

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2020CZ572526

Name Organisation under review: Centre of Administration and Operations of the Czech Academy of Sciences

Organisation's contact details: Národní 1009/3, 110 00 Praha 1

Submission date: 27/10/2021

Date endorsement Charter and Code: 30/10/2020

GAP analysis

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.

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

In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation.

If relevant, list any national/regional legislation or organisational regulation currently impeding implementation

Initiatives undertaken and/or suggestions for improvement:

ETHICAL AND PROFESSIONAL ASPECTS

1. Research freedom

+/-

The CAO is in line with the relevant provisions of the Charter and Code and no direct action is currently needed on the part of the CAO.

Internal regulation:

Code of Ethics for Researchers at the Czech Academy of Sciences:

[Code of Ethics for Researchers of the Czech Academy of Sciences - Akademie věd České republiky](https://www.avcr.cz/ethics) (avcr.cz)

CAO Director's Decree 4/2018: CAO Compliance Management System, also providing for the legal and ethical principles to be applied within the CAO.

Current practice:

The Code of Ethics is built on principles which the CAO upholds. This code will be fully implemented when the number of research staff increases.

2. Ethical principles

+/-

The CAO is in line with the relevant provisions of the Charter and Code and no direct action is currently needed on the part of the CAO.

Internal regulation:

Code of Ethics for Researchers at the Czech Academy of Sciences:

[Code of Ethics for Researchers of the Czech Academy of Sciences - Akademie věd České republiky \(avcr.cz\)](https://www.avcr.cz/codex)

CAO Director's Decree 4/2018: CAO Compliance Management System providing for the legal and ethical principles applied within the CAO.

Current practice:

The Code of Ethics is built on principles which the CAO upholds. This code will be fully implemented when the number of research staff increases. The CAO has appointed a GDPR Commissioner and has implemented GDPR standards in its internal regulations.

3. Professional responsibility

+/-

GAP 3

The CAO's current Code of Ethics is not fully in line with the Charter. In the near future it will be necessary to supplement the existing Code of Ethics with the provisions proposed in the Recommendations for Handling Intellectual Property.

In the CAO context, where research is in its initial stages, emphasis should also be placed on the study of the available specialist literature, including patent literature where relevant.

Internal regulation:

Code of Ethics for Researchers at the Czech Academy of Sciences:

[Code of Ethics for Researchers of the Czech Academy of Sciences - Akademie věd České republiky \(avcr.cz\)](https://www.avcr.cz/codex)

Professional responsibility is part of this Code of Ethics for Researchers.

CAO Director's Decree 10/2018: Protection, registration and enforcement of intellectual property rights in the CAO.

Current practice:

The Technology Transfer Office (TTO) of the CAS is part of the CAO and provides support in the field of knowledge and technology transfer for the CAS and its institutes, including the CAO. It provides comprehensive support for specific transfer projects and also consultancy services for transfer

projects managed independently by transfer specialists at other CAS institutes. This consultancy primarily relates to intellectual property law.

Researchers who have any doubts about their professional responsibility can contact the TTO for specialist support.

In 2017 the TTO published Recommendations for Managing Intellectual Property, setting out principles for researchers' professional responsibility, including in relation to intellectual property protection and commercialization.

[TTO_recommendations_IntellectualProperty.pdf \(avcr.cz\)](#)

Proposals:

- Add the principles proposed in the TTO's Recommendations for Managing Intellectual Property into the Code of Ethics.
- Organize training for research staff on relevant literature, including patent literature.

4. Professional attitude +/-

In the current situation and given the specific nature of the CAO, this point is only partially relevant to us.

If the number of research staff at the CAO increases, we will work further on this point and update the internal regulations accordingly.

The Staff Satisfaction Survey showed that 60% of employees

Legislation:

Act no. 130/2002 Coll., on the Support of Research and Development from Public Funds

Act no. 218/2000 Coll., on Budget Rules and Amendments

Act no. 23/2017 Coll., on Budgetary Responsibility Rules

Internal regulation:

Director's Decree 8/2015: Rules for the approval and financing of projects in the CAO

Salary Regulations IV/2021 Article XVI Project pay

	<p>are well-informed by management of the decisions and objectives pertaining to their work.</p> <p>More than 60% of employees are aware of how their objectives relate to the overall strategy and objectives of the CAO (30% answered 'mostly yes').</p>	<p><u>Current practice:</u></p> <p>A proposal has been drawn up for an internal regulation regarding the reporting of overhead/indirect project costs using the "flat rate" method.</p>
<p>5. Contractual and legal obligations -/+</p>	<p>GAP 5</p> <p>If the number of research staff at the CAO increases, we will work further on this point and all staff will be informed about the relevant internal regulations (Working Regulations, Organisational Regulations, Salary Regulations).</p> <p>We will need to introduce a new process into the practice of research projects through which researchers will be kept informed at all levels, in particular as far as the contractual obligations associated with the project are concerned. A methodology for handling information in the context of research projects (NDAs, MTAs, licensing arrangements, etc.)</p>	<p><u>Legislation:</u></p> <p>Act no. 121/2000 Coll., on Copyright and Related Rights, which among other things deals with authorial obligations and conditions.</p> <p>Act no. 89/2012 Coll., the Civil Code</p> <p>Act no. 527/1990 Coll., on Inventions, Industrial Designs and Rationalization Proposals</p> <p>Act no. 441/2003 Coll., on Trade Marks</p> <p>Government Decree no, 397/2009 Coll., on an information system for research, experimental development and innovation.</p> <p>Act no. 130/2002 Coll., on the Support of Research and Development from Public Funds, which also deals with rights to the outcomes of such research and their uses.</p> <p>Act no. 111/1998 Coll., on Higher Education Institutions, which deals among other things with contractual relationships with students (students' work).</p> <p>Act no. 283/1992 Coll., on the Academy of Sciences of the Czech Republic.</p>

should be added into the internal regulations.

Internal regulation:

Director's Decree 10/2018: Protection, registration and enforcement of intellectual property rights in the CAO.

