

Process Description

Case number: 2018CZ354372

Name Organisation under review: Tomas Bata University in Zlin, University Institute

Organisation's contact details: Nad Ovčírnou 3685, Zlin, 760 01

Submission date: 30. 1. 2019.

Date endorsement charter and code: 13/11/2018

Process

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4 , as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

Name	Position	Steering Committee	Working Group	Management line/ Department
Prof. Vladimír Sedlařík (M)	Rector, TBU in Zlin, Director of UNI/CPS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU in Zlín; Director of UNI/CPS
Prof. Petr Sáha (M)	Vice-Rector for Research, Development and Creative Activities, Director of UNI	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU; Director of UNI
Assoc. Prof. Zuzana Komínková Oplatková (F)	Vice-Rector for International Relations	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU
Assoc. Prof. Adriana Knápková (F)	Vice-Rector for Social Affairs	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU

Name	Position	Steering Committee	Working Group	Management line/ Department
Assoc. Prof. Roman Bobák (M)	Internal Evaluation Board, Deputy Chairperson	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU
Andrea Kadlčíková (F)	Chancellor, Director of Marketing and Communications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU
Ondřej Fabián (M)	Director, TBU Library	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU
Renata Bartošová (F)	Head of Human Resources	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Rectorate, TBU
Prof. Miroslav Mašláň	Member of Scientific Board, UNI	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Palacký University Olomouc
Prof. Josef Kaiser (M)	Member of Scientific Board, UNI	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Brno University of Technology
David Hausner (M)	Member of Scientific Board, UNI	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Director of Plastic Cluster

Name	Position	Steering Committee	Working Group	Management line/ Department
Jana Josefíková (F)	UNI/CPS financial manager	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Ivo Kuřitka (M)	Deputy Director for Strategy and Development, Head of the Research Group (R4)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Michal Sedlačík (M)	Deputy Director for Research and doctoral Studies (R4)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Aleš Gregar (M)	Project Coordinator	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Ivana Pejřová, Ph.D. (F)	Project Coordinator	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Nibedita Saha, MBA, Ph.D.(F)	Project Manager	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Martina Dostalová (F)	HR Department	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Petra Svěráková (F)	Marketing Department	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS

Name	Position	Steering Committee	Working Group	Management line/ Department
Jiří Hřebíček (M)	Psychologist	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Rectorate, TBU
Klára Sedláčková (F)	Assistant of UNI/CPS director	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Nabanita Saha (F)	Head of the Research Group (R4)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Tomáš Sedláček (M)	Head of Research group (R4)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Natalia Kazantseva (F)	Head of the Research Group (R4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Prof. Petr Slobodian (M)	Head of the Research Group (R4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Assoc. Prof. Aleš Mráček (M)	Head of the Research Group (R4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Radek Stoček, Ph.D. (M)	Head of the Research Group (R4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS

Name	Position	Steering Committee	Working Group	Management line/ Department
Prof. Igor Emri (M)	Researcher (R4)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Antonio D. Martino, Ph.D. (M)	Researcher (R3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Petr Smolka, Ph.D. (M)	Researcher (R3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Lenka Musilová, Ph.D. (F)	Researcher (R3)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Pavel Urbánek, (M)	Researcher (R2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Anna Hurajová (F)	Researcher (R2)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Veronika Mikulcová (F)	Researcher (R1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS
Barbora Polášková (F)	Researcher (R1)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	UNI/CPS

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.

