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.

GAP Analysis (Charter and Code Checklist)

Case number: 2018SK344028 Name Organisation under review: University of Zilina Organisation's contact details: Univerzitna 1, Zilina, Slovakia, 01026 Submission date: 23/09/2021 Date endorsement charter and code: 11/10/2018

GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the

situation for the organisation's recruitment strategy, a specific self-assessment? checklist is provided for Open, Transparent and Merit-Based Recruitment.

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

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

Status

Ethical and Professional Aspects

1. Research freedom

Implementation	GAP / Implement impediments	tation Initiatives undertaken/new proposals
2. Ethical principles		
++ fully implemented	N/A.	University of Žilina (UNIZA) implementation of compliance with European Magna Charta Universitatum http://www.magna-charta.org/ UNIZA the Internal Directive No. 207 (Code of Ethics as Directive) all the activities of the academic community and university staff are based on full respect of the principles of humanism, equal opportunities, gender equality, freedom, democracy, respect for the environment, but also good pedagogical and scientific research practice. UNIZA membership within international organizations, e.g. EUA (European University Association), IAU, etc.
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Among ethical principles there is an issue of the Law No. 343/2015 Coll. Public Procurement https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2015/343/20180501 when goods and services are often purchased at a higher price than usual.	Code of Ethics for Higher Education Employees. http://fbi.uniza.sk/images/Dokumenty/legislativa/leg2- zakladne/eticky_kodex_zam_vs_2006.pdf In the academic year 2018/2019 an Ethics Committee was introduced, which was approved on 15.6.2018 at the Rector's Collegium (Rector's Advisory Body). Later for full implementation the Internal Directive No. 207 (Code of Ethics as Directive) at the whole university was approved on 28.6.2021 and implementing the Ethics Committee. https://www.uniza.sk/images/pdf/uradna-tabula/smernice- predpisy/2021/12072021_S-207-2021-Eticky-kodex-UNIZA.pdf All university personnel, employees and students keep their independence and freedom, within decision-making, critical thinking, research, open research, expression and publicity. They consider the framework principles of right behavior in research to be essential, thus supporting the consolidation of scientific- research standards of the academic community. The UNIZA Code of Ethics clearly defines breaking of ethical rules in research and the principles of research practice.

3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Misunderstanding within the Intellectual Property Law (Employee Work).	The control of plagiarism is carried out by publishers of magazines and the register of graduation papers (dissertation, habilitation). Code of Ethics for Higher Education Employees. http://fbi.uniza.sk/images/Dokumenty/legislativa/leg2-zakladne/eticky_kodex_zam_vs_2006.pdf Directive No. 176/2018 Code of Ethics UNIZA https://www.uniza.sk/images/pdf/uradna-tabula/smernice-predpisy/01112018_S-176-2018-Eticky-kodex-Zilinskej-univerzity-v-Ziline.pdf Renew Directive No. 207/2021 UNIZA Code of Ethics: https://www.uniza.sk/images/pdf/uradna-tabula/smernice-predpisy/2021/12072021_S-207-2021-Eticky-kodex-UNIZA.pdf In addition to controlling final thesis, system control tools to control plagiarism are not used. For IPR compliance, steps have been taken in UNIZA's publishing activity. Also the national system for the control of plagiarism was implemented: https://cms.crzp.sk/

4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Grant Scheme Call for Proposals Policies, Coordination through Science and Research Department. Directive No. 153/2017 on the Preparation, Approval and Implementation of Projects within Internal Procedures and their Registration in ISVV UNIZA https://vav.uniza.sk/vevysun.php