Working Regulations III/ Ř/2021

Current practice:

The Technology Transfer Office (TTO) of the CAS is part of the CAO and provides support in the field of knowledge and technology transfer for the CAS and its institutes, including the CAO. It provides comprehensive support for specific transfer projects and also consultancy services for transfer projects managed independently by transfer specialists at other CAS institutes. This consultancy primarily relates to intellectual property law.

Proposals:

Within the CAO, implement a process by which all research projects are consulted with an authorized body (e.g. the TTO) in particular to ensure correct management of intellectual property and awareness of contractual obligations in carrying out research projects.

6. Accountability

+

The CAO is subject to financial review in the form of internal and external audits. It is the duty of principal investigators to fully cooperate with these reviews and/or audits. Consultations on financial management are provided by the Financial Support Unit. Another regulatory framework are the guidelines of the grant provider along with the contract on the

Legislation:

Act no. 563/1991 Coll., on Accounting

Act no. 320/2001 Coll., on Financial Control in Public Administration

Act no. 262/2006 Coll., the Labour Code

Internal regulation:

Working Regulations III/ Ř/2021

Director's Decree 4/2018: CAO Compliance Management System

basis of which the grant is awarded.

No direct action is currently needed on the part of the CAO; nevertheless, there is always room for improvement.

Director's Decree 6/2015: Supplement to the System for Processing Accounts and Accounting Evidence

Director's Decree 8/2015: Rules for the Approval and Financing of Projects in the CAO

Director's Decree 6/2021: CAO Finance Board (RADEK)

Director's Decree 12/2021: Financial Reports and Interim Accounts Audit

Director's Decree 11/2020: Rules for Audit and Risk Management

Director's Decree 15/2019: Rules for Approving, Registering and Publishing Contracts

Director's Decree 12/2019: Public Procurement at the CAO.

Current practice:

The responsibility of all employees in relation to their employer is regulated by the Labour Code. Director's Decree 8/2015 regulates the rules for the preparation and implementation of projects at the CAO, including how the use of public funds is monitored during the project proposal phase, during project implementation and during the final accounting procedures, as well as rules for project evaluation and archiving project documents.

The CAO director is advised by the Finance Board (RADEK). Members of RADEK have access to full information about the CAO's finances, via its financial information system. Members of RADEK take on responsibility in this role for: the economy, efficiency and effectiveness of the use of funds; drawing up, amending and auditing budget spending; monitoring cash-flow; supervising the system for the creation and approval of documents and contracts; supervising compliance with legislation where departmental finances are concerned; overseeing specific financial standards for the departments; informing the departments about significant facts concerning the finances of the CAO; providing the necessary information for the

CAO's accounts auditing and annual reports. Members contribute to solving any financial problems at the CAO as instructed by the Director of the CAO.

Director's Decree 11/2020 establishes the framework for internal audit, carried out by the Audit and Risk Manager, whose responsibility it is to provide the Director of the CAO with information about whether the organisation's performance is lawful, economical, efficient and effective, including information, analyses, evaluations and recommendations concerning and related to the audited activities.

Director's Decree 12/2021 secures the CAO's internal audit and the integrity of its accounts. The purpose of the annual financial report is to provide information about the CAO's financial situation: its financial performance and any changes in its financial position. The CAO publishes this annual financial report.

The purpose of the regulation on Public Procurement in the CAO is to apply the system of competition when awarding public contracts and the market mechanism in the use of public funds such that they are used in an economic, efficient and effective manner, in compliance with the legislation on public procurement. This Director's Decree establishes the rules by which contracts are tendered and the basic principles that must be upheld when dealing with public contracts and associated relations. It sets out a binding procedure for public procurement at the CAO leading to the signature of a contract.

Director's Decree 15/2019 then provides for a uniform procedure for the approval of contracts in which the CAO is one of the contractual parties. This procedure, from the drafting of the contract or order and its subsequent approval through to the registration and publication of the contract in the Ministry of the Interior's Register of Contracts, in accordance with the applicable legislation, and including provision for exemptions, guarantees better control over and transparency in the use of public funds.

Recommendations for Managing Intellectual Property, issued by the TTO in 2017, recommends a "responsible research" approach to researchers, including ALL employees of the CAO. The TTO mentions this approach in all its training lectures for researchers and CAO staff.

**7. Good practice in re- +/-
search**

In the current situation and given the specific nature of the CAO, this point is only partially relevant to us.

GAP 7

We currently lack a manual for employees (research staff) informing them of the basic provisions of the Collective Agreement (including OHS) and an English version of that manual.

As of 2023, Occupational Health and Safety training is conducted electronically.

We lack training on the protection of confidential information when carrying out research projects (NDAs, MTAs – see also point 5: Contractual and Legal Obligations) and on upholding rules for working with trade secrets (whether in the possession of the CAO or the contractual partner).

Legislation:

EU Regulation 2016/679, on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC (Data Protection Directive)

Act no. 262/2006 Coll., The Labour Code

Act no. 412/2005 Coll., on the Protection of Classified Information

Act no. 89/2012 Coll., The Civil Code, § 504. Trade Secrets

Internal regulation:

Director's Decree 3/2018: Rules for Processing and Protecting Personal Data

Collective Agreement between the CAO and its Employees (Article 17 on Occupational Health and Safety).

1/2015/S: Organization and Management of Health and Safety at Work

Fire regulations in place at every workplace.

Current practice:

Personal data protection is fully in line with GDPR as specified by the European Parliament and Council.

The occupational health and safety system is described in detail in the Collective Agreement and fully reflects all requirements set by the Labour Code.

The CAO provides all employees with training on the legal and other regulations governing health and safety at work, which supplement their qualifications and requirements relevant to their work and workplace, and regularly verifies their knowledge of these regulations and ensures compliance with them. Employees are required to comply with the legal and other regulations and instructions that provide for health and safety in the workplace, of which they have been fully informed, and to abide by the principles of safe conduct at work and in accordance with the information provided to them by the CAO. The system in place to raise employees' awareness in occupational health and safety includes regular (re)training sessions at which we verify employees' knowledge. The frequency of these OHS training sessions is established as follows, taking into account the rate of workplace accidents to date and the risks associated with the work carried out at the CAO: a) for employees in managerial positions 1x every three years, b) for administrative and operational staff 1x every three years.