Provide information on how the researchers groups were involved in the GAP-analysis:

Stakeholder group	Consultation format	Contributions
UNI/CPS, Ph.D. Students (R1 level)	Meeting, Questionnaire and Focus Group	Analysis of the current situation of UNI/CPS concerning 40 principles of EC &C
UNI/CPS. Junior Researcher (R2 level)	Meeting, Questionnaire and Focus Group	Analysis of the current situation of UNI/CPS concerning 40 principles of EC &C
UNI/CPS, Senior Researchers (R3level)	Meeting, Questionnaire and Focus Group	Analysis of the current situation of UNI/CPS concerning 40 principles of EC &C
UNI/CPS, Head of the Research Groups (R4 level)	Meeting, Questionnaire and Focus Group	Analysis of the current situation of UNI/CPS concerning 40 principles of EC &C
UNI/CPS, Managers	Meeting, Questionnaire and Focus Group	Analysis of the current situation of UNI/CPS concerning 40 principles of EC &C
UNI/CPS, External partners	Meeting, Questionnaire and Focus Group	Analysis of the current situation of UNI/CPS concerning 40 principles of EC &C

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

The implementation of the code of conduct (EC &C) for the researchers of TBU in Zlin, UNI/CPS was headed by the highest authority of the institution Rector (Prof. Petr Saha) in the beginning of January 2018. He took the initiative to form a steering committee, along with the Rector's department by its Academic Senate, Scientific Board, Board of Governors, University Management Board, Rector's Advisory Council, Internal Evaluation Board, all Vice-Rectors (Research, Development and Creative Activities, Social Affairs, International Relations), Marketing and Communications department, International Marketing department, Strategic Development department and Human Resources department in order to enhance TBU, UNI/CPS organizational competitiveness. Altogether it is composed of 18 people.

A Steering Committee was formed to monitor the process of executing EC &C and build a Working Group, which was appointed to implement the process and to manage the communication with European Commission authorities. The Steering Committee regularly monitored the process and validated the final documents once or twice in a month. It is composed of the members of the Governing Board, scientific board, researchers, managers, external stakeholders and includes eighteen number of responsible people. The Working Group has been responsible for the preparation of the Gap Analysis, Action Plan and OTMR Check list where, they participated and followed up on the implementation process. It is composed of 24 people. Therefore, to build organizational competitiveness, Rector's foresight enables him to make successful plan of applying the 40 principles of EC &C which plays an important role of an organization not only to develop the adaptation ability to face the changing environment, but also it enables to accept the acquisition of distinguishing qualities of high performance oriented organization that directed to maintain or improve its market position. For scientific institution with its hinder could be HR Excellence in Research (HRE), a sign awarded by the European Commission within the framework "Human Resources Strategy for Researchers" (HRS4R) strategy.

Consequently, Tomas Bata University in Zlin, (UNI, CPS) has taken actions to attain HR Excellence in Research, in order to create a standard European research environment for UNI/CPS researchers and to make institute UNI/CPS more attractive to scientists and contribute to further development of science as well as achieving better market position and The procedure started with the results of 123 respondents' internal analysis and their opinion survey related to existing practices and regulations of conducting researches in Institute. Moreover, among the 123 respondents, 97 respondents are researchers' and management people, in addition, 26 respondents are external partners (associated with UNI/CPS and TBU's R&D). As a result, a special Report with an Action Plan has been created, for improving friendly environment of scientific work and transparent recruitment principles of researchers. This report also indicates main challenges the Institute (UNI/CPS) faces for fully implementation HRE guidelines to stimulate economic and employment growth.

The path towards achieving HR Excellence Award

Tomas Bata university in Zlin (UNI/CPS,) took steps aimed at obtaining the HR Excellence in Research logo in the end of 2017. The purpose is not only to obtain the HRE logo itself, but raising the attractiveness of the TBU for scientists, further development of science and achieving better market position that are the aims of this motivation. In this report the results of an internal analysis that cover an opinion of respondent among scientific and research employees of TBU concerning the existing rules and practices associated with research at the Institute were discussed. The conducted research allowed preparing a special Report together with an Action Plan, which are the basis for obtaining the HRE logo. More precisely, it can be said that to implement the 40 principles of C & C through a voluntary, flexible, step-wise procedure:

- i. An Endorsement letter signed by the TBU's Rector highest authority starts the process
- ii. Internal Gap Analysis done by the UNI/CPS, involving Key personnel's, stakeholders (Management & External Partners) including researchers.
- iii. Development & publication of Institutional HR Strategy for Researchers and Action Plan has been done to address the identified gaps.