5. Contractual and legal obligations

Implementation	GAP / Implement	tation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	familiarize themse in the field. All cor	y on the part of researchers to elves with the existing rules in force ntracts, guidelines and directives available in the English language at	Grant Scheme Call for Proposals Policies Directive No. 153/2017 on the Preparation, Approval and Implementation of Projects within Internal Procedures and their Registration in the Information System of Science and Research at UNIZA
6. Accountability			
Implementation	GAP / Implementation impediments	Initiatives undertaken/new propo	sals
++ fully implemented	N/A.	Grant Scheme Call for Proposals F	available at UNIZA (APVV, VEGA, KEGA, H2020 projects) Policies Directive No. 153/2017 on the Preparation, Approval hin Internal Procedures and their Registration in the Research at UNIZA

7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	During an initial training or when changing occupational positions, employees are trained in issues such as safety and health at work and data protection. In May 2018, UNIZA employees were instructed how to comply with GDPR. The obligation to maintain confidentiality about the facts learned in the performance of the work is based directly on Act No. 552/2003 on the performance of work in the public interest https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2003/552/ and it was implemented within internal trainings. Implementation of the first ERA Chair project in Slovakia ERAdiate project was fulfilled (2014-2019): http://www.erachair.uniza.sk/ The team continue the work at the university.

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Part of the project proposals is, as a rule, part of the dissemination of the results that has been managed at a very good level. However, the results of the research are not always fully disseminated or utilised	It is necessary to involve all researchers in the information dissemination strategy and to exert pressure on the managing authorities to make the results of science and research freely available, namely those financed from public sources.

9. Public engagement

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Public engagement is ensured by the project dissemination plan. As a rule, the results are presented in the UNIZA magazine "Spravodajca" and regional periodicals. Significant results are presented and at international scientific conferences and publishes in scientific journals (mainly registered in the Scopus, WOS and CCC databases). Some results are not publicized due to research object and privacy status.	UNIZA regularly organizes presentations: Researchers Night, Open Days at each faculty, and many more. It is necessary to involve the public more closely in the research development strategy of researchers. The University promotes cooperation with potential employers, partners from the region, the Žilina self-governing region and other relevant subjects.
10. Non discrimination		
	GAP / Implementation	

Implementation	impediments	Initiatives undertaken/new proposals
++ fully implemented	The legal environment does not allow or give any room for any discrimination	Directive No. 159/2017 Staff Regulations, Act No. 311/2001 Labour Code https://www.slov- lex.sk/pravne-predpisy/SK/ZZ/2001/311/ Act No. 552/2003 on the performance of work in the public interest https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2003/552/ Directive No. 207/2021 UNIZA Code of Ethics: https://www.uniza.sk/images/pdf/uradna-tabula/smernice- predpisy/2021/12072021_S-207-2021-Eticky-kodex-UNIZA.pdf

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Established system of employee evaluation yearly and bi-lateral (self-assessment by an employee / assessment by the employers). Methodological Guideline no. 6/2020 for Evaluating the Complex Work Performance of the UNIZA staff.

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

12. Recruitment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Also EURAXES is used for positions within national and international projects.

13. Recruitment (Code)

+/- almost but not fully i mention	dvertisements do not on any specific career opment opportunities.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff.

14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Members of the Selection Committee are: Head of the Department, Project Coordinator, Representative of Employees, and 2 independent members.

15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Prior to selection, candidates are not informed of specific career development options. After an unsuccessful selection process, we do not automatically inform candidates on the strengths and weaknesses of their applications. However, applicants may ask for this information and will be informed accordingly.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. In compliance with the Act No. 311/2001 Labour Code https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2001/311/, employers are obliged to publish initial salary on appointment in their job advertisements.

16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. The competition shall verify the candidate's skills and expertise which are necessary or appropriate having regard to the nature of the duties to be performed by the staff member in the post or function for which the competition is issued in accordance with the rules in force.

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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Importance of information within CV is verified.

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Mobility is one of the examples of a good practice at UNIZA.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Mobility is considered as an important part of working life and is a welcomed part of the candidate's experience.