OHS and GDPR are covered in the CAO's internal regulation. The CAO has appointed a GDPR Commissioner and has applied GDPR standards in its internal regulation.

Proposals:

Create a manual for employees (research staff) informing them of the basic provisions of the Collective Agreement (including OHS) and an English version of that manual.

Prepare a pilot project for online Health and Safety training.

Introduce a new process by which research projects will be consulted with an authorized body (e.g. the TTO) in particular to ensure correct management of intellectual property and awareness of contractual obligations in carrying out research projects.

		<p>Draw up methodological instructions for work with confidential information and trade secrets, including contractual obligations protecting intellectual property. Ensure high quality training in these methods for the relevant research staff.</p>
<p>8. Dissemination, exploitation of results -/+</p>	<p>The CAO is fully in line with the given provisions of the Charter and Code and no direct action is needed at present.</p> <p>GAP 8</p> <p>However, we continue to monitor the situation and there is room for improvement by translating the Annual Report into English and by supplementing the CAO's Deed of Establishment, in which the role of the CAO in disseminating the outcomes of research in the form of publications, education and knowledge and technology transfer could be more substantially emphasised.</p> <p>At present, responsibility for the dissemination and use of research outcomes is placed on our contractual research partners. The CAO does not at present have a strategy in place for disseminating research outcomes (and other</p>	<p><u>Internal regulation:</u></p> <p>Deed of Establishment of the CAO</p> <p><u>Current practice:</u></p> <p>The Annual Report published each year informs the public, among other things, of achievements in the field of technology transfer and in the dissemination and implementation of findings.</p> <p>A technology transfer portal exists, which is managed by the TTO and contains information about the use of findings and a database of research outcomes with the potential for practical application.</p> <p>The TTO furthermore actively assists with the use of research findings by leading cases of commercialization, disseminating information and research findings via the Portal, social media (Facebook, Instagram, Twitter, LinkedIn), and educating staff from the CAS institutes in these matters, as well as helping to draw up offer sheets for technologies, equipment and laboratories.</p> <p><u>Proposals for improvement:</u></p> <p>Translate the Annual Report into English.</p> <p>Supplement the Deed of Establishment of the CAO, with additional emphasis on the CAO's role in disseminating the outcomes of research in the form of publications, education and knowledge and technology transfer.</p>

	academic work) or making use of them in other practical forms, apart from popularisation.	Establish rules for the dissemination of our own research outcomes (not just those of other institutes) - a "licencing strategy" and ensuring balanced contractual conditions for research collaborations.
9. Public engagement +/-	<p>The CAO is fully in line with the given provisions of the Charter and Code and no direct action is needed at present.</p> <p>GAP 9</p> <p>However, we continue to monitor the situation and there is room for improvement by translating the Annual Report into English.</p>	<p><u>Legislation:</u></p> <p>Act no. 130/2002 Coll., on the Support of Research and Development from Public Funds</p> <p>The CAO organizes popularization events for the general public through its Division of External Relations. It runs the largest science popularization event in the Czech Republic, as well as many other talks, exhibitions and smaller events. It provides marketing and production services to the CAS's other institutes to assist with the organization of their own popularization events. It organizes official events for the CAS as a whole and provides a platform for support and communication between science popularizers. It runs the largest science festival in the Czech Republic, with a programme that includes talks, exhibitions, open days, documentary film screenings, workshops, science cafés and other activities in all fields of science and across the whole country. This festival is attended by tens of thousands of visitors every year. The CAO also organizes the largest popular science event in the Czech Republic, the CAS Science Fair, at which the CAS's institutes present their work. It oversees Brain Week – a series of lectures about the latest findings in brain research and neuroscience, which is part of Brain Awareness Week, a worldwide campaign to raise awareness of the successes and benefits of brain research. It coordinates the Open Science project, which focuses on raising interest in science and research among young people. It provides talented students with the opportunity to take up internships at the CAS's institutes, and teaches schoolteachers about experiments in botany, chemistry and physics, which they can use during their lessons. It runs talks, excursions, exhibitions and other events for the</p>

public, and teaches both researchers and science popularization staff how to communicate with the media.

The CAO owns and manages the Academia publishing house, which holds a respected place on the Czech publishing scene and boasts one of the largest portfolios of titles in the country. It publishes around a hundred new titles every year, in addition to reprints of previous publications. Its publications include scientific monographs, works by Czech researchers, as well as scientific classics, translated works, popular science books, encyclopedias and dictionaries.

The Annual Report informs the public about results in the area of knowledge and technology transfer and dissemination and use of findings, among other things.

Proposal for improvement:

Translate the Annual Report into English.

10. Non discrimination

+/-

The results of our annual survey of employee satisfaction show that our employees rarely experience some form of discrimination or hostile behaviour. Every such incident is given due attention.

In relevant positions, technical equipment for remote collaboration is fully available and access to the CAS research networks is provided.

GAP 10

Legislation:

Constitutional Act no. 23/1991 Coll., Charter of Fundamental Rights and Freedoms

Act no. 262/2006 Coll., The Labour Code

Act no. 198/2009 Coll., The Anti-discrimination Act

Act no. 435/2004 Coll., The Employment Act

Internal regulation:

Working Regulation III/Ř/2021

Given the specific nature of the CAO and its work, there are very few employees from other countries. As a result, core internal regulation documents are not currently available in English. These employees also often find it difficult to participate in Czech communication and many of their colleagues refuse to communicate in English.

Current practice:

There is an established practice of "Compliance Management" within the CAO; a letter box is available to employees where confidential information about breaches of the organization's Ethical Code can be submitted.

A bilingual working environment is facilitated by the provision of language courses that are free of charge for CAO employees.

Access to continuing education is available to all employees without distinction.

Employees are paid in accordance with the Salary regulation.

The system of employee benefits is entirely transparent.

Vacancies are filled based on open competitions.

Proposals:

Create and publish an English translation of core CAO internal regulation documents.

Develop a Code of Ethics for the CAO.