Tomas Bata university in Zlin (UNI/CPS,) recognizes the significance of taking care of its key resource: people and it is aware of the fact that the competitiveness of the market and the complexities of the scientific environment make difficult the management of human resources. People are the core value of Tomas Bata university in Zlin (UNI/CPS,), thus UNI/CPS realizes the necessity in order to attract as well as to retain talented people. In order to enhance the efficiency and effectiveness of the Human Resources Process and to make this research center an attractive and supportive place to work for researchers, UNI/CPS decided to take off the HR Excellence in research process (including the implementation of the European Charter for Researchers and Code of Conduct for the Recruitment). In addition, this process of implementing EC&C at UNI/CPS will provide international visibility to the UNI/CPS research center and promote European network between researchers and research organizations, academic institutions, multi-stakeholders Initiatives (MSIs) (science, policy, business, and society, including small and medium-sized enterprises (SMEs) and public and private investors for the sustainable development of TBU, UNI/CPS research excellence.

The way Committee supervised the process of implementing HRS4R:

- **Objective:** *The first and foremost aim Tomas Bata university in Zlin (UNI/CPS,) is create a standard European research environment for CPS researchers.*
- *Accordingly, Tomas Bata university in Zlin (UNI/CPS,) took initiative to implement the standard of behavior which is defined in the 40 principles set out in EC & C.*

- *The main aim is associated with obtaining the HR Award = which will be a sign of European Research Area affiliation enabling effective communication, cooperation, mobility, research funding to ensure further economic development and the competitiveness of the organization.*
- **Output:** *Design and Implementation of the strategic management of a research center focused on the management and development of human resources- – Human Resources Strategy for Researchers (HRS4R).*

Benefits for UNI / CPS from the project:

- Raising the UNI/CPS prestige and attractiveness for researchers.
- Interlinking itself into a pan-European network of research organisations.
- International attractiveness and visibility.
- Acquiring research funds from European and national programs to support research – acquiring benefits in TACR, HORIZON 2020 and other programmes.
- Improving Human Resources Quality Care.
- Creating better career-growth conditions in the research and development (R&D) field at the university.
- Guaranteeing transparent recruitment and selection of new researchers.
- Recognising experience from mobility in the public and private sectors.
- Developing the professional growth of researchers.

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

The Working Group was appointed by the Steering Committee in January 2018 in order to implement the HRS4R. The primary goal of the working group is to consolidate understanding about these HRS4R institutional development projects, especially the available interfaces, and document outputs and interactions that EC&C (40 principles) that are associated with each other as they progress. The working group, in its preliminary discussions, has realized the significance of implementing EC&C and so the working group members started to serve as a coordinator for the funded projects so that transparent, accurate, reliable, and timely information on the project deliverables, outcomes, and websites are made available in a consistent manner. Since January, 2018, the UNI/CPS has started the procedure for implementation of HR Excellence in Research award, with an internal work group that motivated for creating and reducing the gaps detected in the UNI/CPS Internal assessment procedures regarding the professional welfare of its employees, the acquirement of better skills and competences, and the development of their career in agreement with the HRS4R recommendations.

Therefore, to actively implement the EC & C's strategy 'HR Excellence in Research', UNI/CPS decided to follow the *strategy process*. Such as:

- (i) Internal gap analysis: Institutions need to complete a gap analysis of their policies and practices in light of the principles of the charter and code.
- (ii) Development and publication of UNI/CPS HR strategy for researchers and Action plan in order to fill gaps in the provision of support and career development for researchers.
- (iii) Self-assessment of progress: UNI/CPS undertake an internal review of progress compared with their existing action plan, In addition, Working groups of UNI/CPS move forward to know about their progress to draw an action plan for the forthcoming years.

