	Experienced researchers at FAV (Senior Researchers), usually act as heads of research teams; they are principal investigators, coordinators of national/international projects, and supervisors for PhD students. The expert and managerial skills of executive employees are key requirements for establishing successful, stable research teams. Proposals for improvement: Train executive employees in leadership, mentoring, and in conducting motivation and assessment interviews.

38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	UWB's Code of Conduct requires employees to further develop their knowledge and skills, including teaching. Special emphasis on continuing education and progress in expert qualifications is imposed on early-stage researchers and doctoral students. Further professional development of FAV employees is also supported by participation in national and international conferences, expert stays, and language courses.

Status

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>The Institute of Lifelong Learning at UWB offers a wide range of training and education. UWB GAP: However, the education in the offer are not regularly reviewed in terms of benefits for improving of the required skills and abilities of UWB employees. This analysis has demonstrated the need for employee training in other areas such as ethics of R&D and publishing (co-authorship), commercialisation of results, the conflict of interests, founding spin-off companies, etc.</p>	<p>Proposals for improvement: The education in the offer should be regularly assessed in terms of accessibility and efficiency (e.g. using employee feedback).</p>

40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	In conformance with the Charter	<p>A researcher's career typically starts with their doctoral studies. FAV considers doctoral studies and their quality to be the priority of its creative activities. Doctoral studies are conducted under expert oversight of a supervisor – a renowned expert in the field (doctor or professor). The supervisor is responsible for their activities to the Field Study Board of the Faculty. There are approximately 180 students in 7 doctoral study fields at FAV, all of which have high-quality research backgrounds.</p>