Make relevant positions accessible to international applicants, in particular roles in External Relations and the TTO.

11. Evaluation/ appraisal systems

-/+

GAP 11

The appraisal system is not available in electronic form and represents a significant administrative burden for evaluators.

Internal regulation:

Director's Decree

Current practice:

Staff appraisal takes place once a year and is regulated by a Director's Decree. Employees initially carry out a self-assessment compiled by their line manager. This is followed by an individual interview with the line manager. An evaluation is made as to whether targets set in the previous year have

The outcomes of the evaluation process are not used as they should be.

There is no 360° evaluation that would in particular provide feedback on the performance of managers and other key staff.

As part of the CAS, the CAO is frequently evaluated by a panel of evaluators (this panel is not international) in line with the procedures of evaluation for other research institutes within the CAS; to date, however, the focus of the evaluation for the CAO has been infrastructure provision and not research activity.

been fulfilled, and new targets are set for the following period. The employee's performance, behaviour at work, motivation, conformity with the organization's values, and so on are also appraised. The evaluation outcomes include a plan for the employee's further development and training.

This appraisal process is organized vertically, from the directors through managerial levels to individual employees. Most often line managers assess their immediate subordinates.

At present, pay is only linked to evaluations for key staff (targeted bonuses).

Proposals:

Digitalize the evaluation process, e.g. via an application within the human resources system.

Improve how the outcomes of the appraisal are used, e.g. within strategic workshops at various levels of management.

Introduce 360° feedback for managers and key staff.

Prepare for an assessment of the CAO's research activities in line with standard procedures in the Social Sciences and Humanities (the CAS's 3rd Academic Area, within which the CAO's research work belongs).

RECRUITMENT AND SELECTION

12. Recruitment +/-

GAP 12

No OTM-R document is available to employees via the Intranet.

There is no uniform Code of Conduct for the recruitment of new employees: criteria are defined

Legislation:

Act no. 262/2006 Coll., The Labour Code

Act no. 110/2019 Coll., on Personal Data Processing

		<p>ad-hoc for each position. The organisation's "Employer branding" needs to be strengthened.</p>	<p><u>Current practice:</u></p> <p>The CAO applies the principles set out in the Code of Conduct for the Recruitment of Researchers to all positions within the organisation as far as possible.</p> <p>We employ people with disabilities and foreign nationals.</p> <p>We recruit employees at the beginning of their careers as well as older employees (we monitor the age structure).</p> <p>We are successful in maintaining gender diversity, which we monitor both in relation to our managerial staff and throughout the organisation (see point 27).</p> <p>We use a variety of advertising portals to post vacancies, depending on the type of job (see point 13).</p> <p><u>Proposals:</u></p> <p>Draw up an OTM-R document.</p> <p>Establish a Recruitment Code of Conduct .</p>
<p>13. Recruitment (Code)</p>	<p>+/-</p>	<p>See point 12.</p> <p>GAP 13</p> <p>The CAO does not have any defined rules governing the electronic advertisement of job vacancies, deadlines, and the staff members responsible for their electronic publication. Positions are advertised without a specific</p>	<p><u>Legislation:</u></p> <p>Act no. 262/2006 Coll., The Labour Code</p> <p><u>Current practice:</u></p> <p>We advertise job vacancies on the CAO website, on job portals, in LinkedIn, and sometimes on other social media. We also attend job fairs.</p> <p>In vacancy adverts we include information about our organization, a description of the vacant position, the qualifications and experience required, the start date, the type of contract, who the position is suited to, the ben-</p>

description of the associated career development. Existing staff are relatively unaware of newly advertised positions.

Advertisements have a formal structure and in terms of attractiveness they do not reflect current trends in the recruitment of research and creative staff.

efits we provide to employees, and the deadline for submission of candidates' CVs. In specific cases we contact secondary schools and universities directly by e-mail or write to suitable candidates via LinkedIn.

Proposals:

Establish a set of rules for advertising job vacancies.

Improve general awareness of open vacancies.

Use a marketing approach to relevant positions, adapting the text and making the description of the position more attractive, without needing to use formal structural terminology.

14. Selection (Code) +/-

GAP 14

There is a lack of methodology for recruitment to various positions and of any methodology for members of selection panels (what questions should or should not be asked, length of interviews, etc). If the number of research staff at the CAO increases, we will need to take the career regulations of the CAS into account and incorporate them into our practice.

Legislation:

Act no. 262/2006 Coll., The Labour Code

Current practice:

We support gender diversity, we do not discriminate against foreigners, we do not discriminate between applicants on the basis of their age.

Selection procedures take place as follows:

A selection panel formed of: an HR specialist, and at least two representatives of the department (direct line manager + colleague).

1st round: interview

2nd round: case studies, tests, practical tests (dependent on the position to be filled).

3rd round: in-person interview (dependent on position) or Assessment Centre testing for managerial and key positions.

		<p>Prior to interviewing the members of the selection panel are provided with brief training (e.g. guidance about unethical questions).</p> <p>After the selection procedure has finished we collect feedback from applicants. We monitor the length of the procedure (total length, speed of our response, etc.).</p> <p>We make use of references.</p> <p><u>Proposals:</u></p> <p>To improve the efficiency of selection procedures, create a methodology and, where possible, carry out the 1st round of the selection procedure online.</p> <p>Prepare an E-learning module for members of selection panels.</p> <p>Collect feedback from all applicants after the 1st round.</p>
<p>15. Transparency (Code)</p>	<p>+/-</p> <p>GAP 15</p> <p>Detailed feedback at the end of the selection procedure is not provided to all unsuccessful applicants automatically, but only on request.</p> <p>We do not request feedback from applicants after the first round.</p> <p>We use only one template for rejection decisions, which does not contain reasons for the rejection.</p>	<p><u>Current practice:</u></p> <p>Job vacancy advertisements include information about the number of vacancies.</p> <p>The selection criteria reflect the required qualifications.</p> <p>During the 1st round we inform applicants about the next stage of the selection procedure, dates, etc.</p> <p>We provide feedback to applicants – we inform them when the selection procedure has ended, and about its outcome. We provide detailed feedback on request.</p> <p>We inform applicants about the opportunities for further career development (when relevant).</p> <p><u>Proposals:</u></p> <p>Implement a procedure for providing applicants with feedback.</p>