Following the recommendations of the European Commission concerning the implementation of the rules of Charter and Code (C&C), an internal analysis with the use of "Template for internal analysis" provided by the EURAXESS - *a gateway for the Researchers in Motion*, European Commission - was done. The necessary guideline has been followed as endorsed. Such as: - Key representatives of scientists and administration were involved in the conduct of the analysis.

In order to prepare Gap analysis and Action plan the following steps for implementation of HRS4R have been taken:

A Working Group (WG) was established by the UNI/ CPS Director in January 2018 to perform a gap analysis and prepare an action plan. At the very beginning the initial internal gap analysis was performed through the following activities such as: discussions within the WG (associated with the HRS4R project) and desk research. Accordingly, the survey was created on the basis of Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (C&C) rules and results of WG findings. The purpose of the survey was intended to check and verify not only the level of implementation of C&C in UNI/CPS but also to understand the importance and the level of awareness of C&C among researchers. Taking into consideration survey results there were conducted additional consultations within individual groups of researchers, managers, external stakeholders as well among research and academic staff. Based on the results of all above activities the internal analysis and an action was prepared by the Working Group (WG).

Summarizing, to identify internal gaps and to prepare an Action plan, the following activities were performed:

- ✓ Creation of Working Group (to keep the coordination of the process, definite role);
- ✓ Desk research, analysis of best practices that implemented the Charter and Code principles and Study the existing planned development strategy of TBU in Zlin to align with the C&C principles;
- ✓ Preparation of Questionnaire in Czech version as well as in English version;

- ✓ Consultations and discussions with researchers, management and external companies;
- ✓ Final internal analysis and action plan.

Later on, a questionnaire survey was conducted in March 2018. It allowed the assessment of the current level of implementation of the "European Charter for Researchers" and the "Code of Conduct for the Recruitment of Researchers" at UNI/CPS. The following tools were used as research instruments:

- the analysis of binding provisions of national law and internal regulations Statute of TBU in Zlin (desk research),
- discussion with Working Group (as a focus group),
- internal survey/assessment questionnaire,
- analysis of divergence (gap analysis).

The applied set of research tools used for the internal survey/assessment is supposed to be authenticating the collected data by confronting the obtained results.

Questionnaire survey

The questionnaire survey was conducted on the basis of the above analysis that was prepared. The survey consisted of 40 questions (40 principles) for researchers and management, but for the external company people selected 10 principles have been taken for the questionnaire preparation and other questions which were related partly but not all aspects from C&C. Respondents were asked not only to assess the level of implementation or awareness of the C&C rules but also the importance of those rules to them and important for the institute (UNI/CPS).

The survey consisted of basically partly opened and partly closed questions though every respondent was encouraged to express additional thoughts and remarks to each question. The survey represented to all 4 sectors of C&C: Code A- Ethical and professional responsibility of the researchers; Code B- Recruitment of Staff; Code C- Working conditions and social security of the researchers and Code D- Education and training for career development of the researchers

The respondents (Researcher and Management) were asked to assess each of the 40 statements on a four-point scale number 1 to 4, wherein:

- 1 = principle fully applied,
- 2 = principle almost, but not fully applied,
- 3 = principle partly applied,
- 4 = principle insufficiently applied.

Consequently, the respondents (External Companies) were asked to assess each of the 10 statements and other related statements on a four-point scale number 1 to 4, wherein:

1 = fully applied,

2 = rather yes,

3 = rather not,

4 = no.

The questionnaire was prepared and distributed to the researchers during the meeting with UNI/CPS management on following days from 5th of March 2018 to 13th of March 2018. Anonymous questionnaires were collected during next two weeks. The respondents were also asked to state their gender, age, number of years working at TBU in Zlín, number of years working in R & D (total).

Simultaneously, the English language questionnaire was prepared and distributed to the researchers during the meeting with UNI/CPS management on 14th of March 2018. Anonymous questionnaires were collected during next two weeks. The respondents were also asked to state their gender, age, number of years working at TBU in Zlín, number of years working in R & D (total).