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Directive No. 200/2021 Principles of the Selection Procedures on recruitment of higher education teaching staff, research posts, professors and associate professors, and the functions of managerial staff. Also Directive No. 194/2021 Salary Regulations was newly implemented.
20. Seniority (Code)		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	The activities of the academic community and other university staff are based on respect for and full respect for the principles of humanism, equal opportunities, gender equality, freedom, democracy, respect for the environment, but also good pedagogical and scientific research practice. Also within the Directive No. 207/2021 UNIZA Code of Ethics: https://www.uniza.sk/images/pdf/uradna-tabula/smernice-predpisy/2021/12072021_S-207-2021-

Eticky-kodex-UNIZA.pdf

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Long-term career prospects for PhD students are not defined; there is no clear employment policy.	It is necessary to create an internal regulation, a methodology for further possibilities of employment and/or appointing postdoctoral students and employees at UNIZA. The university, in cooperation with student organizations or other organizations, also organizes Career Days (the last one took place in June 2018). For PhD students: The Conference of the Association of Graduate Students of Slovakia focusing on career development and career opportunities in academia as well as outside the academic environment took place at UNIZA

Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	The Act of Law No. 553/2003 on remuneration of certain employees performing work in the public interest available at https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2003/553/20180501 does not clearly recognizes professional practice.	The profession of a researcher of the same character as a professional experience of a UNIZA researcher counts as a whole. The profession for a researcher that is of a different character than a professional activity of a UNIZA researcher is counted based upon the extent of its use for the successful performance of the research work, maximum 2/3 of total length of a researcher's professional experience. Since September 2021, the UNIZA Counseling and Career Center has been established, where a career counselor and psychologist will be available to students and staff.

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	The research environment, except for researchers at individual faculties, is represented by the Science Park and the Research Centre at UNIZA. The university participates in international projects, e.g. a major ERADIATE project.

24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The University must strictly obey the clauses of the Act of Law No. 553/2003 on remuneration of certain employees performing work in the public interest available at https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2003/553/20180501. Under the law's real-world financial conditions, it is assumed that the financial reward of a researchers often fails to reach the starting level of the graduate's starting salary in the business environment.	The university is constantly applying for projects aimed at renovating buildings and improving the working environment. It continuously renovates laboratories, offices and buildings within its financial capabilities.

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Due to the terms of payment, there is not much interest in researchers' places of work, which is manifested by a persistent shortage of top researchers in particular. For existing researchers conducting the required performance, job stability is preserved.	Higher Education Act, No. 131/2002 Coll. https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2002/131/20160101 Law act No. 553/2003 on remuneration of certain employees performing work in the public interest https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2003/553/20180501 Act No. 311/2001 Labour Code https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2001/311/20180501 Directive No. 159/2017 Staff Regulations Directive No. 181/2019 Salary Regulations

26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The funding of UNIZA faculties and institutes is over the long term well below the level of surrounding countries. Current salaries are rather demotivating among researchers in the Slovak Republic.	Resulting directly from the Law act No. 553/2003 on remuneration of certain employees performing work in the public interest https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2003/553/20180501 Act No. 311/2001 Labour Code https://www.slov-lex.sk/pravne- predpisy/SK/ZZ/2001/311/20180501 Directive No. 159/2017 Staff Regulations Directive No. 194/2021 Salary Regulations

27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Depending on the nature of the research, some workplaces require activity under specific working conditions (construction work, in situ measurements, etc.) that are not suitable for women. In this case, the proportion of women is about 30%. In other workplaces, the proportion of women is 55% on average and 45% on men. Over the last 10 years, the proportion of women has risen.	We are not currently taking any direct steps to get more women into the research, but working conditions based on: Directive No. 159/2017 Staff Regulations and the UNIZA Collective Agreement provide for benefits (flexible working hours, work from home, reduced working time) which we consider to be a step-by-step approach to employing a larger percentage of women. UNIZA is involved into CHANGE project H2020, on the basis of which it is gradually taking steps to balance the work and private lives of employees. The Gender Equality Plan is in the process of being approved until the end of 2021. In 2022, it is planned to open a kindergarten for the children of employees and students.