			<p>Improve the process of collecting feedback from applicants.</p> <p>Improve the formal templates used inform unsuccessful applicants.</p>
16. Judging merit (Code)	+/-	<p>In the current situation and given the specific nature of the CAO, this point is only partially relevant to us.</p> <p>We are aware that if the number of research staff at the CAO increases, it will be necessary to add qualitative criteria to the description of the selection procedure in internal documents to ensure a comprehensive evaluation of applicants.</p>	<p><u>Current practice:</u></p> <p>We appraise previous experience in similar positions.</p> <p>We use references from previous employers.</p> <p>We request submission of a portfolio of work for certain positions (graphic designer, photographer, researcher, etc). The current selection process relies on the personal experience of the selection panel members rather than a formalised protocol. The objective assessment of qualitative criteria is relatively complicated and there is at present no standard procedure for reviewing these aspects.</p> <p>At present no further specific measures are needed. However, as part of formulating the OTM-R policy, an OTM-R document will be drawn up (see point 12).</p>
17. Variations in the chronological order of CVs (Code)	++	<p>This principle is fully implemented.</p> <p>GAP 17</p> <p>This principle is not, however, written into our internal regulations; we rely on the experience of our selection panel members.</p>	<p><u>Current practice:</u></p> <p>Changes in the chronological order of CVs and career breaks are already properly allowed for.</p> <p>We ask about the course of the applicant's career. Career breaks are not a reason for discrimination or rejection from the selection procedure.</p> <p><u>Proposals:</u></p> <p>Update our internal regulations.</p>

18. Recognition of mobility experience (Code)

+/-

In the current situation and given the specific nature of the CAO, this point is only partially relevant to us.

If the number of research staff at the CAO increases, recognising mobility as a valuable contribution to a candidate's professional development and its importance will be given due consideration when selecting the most suitable candidate.

Current practice:

We recognise any specialist experience gained abroad and consider this in a positive light.

We also welcome mobility within the country, across disciplines and between institutes.

19. Recognition of qualifications (Code)

+/-

At the CAO, we are only just in the process of forming research groups and their structure. The responsibilities and competences for the categories of research staff are yet to be defined. The concept, definition, and importance of informal qualifications in the selection process is currently not defined at the CAO and the selection panel members have not yet been familiarised with the area of recognising informal qualifications in the selection process.

Current practice:

The level of expertise is assessed by examining all the documents required for the selection process as a whole and the materials submitted by each candidate in support of their application.

We regard any relevant studies abroad as positive and fully recognise experience gained abroad.

No specific direct measures are needed at present.

20. Seniority (Code)	++	Fully implemented.	<p><u>Current practice:</u></p> <p>The level of qualification required is always fully commensurate with the requirements of the job. We do not discriminate on the basis of the reputation of the institution where the employee achieved their previous results or gained the required length of experience.</p> <p>No specific direct measures are required.</p>
21. Postdoctoral appointments (Code)	+/-	<p>Given the current situation and specific nature of the CAO, post-doctoral positions are not systematically categorised.</p> <p>If the number of research staff at the CAO increases, we will work further on this point and research staff positions will be systematically categorised.</p>	<p>No specific direct measures are needed at present.</p>
WORKING CONDITIONS AND SOCIAL SECURITY			
22. Recognition of the profession	+/-	<p>In the current situation and given the specific nature of the CAO, this point is not relevant to us. If the number of research staff at the CAO increases, we will work further on this point to add detailed definitions to the internal documents regarding who is a re-</p>	<p>See point 21.</p> <p>No specific direct measures are needed at present.</p>

		<p>searcher, qualification requirements, and the characteristics of the work performed.</p>	
<p>23. Research environment</p>	<p>+/-</p>	<p>In the current situation and given the specific nature of the CAO, this point is only partially relevant to us.</p> <p>If the number of research staff at the CAO increases, we will work further on this point by, e.g., adding a relevant space for comments to the annual Staff Satisfaction Survey.</p> <p>GAP 23</p> <p>The internal regulatory documents relating to Health and Safety are only available in Czech.</p>	<p><u>Legislation:</u></p> <p>Act no. 258/2000 Coll., on the Protection of Public Health</p> <p>Government Regulation no. 101/2005, on Detailed Requirements for the Workplace and the Working Environment</p> <p>Act no. 262/2006 Coll., The Labour Code</p> <p>Act no. 309/2006 Coll., Stipulating Further Requirements for Health and Safety at Work</p> <p><u>Current practice:</u></p> <p>All research staff are provided with the necessary technical equipment to enable remote collaboration and have access to information resources according to CAS standards. The institution has an established personal development programme for staff and provides continuing education and training based on their individual needs.</p> <p><u>Proposals:</u></p> <p>Translate relevant internal regulation documents about Health and Safety into English.</p>
<p>24. Working conditions</p>	<p>+/-</p>	<p>GAP24</p> <p>We lack a formal model of flexible working for each of the organiza-</p>	<p><u>Legislation:</u></p> <p>Act no. 262/2006 Coll., The Labour Code</p> <p>Resolution no. 2/1993 Coll., incorporating the Charter of Fundamental Rights and Freedoms</p> <p>Act no. 198/2009 Coll., The Anti-discrimination Act</p>

tion's departments, capable of reacting to the current epidemiological situation.

The capacity of our childcare facilities, which enable parents to return to work sooner, is limited.

Our internal communication platform (Intranet) is considered by some employees to be poorly organised and does not include interactive elements such as a "chat" function.

Certain legal and regulatory documents are not yet available in digital form.

Act no. 435/2004 Coll., The Employment Act

Act no. 247/2014 Coll., on the Provision of Childcare Services in Children's Groups

Internal regulation specifies: working hours, evidence of working time/attendance, working regulations, OHS.

Collective Agreement (provisions beyond those given in law).

