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Important message to institutions:

Site Visits: All HRS4R in-house audits planned for 2021 will be conducted remotely with the consent of the host institution. Should your institution be at renewal stage, once you submit your self-assessment online via the e-tool, the EC will be in contact with you to set a date for the remote visit together with a panel of independent experts. Should the institution prefer a classic on-site visit, the audit will be postponed. Meanwhile, institutions involved in the process can continue using the HR Excellence in research award.

Initial Assessment - EC Consensus Report

Case number: 2019CZ471521
Name Organisation under assessment: Silesian University in Opava
Submission date of initial GAP-Analysis, HR Strategy and Action Plan: 29/04/2021
This report was drafted by the Lead-Assessor in consensus with the members of the assessment team
Submission date: 07/08/2021

Eligibility assessment

Please rate the state of achievement ("yes", "no" or "partly"). If any statements have prompted a "no" or "partly" in the evaluation, please provide recommendations:

	YES / NO / PARTLY	Recommendations
Have the Strategy and Action Plan been published on the organisation's website?	Yes	
Have the Strategy and Action Plan been published in English?	Yes	
Have the Strategy and Action Plan been published in a visible place?	Yes	
Have the following elements of the templates for the Gap Analysis and the HR Strategy and Action	Yes	The institution describes the internal process for carrying out

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	YES / NO / PARTLY	Recommendations	How do you know?
Plan been completed with sufficient details and quality? ▪ Gap Analysis ▪ HR Strategy and Action plan ◦ Organisational information ◦ Strengths and weaknesses of the current practice ◦ Actions ◦ Implementation		the Gap Analysis & Action Plan in terms of activities, people involved in and results. However, there is no detailed information about the calendar of the process, schedule, frequency of meetings and decision-making criteria. The institution provides a complete GAP Analysis of strengths and weaknesses. The analysis covers the current state of play of the implementation of the Principles of C&C and the researchers' situation, with commentaries about practices or examples demonstrating the implementation of the principles. Furthermore, the narrative could be enriched by identifying which ranges of research groups R1-R4 are concerned by each of them and their views and needs within the organisation. The action plan is linked with the gap analysis. The plan covers all the Principles of C&C identified as not fully implemented in the GAP Analyse. However, the description of the responsible for proposed actions is too generic. It is important to have a carefully planned process in advance to implement the HR process as efficiently as possible	

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	YES / NO / PARTLY	Recommendations	How do you know?
		by assigning general actions and particular ones to a specific role/position at the department responsible and detailing stakeholders to whom actions are addressed.	

Quality assessment

The quality assessment evaluates the level of ambition and the quality of progress intended by the organisation. Rate the state of achievement ("yes", "no" or "partly"). If any statements have prompted a "no" or "partly" in the evaluation, please provide recommendations:

	YES / NO / PARTLY	Recommendations
Is the organisational information provided sufficient to understand the context in which the HR Strategy is designed?	Yes	
Is the Action Plan coherent with the Gap Analysis?	Yes	
Have a steering committee and working group been established to guarantee the implementation of the HRS4R-process?	Yes	

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	YES / NO / PARTLY	Recommendations	How do you know?
Has the research community been sufficiently involved in the process, with a representation of all levels of a research career?	Yes	The research community has been involved through a dedicated survey. Even if the full text of the survey is not available the detailed description of its outcomes provided within the Gap Analysis shows that all most relevant aspects included in the European Charter and Code have been addressed in the survey. The participation rate seems to be approximately 74%. In particular, the description of the process presents various consultations with the researchers involved, but the website does not provide detailed information - meeting reports, so there is no clear number of people involved in the process. Second, there is an unequal distribution among R1 - R4 researchers in the working group, that is, there is only 1 R1 representative and 5 R4 representatives.	

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	YES / NO / PARTLY	Recommendations	How do you know?
Are the relevant management departments sufficiently involved in the process so as to guarantee a solid implementation?	Yes	The Departments play a significant role at the institution in many of the HR / OTM-R processes, and relevant administrative staff as well. Besides, the group could also be supported by expert additional functions/positions available at the institution (e.g. Quality, Projects Safety …)	
Have adequate targets and indicators been provided in order to demonstrate when/how an action will be/has been completed?	Partly	The action plan must include quantitative targets to monitor such results in coherence and related to the principles. Stakeholders' opinion targets may be integrated. A few indicators could be improved by providing specific targets to be reached. For example when speaking of introducing a new mentoring programme, it would be advisable to have a quantitative indicator in place identifying the percentage of researchers that are going to be provided access to this new service.	
Is the organisation establishing an OTM-R policy?	Partly	Still at very initial stage. The institution is working on standardizing documents and practices. An OTM-R Policy is planned in the framework of SU Strategic Policy 2021+	

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	YES / NO / PARTLY	Recommendations	How do you know?
Are the goals and ambitions sufficiently ambitious considering the context of the organization?	Yes	The institution makes sure that the HR strategy is integrated into the institution's overall strategy. One Action involves a series of smaller actions, so in reality it is a rather ambitious plan, systematic and encompassing fundamental change Nevertheless, action plan must include longer-term, wider impact oriented actions.	