Accordingly, for the external partner companies the questionnaire was prepared and distributed to the external company people during the meeting with UNI/CPS management on 18th of April 2018. Anonymous questionnaires were collected during next two weeks. The respondents were also asked to state about their company's ownership, frequency of existing collaboration (contract / project) of organization with CPS, organization size (by staff), organizations headquarters / affiliated branch (specify region).

Questionnaire survey of the researchers and management people of UNI/CPS as well as the external partners has been carried out between 5th of March -14th of March, 2018 and in 18th of April 2018. Its purpose and aim was getting all respondents' involved in the process of analysing the compliance of UNI/CPS activities with the provisions of the Charter and the Code (C&C). As of March 5- 14, 2018, 18th of April 2018, total 123 people's opinion has been collected. Where, 97 respondents were researchers' and management people. The percentage of researchers' respondents was as follows: R1 level 23 % , R2 level 58 % , R3 - R4 level 19 % . In addition, there were 26 respondents from external partners, i.e. companies (associated with UNI/CPS, TBU's R&D).

Consultations with Focus group (researchers)

After the survey results analysis, Working Group (WG) decided to organize an informal discussion and additional consultations with focus group researchers (approximately 10-12 no. of researchers participated) who were selected by the research group heads to better understand researchers and staffs' attitude towards C&C rules, their expectations, interest and concerns (e.g. during the focus group seminars).

Additionally, the meeting of the management and external partners devoted to the above issues was organized with 10-12 management members and external partner. The consultations allowed for a better identification of gaps which - from each group perspective - need to be addresses in the UNI/CPS institutional development Strategy. The members of WG identified certain strengths and challenges, where the suggested actions needed to be carried out. Based on the desk research, i.e. best practices from other existing HR award accomplished institute the survey results and the consultations with researchers WG prepared a document containing the Internal Analysis and the proposed Action Plan, which is supposed to be presented to UNI/CPS Director for final approval.

In conclusion, it is necessary to mention that all groups of researchers, management and external partner companies with whom UNI/CPS has a long collaboration including the PhD students took part in this survey. Some of the PhD students are employed as assistants and some of them have only the status of the students. Therefore, the reason that makes the group of researchers of ESR (Early Stage Researcher) very numerous in UNI/CPS. The internal survey showed that this group, especially researchers are not fully aware of all issues connected with C&C. They are often not well informed about all procedures and practices in the UNI/CPS. Many questions in our survey concerned the level of knowledge of the existing rules. Some of those aspects were evaluated rather below par due to lack of proper information and knowledge among the young researches. This is the reason why the main challenge will be improving the level of awareness of C&C and internal procedures.

Summary of the work done

Phase 1: start

1. Steering committee members' agreement for the implementation of HRS4R process. Where, members meet and assess the implementation process. (Jan-2018) and (Feb 2018)
2. Meeting with the management team of the UNI/CPS to start the implementation

The management team meets to talk about HRS4R process implementation and the steps to start with its implementation. (Feb 2018) and (March 2018)

Phase 2: data collection

3. Meeting with group leaders to set the organization's context. UNI/CPS, research group leaders (Focus group) meet to define and establish the current context of the organization. (Feb 2018) and (March 2018)

4. Documental revision.

After collecting all the relevant documents for the implementation process, those documents are revised. (March 2018) and (April 2018).

5. Meeting with the management team and group leaders and head of departments to fulfill questionnaire.
6. Meeting with management team and group leaders to fulfill the questionnaire that analyzes the organization's processes.

Organization's processes are analyzed through a questionnaire given to UNI/CPS, management team and group leaders. (May 2018- July 2018)
7. Questionnaire results analysis.

The questionnaires outcomes are analyzed in order to identify GAP and the organization monitoring process related to each Action according to EC&C (August 2018- October 2018)