Current practice:

The CAO offers its employees flexible working hours, part-time contracts, job-share arrangements, and unpaid leave following parental leave. It regularly monitors the quality of the working environment together with an occupational healthcare provider. The CAO runs its own pre-school day-care facility to support working parents, provides options for working from home, offers continuing education and training and provides barrier-free access to its premises.

The CAO accepts less-qualified candidates, to whom it provides re-qualification courses.

We employ differently abled people both directly and via our contractual suppliers.

Every year we carry out a Satisfaction Survey across the whole organization. Every comment about the working environment is given individual attention.

Every year we carry out an Employee Appraisal - employees' satisfaction with the working environment and suggestions for its improvement are discussed during this appraisal.

We organize meet-ups for parents on maternity leave and put great care into ensuring that they are informed and prepared for their return to work.

			<p>We provide parents on maternity leave with access to continuing education and training courses.</p> <p>All employees undergo regular training in occupational safety.</p> <p>Employees can plan their own shifts using the attendance record system (work from home, holidays) and these are approved electronically.</p> <p>Part of the labour law agenda is recorded and approved electronically.</p> <p><u>Proposals for improvement:</u></p> <p>Formalize conditions for hybrid working – working from home.</p> <p>Create a more user-friendly Intranet.</p> <p>Digitalize all labour law related tasks.</p> <p>Provide occupational safety training in the form of e-learning.</p>
<p>25. Stability and permanence of employment</p>	<p>++</p>	<p>Fully implemented.</p> <p>GAP 25</p> <p>Given the fact that research activities are almost exclusively carried out as part of projects, there is a problem throughout the Czech Republic with the serial use of fixed-term contracts covering the period of project implementation.</p>	<p><u>Legislation:</u></p> <p>Act no. 262/2006 Coll., The Labour Code</p> <p>Directive 1999/70/EC</p> <p><u>Current practice:</u></p> <p>Employees' first contracts are, in line with the legislation, concluded on a fixed-term basis and thereafter made permanent for most positions. Where the position is for a specific project, the contract is concluded for the duration of that project.</p> <p><u>Proposals:</u></p> <p>The CAO should consider securing non-project-based funding for positions in which there is substantial potential for research activity.</p>

26. Funding and salaries +/-

GAP 26

The system of bonuses in the form of benefits is not sufficiently transparent and there is insufficient awareness of it among employees.

Legislation:

Act no. 262/2006 Coll., The Labour Code

Government regulation no. 567/2006 Coll., on the Minimum Wage, Lowest Guaranteed Wage, Hazardous work Environments and Salary Supplements for Work in Hazardous Work Environments.

Act no.589/1992 Coll., on Contributions to Social Security and State Employment Policy.

Act no. 48/1997 Coll., on Public Health Insurance

Act no. 187/2006 Coll., on Sickness Insurance

Act no. 435/2004 Coll., on Employment

Act no. 218/2000 Coll., on Budget Rules

Internal regulation:

Salary Regulations (regularly updated)

Collective Agreement (updated once a year)

CAS Qualification Rules

Current Practice:

We take part in salary surveys and benchmarking with businesses in similar fields, and reflect the results in our pay expenditures plan, which is discussed and established each year. We provide a contribution towards pension insurance/life insurance.

We provide contributions towards childrens' activities.

Sick pay is paid out in accordance with the national regulations.

			<p>We provide contributions towards meals and other benefits from the social fund.</p> <p><u>Proposals for improvement:</u></p> <p>Establish a “Cafeteria” system to make benefits more attractive (an e-shop style self-service benefit system).</p> <p>Make the benefits system more transparent as part of the new Intranet.</p> <p>Prepare to implement the CAS’s Career Regulations within the CAO.</p>
27. Gender balance	++	<p>Fully implemented.</p> <p>The Human Resources Office conducts gender analysis – within the framework of the Gender Equality Plan. In general, there are more women than men working at the CAO, with a balanced representation of women and men in middle and lower management, and only more men than women in top management.</p>	<p><u>Legislation:</u></p> <p>Act no. 262/2006 Coll., the Labour Code</p> <p>Constitutional Act no. 1/1993 Coll., the Constitution of the Czech Republic</p> <p>Act no. 198/2009 Coll., the Anti-discrimination Act</p> <p><u>Internal regulation:</u></p> <p>Code of Ethics (see above)</p> <p><u>Current practice:</u></p> <p>Percentages of male and female staff in management:</p> <p>TOP management: 33% women, 67 % men</p> <p>Middle management: 52% women, 48% men</p> <p>Lower management: 39% women, 61% men</p> <p>Key staff: 50% women, 50% men</p> <p>All employees: 60%women, 40% men</p> <p>Pay conditions are equal.</p>

		<p>We support women's employment by providing pre-school childcare facilities. The Ethics Committee is responsible for ensuring non-corrupt and non-discriminatory behaviour within the CAO (compliance management) - see above.</p>
<p>28. Career development +/-</p>	<p>The "Learning Society" for employees does not offer a sufficiently broad and attractive range of courses.</p> <p>The CAO knows how to work with "raising qualifications", but does not yet have standard procedures established for "deepening qualifications", which is relevant to research staff.</p> <p>GAP28</p> <p>There are no competency models for positions at the CAO, only job descriptions.</p> <p>Research staff should have regular opportunities to attend international conferences and workshops in their field of research.</p> <p>At the CAO, we are only just in the process of forming research groups and their structure; support for the career development</p>	<p><u>Legislation:</u></p> <p>Act no. 262/2006 Coll., the Labour Code</p> <p><u>Current practice:</u></p> <p>An educational plan is drawn up for every employee, following the Appraisal procedure or "Development Centre".</p> <p>The organization has an established "learning community" - employees teach one another within the organization.</p> <p>Employees can take language courses free of charge within their working hours.</p> <p>Qualification agreements are concluded with employees. For researchers, the future will be more about 'deepening qualifications'.</p> <p>Hard and soft skills courses are organized.</p> <p>Employees are informed about available courses via the Intranet, through e-mail invitations and via newsletters.</p> <p>Requalification courses are organized to enable upskilling.</p> <p>We support MBA studies for our managerial staff and other courses of study for all employees.</p> <p>We employ students.</p> <p>All training and education options are specified in the Collective Agreement.</p> <p>All research staff have access to specialist literature.</p>

of research staff will be considered at a later date.