General Assessment

Accepted	●
Pending **minor** modifications	○
Pending **major revisions**	○

Explanation

- **Accepted: This application meets the criteria and the HR award is granted.**
  The assessors might have commented on your file asking for future focus on a particular aspect/criterion, so please refer to the comments given above.

- Pending **minor** modifications: This application **broadly meets the criteria**, but the assessors have some concerns/questions about specific areas/criteria. Please reflect about the feedback given above and update your file before **re-submitting within 2 months.**

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- Pending **major revisions**: This application does not meet the criteria; please make the appropriate changes taking into account the comments of the assessors before **re-submitting within 12 months.**

General Recommendations

If any of the above statements have prompted a "no" in the evaluation, please provide suggestions of modifications in the form below.

If the general assessment is:

- "pending minor modifications" the recommendations are split into:
  - Immediate mandatory modifications (to be implemented in order to obtain the award, resubmission within 2 months)
  - Other modifications (to be carried out during the implementation phase).
- "pending major revisions" the recommendations are split into:
  - Mandatory modifications (in order to obtain the award, resubmission within 12 months)
  - Other modifications.

Recommendations *

The Organization shows a very high level of commitment to the European Charter and Code Principles. The proposed Action Plan is very convincing and well structured, still some revision may be advisable within the Action Plan concerning the proposed indicators that could be better specified, for example:

1. The institution must ensure the participation of the Working Group in every step of the HR implementation process which shall be responsible for the development and evolution of de HR Action

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How do you know?

Plan. Clarify role of Steering Committee and of Working group.

2. Reconsideration of the state of views for some Principles of C&C in the Gap Analysis (including OTM-R) could lead to further actions that would improve the soundness of the action plan and allow states on how HR will be coordinated an embedded into institution strategy.
3. Consideration of adding long-term actions with strategic impact to the action plan. Also, this plan could be enriched by incorporating specific activities to foster a successful integration into the operational plans.
4. Making sure that all actions are provided with relevant indicators, together with related target value. Indeed, the lack of target value does not allow to monitor the progress and quality of the actions.
5. Within the Gap Analysis under Principle 36 "Relation with Supervisors" one of the proposals for improvement consists in having a better definition of the competencies of mentors, tutors and supervisors. However within the Action Plan under Action 4 only the mentoring scheme seems to be taken into account. Since providing researchers with clear indications about the people they can rely on is crucial, this aspect should be taken into account within the Action Plan. Also in Action 4 is missing a quantitative indicator of how many researchers are going to be provided access to this scheme
6. Action 6 - career development: quantitative indicator of the goal about fixed-term positions to be achieved is suggested. By which percentage fixed-term positions are going to be increased?

The Committee must sponsor the process and ensure institutional support, engagement and alignment with the internal strategy. Therefore, the HR implementation process will be spread & embedded into the institution and all their stakeholders. The institution must take on board the recommendation to proactively communicate the Charter and Code principles within the organisation, to invest in training and awareness activities, and to ensure implementation of these principles into everyday practice. The institution has to ensure that internal procedures and documents are accessible internationally. There is a need to develop accessible information in Czech and in English, clearly visible for researchers internally and externally. The development of the SU Research webpage could contribute to this.

SU does not have an overarching HR policy or OTM-R policy as such. However, they indicate that Czech laws and regulations combined with internal agreements and policies offer attractive working conditions for researchers, however researchers may not be in a position to look up them and so a clear OTMR policy would be very helpful to them. This policy should be completed and ready for the next step of the process. The procedures and practices for OTM-R have to be harmonised at all levels of institution (departments, faculties, institutes) and could integrate good practice from them. Gender equality and the promotion of mobility policies may be drafted and developed. Consider including Responsible Research and Innovation (RRI) policies (e.g. Open Access) and practices in the organizational strategic development. The institution

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has an opportunity for aligning and integrating the HR activities into the Quality Assurance & Sustainability processes. The implementation of C&C principles may represent an opportunity to improve research funding from private sector and to enhance SU international attractiveness.

How do you know?

If the organisation deserves to be commented on their ambition, their actions, evidence of good practice and/or their implementation process, please provide a commentary supporting this. (max. 2000 words)

SU shows a strong commitment to the HR strategy and the pursuit of quality results as part of its Strategic Plan for 2021+. A comprehensive, clear and comprehensible Action Plan, which is prepared taking into account the needs of the organization and the principles of C&C. very clear framework to manage ethical principles (Code of Ethics, Ethics Committee, Rules of Procedure). Also it is relevant that the institution strives for clear and unified procedures. It is very useful that an HR office was established to take care of these tasks because they require adequate resources. Also, it is very important that the leadership is involved in and clearly supports the process.