28. Career development

GAP / Implementation impediments	Initiatives undertaken/new proposals
N/A.	Regular annual reviews of the career growth of the researchers take place in relation to their complex assessment. The University organizes various types of educational activities for its employees, e.g. training courses and on/off-the-job training. The university also supports the mobility of UNIZA's employees that contributes to their professional growth as well. The Institute of Lifelong Learning implements adaptive education for beginning university teachers and researchers who are involved in teaching. The Methodological Instruction "Professional Development of University Teachers" is in the process of approval (approximately 30% of the workload of university teachers consists of scientific research activities).
	Implementation impediments

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Mobility is part of a good practice at UNIZA. For pedagogical staff, mobility is a part of their assessment.

30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Career advice at UNIZA is currently not fully implemented.	Every year professional seminars on entrepreneurial practice and entrepreneurship are organized. We have implemented the Adaptation Process for Fresh Higher Teachers and Researchers from september 2019. We organize Career Days (e.g. IAESTE, EURAXESS), conferences on career opportunities in both academic and non-academic environments, in cooperation with the Slovak Association of Doctoral Students, the newly opened UNIZA Counselling and Psychological Centre is available and can be utilised by the UNIZA staff. Since September 2021, the UNIZA Counseling and Career Center has been established, where a career counselor and psychologist will be available to students and staff.

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Intellectual property rights are defined by relevant legislation. At the UNIZA University Science Park there is the Technology Transfer Center dealing with specific coordination and administrative tasks in order to protect intellectual property for the entire UNIZA.

32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Under the conditions of the university, co- authorship when disseminating R & D outputs in particular has long been in practice.	Co-authorship is given by the share of individual co-workers participating in the resulting work. This is in line with how the co-authoring of outputs of publishing activities has been defined.

33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	The University facilitates the educational process by appointing researchers to teach selected parts of curricula (in particular laboratory exercises.
34. Complains/ appeals		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	Directive No. 155/2017 Handling complaints by natural and legal persons at UNIZA

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new propo	sals
++ fully implemented	N/A.	-	2 Coll. https://www.slov-lex.sk/pravne- 1 Directive No. 106/2012 Statute of the University The and institutes at UNIZA
Training and Development			
36. Relation with supervisor	S		
Implementation	GAP / Implemen	tation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	Mentors of the researchers are the guarantors of the study programs and the heads of departments. The quality of the processes is evaluated regularly in the methodical meetings of the individual departments.		We are planning to take further measures in order to improve the relationship and cooperation among mentors and young employees within the framework of the Adaptation Process (the 1st has been starting in september 2019).

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	The supervision is carried out in accordance with the plan for the academic year. Managerial duties are assessed in the framework of the meetings of the respective scientific councils, collegiums and the management of individual workplaces at the university.	The supervision is carried out at the level of faculty management in all areas of the respective faculty's activities, including the researchers' perspective. These are supervised by their direct superiors, i.e. heads of the departments or laboratories.

38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	N/A.	At each faculty, a gradual growth plan is being prepared in the long term. It is evaluated and updated nowadays. Professional development is managed at the level of individual workplaces. The annual supervision is accomplished at the respective level of each workplace. Since September 2021, the UNIZA Counseling and Career Center has been established, where a career counselor and psychologist will be available to students and staff.

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i…	As part of its financial capabilities, the university creates conditions for access for researchers to further vocational, pedagogical and project education and training.	We are preparing a Career Guidance - The Adaptation Process the aim of which is to ensure the training of the necessary skills and competences needed for further professional development.(the 1st Adaptation Process has been starting in september 2019).
40. Supervision		
Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
insufficiently impleme	Supervision is not in place for UNIZA in the field of research.	Supervision is planned to be implemented within the framework of the Quality Management.