Research staff are/can be involved in teaching on courses for university students that are organized within the CAS.

The TTO offers a broad range of educational courses in the area of technology transfer and related matters (intellectual property law, collaboration in research, marketing/PR for research results, open access, licencing, spin-offs, etc.). In addition to these courses, the TTO also offers consultancy services in technology transfer, including the use of coaching methods, and provides services through the CAS's TZT portal, at [For scientists - CAS Transfer portal](#). In addition to the services offered, research staff have the opportunity to make use of individual coaching in professional development or in preparing research grant proposals.

Proposals:

Create "Competency models" for better targeting of continuing education and to analyze training needs.

Make greater use of internal lecturers, develop the Learning Organization.

Take into account research staff's needs for professional growth which may not affect their formal qualification level – support their participation in international specialist conferences and workshops, support publication activities and their participation in teaching, to the extent that is standard in research environments.

29. Value of mobility ++

Fully implemented.

Legislation:

Act no. 586/1992 Coll., on Income Taxation

Act no. 589/1992 Coll., on Social Security Contributions

International double taxation is regulated by double taxation treaties. [An overview of valid treaties on the avoidance of double taxation in income and property tax](#) for the Czech Republic

			<p><u>Current practice:</u></p> <p>We fully support and recognize international and interdisciplinary mobility, including mobility within our organization.</p>
<p>30. Access to career advice</p>	<p>++</p>	<p>Fully implemented</p>	<p><u>Current practice:</u></p> <p>We participate in legislative training and consult with external advisors. We use various forms of coaching and mentoring.</p> <p>We share the experience and know-how gained within the organization through the “Learning Society”, a project that makes use of the employees’ unique knowledge and effects its transfer.</p> <p>Employees have open access to training, especially in soft skills, IT skills, and language skills.</p> <p>In-house expertise is available in the areas of knowledge and technology transfer, intellectual property protection, contractual relations, business plans, and marketing. The TTO offers both group and individual consultations on specific situations and in the context of personal growth and career development, not only for research staff.</p>
<p>31. Intellectual Property Rights</p>	<p>++</p>	<p>Intellectual Property Rights (IPR) issues are implemented fully in line with the legislation.</p> <p>GAP 31</p> <p>The CAO is only just in the process of forming research groups and their structure, and it will be necessary to properly address intellectual property rights in future contracts for research projects,</p>	<p><u>Legislation:</u></p> <p>Act no. 106/1999 Coll., on Free Access to Information</p> <p>Act no. 121/2000 Coll., the Copyright Act</p> <p>Act no. 89/2012 Coll., the Civil Code</p> <p>Act no. 527/1990 Coll., on Inventions and Rationalisation Proposals</p> <p>Government regulation no. 397/2009 Coll., on an information system for research, experimental development and innovation.</p> <p>Act no. 441/2003 Coll., on Trade Marks</p>

including remuneration for originators and authors. We will need to establish transparent rules for the remuneration of authors and originators when using their works.

Act no. 478/1992 Coll., on Utility Models

Act 207/2000 Coll., on the Protection of Industrial Designs

Act no. 130/2002 on the Support of Research and Development from Public Funds, which also deals with rights to the outcomes of such research and their uses.

Act no. 341/2005 on Public Research Institutions

Internal regulation:

Director's Decree 10/2018: Protection, Registration and Enforcement of Intellectual Property Rights.

Director's Decree 02/2015 - Managing the Outcomes of Research, Development and Innovation

Recommendations for Managing Intellectual Property

Current practice:

The Technology Transfer Office (TTO) of the CAS is part of the CAO and provides the following activities:

- Support in the field of knowledge and technology transfer (KTT) for the CAS and its institutes.
- As a central service centre it provides comprehensive support for transfer projects including consultancy services.
- This consultancy primarily relates to intellectual property law and its application.

The CAO also contributes to the organization and expertise of the CAS's Council for Intellectual Property Use, which is the Academy's auxiliary, advisory body providing methodological guidance on the protection, management and use of intellectual property within the CAS and the CAO.

			<p><u>Proposals:</u></p> <p>In contractual relations for research projects, intellectual property rights will be properly addressed, including remuneration for originators and authors.</p> <p>Transparent rules will be established for the remuneration of authors and originators whose works are used.</p>
<p>32. Co-authorship</p>	<p>+</p>	<p>The CAO is fully in line with the relevant provisions of the Charter and Code and no direct action is required at present.</p>	<p>Act no. 106/1999 Coll., on Free Access to Information</p> <p>Act no. 121/2000 Coll., the Copyright Act</p> <p>Act no. 89/2012 Coll., the Civil Code</p> <p>Act no. 527/1990 Coll., on Inventions and Rationalisation Proposals</p> <p>Government regulation no. 397/2009 Coll., on an Information System for Research, Experimental Development and Innovation.</p> <p><u>Internal regulation:</u></p> <p>Director's Decree 10/2018: Protection, registration and enforcement of intellectual property rights.</p> <p><u>Current practice:</u></p> <p>Co-authorship is is governed by the law of the Czech Republic and CAO internal regulations.</p> <p>The TTO offers legal and consultancy services to support cases of collaboration between researchers and with industry, including questions of co-authorship. Similarly, it can advise and support in cases of commercialisation. The TTO has competency in matters relevant to copyright, labour law and the Inventions Act no. 527/1990. The TTO also provides training and seminars on these topics.</p>

			<p>Authors' names are listed on publications in the order given by the rules standard in the relevant academic field and with the given publisher; these predominantly reflect the co-authors' level of contribution.</p> <p>Co-originators' shares in creating the subject of industrial intellectual property are governed by an agreement drawn up for that purpose.</p>
33. Teaching	+/-	In the current situation and given the specific nature of the CAO, this point is only partially relevant to us.	<p><u>Legislation:</u></p> <p>Act no. 262/2006 Coll., the Labour Code</p> <p><u>Current practice:</u></p> <p>Given the nature of our organization , teaching activities are not, as this provision describes, a standard part of our employees' activities. Our staff are active as lecturers, internally as part of our Learning Organization, and also externally for other CAS institutes (IT skills, technology transfer, HR Award training, etc.)</p> <p>We fully support our staff in these activities.</p> <p>As we further develop our research activities, it may be assumed that we will enter into agreements for partial cooperation on educational courses with relevant universities, in line with the procedure that is standard at other CAS institutes.</p>
34. Complaints/ appeals	+/-	GAP 34 We lack any formal enshrinement of the rules for meetings of the Ethics Committee. The Ethics Committee does not work in line with common standards.	<p><u>Legislative:</u></p> <p>Act no. 418/2011 Coll., on the Criminal Liability of Legal Entities</p> <p>Act no. 106/1999 Coll., on Free Access to Information</p> <p>Act no. 198/2009 Coll., the Anti-discrimination Act</p> <p>Act no. 262/2006 Coll., the Labour Code</p>

We do not have an appointed ombudsman.

Internal regulation:

Director's Decree 04/2018: Compliance Management System.

Current practice:

The CAO always proactively addresses any workplace conflicts between employees, and seeks to resolve any resulting disputes, complaints and appeals. The Ethics Committee was established for this purpose, advising the Director; this is stipulated by the internal regulation establishing a "Compliance Management System". This internal regulatory document defines, among other things, the basic ethical rules applicable to staff. Employees may submit their suggestions, complaints and appeals directly to the individual members of the committee, or anonymously via a physical message box. The Ethics Committee assesses the severity of such submissions and issues recommendations on further steps to be taken. The Ethics Committee's most important principle is the maintenance of maximum confidentiality when dealing with these sensitive situations.

Proposals:

Draw up rules for the Ethics Committee's work in written form.

Properly train members of the Ethics Committee and standardize the procedures used and the format of their reports.

Appoint an ombudsman.

35. Participation in decision-making bodies

++

Fully implemented.

Legislation:

§ 18 of Act 341/2005 Coll., on Public Research Institutions – representing researchers on the institution's Council and the task of a researchers' assembly.

Internal regulation:

CAO Council Election regulation

Organizational regulation II/2021, article V – CAO advisory bodies attended by research and specialist staff, e.g. the Claims Committee, Inventory Committee, Economic Council, Ethics Committee, Council of Lawyers, Records and Shredding Committee.

The researchers' assembly (the body which elects and takes decisions) has been expanded to 45 – 50 members.

At present no specific direct measures are needed.

TRAINING AND DEVELOPMENT

36. Relation with supervisors +/-

Research activities are in the very early stages in our organisation. As research activity develops, we will implement the rules that are usual in this area.

GAP 36

Adaptation process rules are not consistently applied in some departments

Current practice:

When a new employee arrives:

Personal welcome from the line manager; Named guide for the adaptation process;

Handover of materials to inform the new staff member about the department in question and the organization as a whole;

Participation in adaptation training for new employees;

“Onboarding process”.

During the course of an employee's career: Regular informal interviews with line manager as part of the employee Appraisal process;

Participation in staff and management meetings;

Participation in middle-management meetings.

			<p><u>Proposals:</u></p> <p>Interviews with new employees at the end of their probation period, which would be attended by a representative of the HR department.</p> <p>Increased e-learning opportunities.</p> <p>Greater emphasis on the role of the “buddy” (adaptation process guide), who accompanies new staff, trains them, supports them, facilitates onboarding.</p> <p>Introduce standard research-field specific practices as relevant.</p> <p>Organize regular internal seminars at which research groups would present their findings.</p>
<p>37. Supervision and managerial duties</p>	<p>+/-</p>	<p>Research activities are in the very early stages in our organisation. As research activity develops, we will implement the rules that are usual in this area.</p> <p>GAP 37</p> <p>The Learning Society, mentoring scheme, and reverse mentoring scheme are formally defined, but the current documents are not fully up to date and do not reflect the current situation. A structure for the CAO’s research groups has not yet been established.</p>	<p><u>Current practice:</u></p> <p>Mentoring;</p> <p>Raising successors;</p> <p>The Learning Organization, which provides for mutual sharing of employees’ know-how (reverse mentoring).</p> <p>See point 36 – buddy system</p> <p><u>Proposals:</u></p> <p>Update the current definition of the Learning Organization</p> <p>Establish a structure for the research groups.</p>

38. Continuing Professional Development	++	Fully implemented.	<p><u>Current practice:</u></p> <p>Broad range of educational activities offered. Learning organization.</p> <p>E-learning, online training.</p> <p>Qualification agreements.</p> <p>Support for participation in international specialist conferences.</p> <p>See also point 28. Career Development</p>
39. Access to re-search training and continuous development	++	Fully implemented.	<p><u>Current practice:</u></p> <p>We work with the outcomes of exit interviews.</p> <p>We engage in Outplacement – interviews, collaboration with the Labour Office.</p> <p>We support our staff when they are looking for a different position within our organisation.</p> <p>We provide specialist consultancy as part of our Technology Transfer Office, Learning Society, and the EURAXESS Centre.</p> <p>We offer our employees coaching in professional development and in developing their own business plans.</p>
40. Supervision	+/-	<p>GAP 40</p> <p>We are setting up the adaptation process and buddy system (mentoring) – see above; this is not yet implemented throughout the organisation.</p>	<p><u>Current practice:</u></p> <p>Employees can turn to:</p> <p>Their Buddy /adaptation process guide;</p> <p>Their line manager;</p> <p>The HR department – for consultations about professional development and career progression;</p>

There is little awareness of the activity of the Union Organisation, which at present fulfils the role of ombudsman.

The Risk Manager (“ombudsman”) - internal auditor;

The Ethics Committee.

Employees can express their needs as part of: The Employee Appraisal Process, Adaptation process assessment, and through the Union Organization, which currently informally fulfils the role of ombudsman.

See also above points about the buddy system and adaptation process.

Proposals:

Formally establish an ombudsman.

Organize informal meetings with the Director of the CAO.

Increase emphasis on the importance of the adaptation process throughout the organization.

The Satisfaction Survey raised the need for meet-ups such as “Breakfast with the Director”.