

Status

Ethical and Professional Aspects

1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		Practice is in line with the Charter - the research freedom is sufficient, but it is not unlimited - it also includes the responsibility of the scientists towards the organization to fulfill its development strategy. Regulations: - SAS Code of Ethics - Documents SAS 2021 and SAS 2030 - Action Plans / Strategic objectives of individual SAS Institutes

2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Procedures in individual SAS Institutes are not unified. The umbrella document is the SAS Code of Ethics, the SAS Ethics Committee operates within the SAS. Some SAS Institutes have their own Ethics committees (especially in relation to animal experiments, etc., some of them deal with other ethical issues related to research work).	Regulations: - SAS Code of Ethics Proposals: - To translate the SAS Ethics Code into English language - To provide trainings on ethical issues related to research work - To support the creation of Ethics committees within individual SAS Institutes - To support the adoption of internal rules on ethical issues in research work - To formalize the process of filing the requests related to ethical issues or to ethical issues' violation

3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- Copyrights are respected. The principles of anti-plagiarism and the principle of joint ownership of data obtained in cooperation are respected. - Insufficient guidance and training on issues. - There is no central data repository with defined rights –entry and usage conditions.	Regulations: - Copyright Act (No. 185/2015 Coll.) - Code of Ethics of SAS Proposals: - To include professional responsibility issues in the New Employee Welcome Information Package - To investigate the possibilities of forming a central data storage for SAS Institutes - To support actively the forming of a national repository, eventually institutional repository.

Status

4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		Implemented activities: - SAS Institutes have developed and published action plans / strategic objectives that have been adopted through standard procedures and are published on their websites. - Awareness takes place within SAS Institutes at all levels. External awareness is governed by the rules of funding organizations.

5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	English translations of current Slovak legislation are not available. The majority of organizational regulations is available also only in Slovak language. There is no internal regulation on intellectual property protection.	Reporting outwards, for example towards funding organizations is governed by rules of these organizations. Proposals: - To provide translation of the necessary regulations, documents and forms into English language and make them available to individual SAS Institutes for customization according to their current needs. Provide update of translations. - Projects' Support Center particularly for international / European projects.

6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- There is no online applications for project administration and finance management - There is no guide on effective project finance management - Public procurement rules for science and research organizations are too complicated	Regulations: - Act on Archives and Registries (No. 395/2002 Coll) - Act on Accounting (Act No. 431/2002 Coll.) - Act on Budgetary Rules of Public Administration (Act No. 523/2004 Coll.) - Financial Control and Audit Act (ref. 357/2015 Coll) - Act on Public Procurement (Act No. 343/2015 Coll.) - Registry manual of the Slovak Academy of Sciences Proposals: - To evaluate the possibilities to create for responsible researchers online applications to fill in the necessary documents and access to financial management of projects. - To discuss the easing of rules in Public procurement for science and research organizations. - Projects' effective financial management guide

Status

7. Good practice in research

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

+/- almost but not fully i...

There is no strategy and internal regulation for secure data backup, in most events backup of data and its form depends on decision of individual employees.

Regulations: - Regulation of the European Parliament and of the Council(EU) 2016/679 on Personal Data Protection (GDPR) - Personal Data Protection Act (Ref. 18/2018 Coll.) Implemented activities: - Employees are regularly trained in Safety and Health at work and Fire prevention regulations. Proposals: - To develop and adopt a strategy and internal regulation on secure data backup.

8. Dissemination, exploitation of results

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

+/- almost but not fully i...

- The results are most often published in the form of publications, monographs, papers etc. Gradual transition to Open Access publishing magazines. - Not always provided information on the possibilities of commercial exploitation of research results and IPR.

Proposals: - Provide regular information about opportunities and news in Open Access. - National / Institutional Repository Activities. - Support of popularization activities. - Information on the possibilities of commercial exploitation of the research results.

9. Public engagement

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

+/- almost but not fully i...

Activities with direct involvement of the public, where public could express their concerns related to the current research, or their proposals on research topics and priorities, are performed to a small extent only.

At present, SAS and its Institutes participate in a large number of activities and events with possibility to present their research results to the general public. Proposals: - To prepare the concept of activities with direct public involvement - To support information and popularization activities.

Status

10. Non discrimination

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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+/- almost but not fully i...	- It may be complicated to involve foreign nationals in processes within SAS Institutes, as most documents exist only in the Slovak language. - Lower level of knowledge of the English language among technical and administrative staff.	Proposals: - To translate necessary regulations, documents and forms into English. - To provide language lessons for technical and administrative staff.

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- Most SAS Institutes have a system of regular evaluation of researchers, including PhD students. - Evaluation criteria take into consideration most aspects of research work and other activities. - The procedure of the institutes is not unified - some proceed on the basis of a prescribed internal regulation, some on the basis of rules approved by the Scientific Council of the SAS Institute, in others a team leader decides. - Remuneration options are inadequate. - Act on Remuneration of certain employees during performance of work in public interest (Act No. 553/2003 Coll.)	Proposals: - To unify the procedures for evaluating researchers. - To prepare a guide of recommendations for the evaluation of researchers.

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
-/+ partially implemented	- Recruitment rules are not unified and are not always clear. - Compulsory trainings are provided, instruction on rights and obligations usually takes place on an individual basis.	Proposals: - To publish a new SAS employee recruiting procedure on the SAS website, including his/her rights and duties. Unification of such procedures. - To include the necessary documents in the new employee welcome package.

Status

13. Recruitment (Code)

Implementation

+/- partially implemented

GAP / Implementation impediments

- The procedures are in most cases not formalized and unified. Job vacancies, if advertised, mostly on the Institute's website, other portals are rarely used. - The description within the advertisements does not meet the requirements of the Code.

Initiatives undertaken/new proposals

Proposals: - To unify and centralize recruitment procedures for researchers. - To prepare an open, transparent and merit-based recruitment process (OTM-R).

14. Selection (Code)

Implementation

+/- almost but not fully i...

GAP / Implementation impediments

- Due to different sizes of SAS Institutes, processes are formalized and comply to the requirements of the Code to a varying extent. - External experts are not recruited for selection committees. - There is no formal training of selection committees' members. - A small number of job seekers replying to SAS advertisements.

Initiatives undertaken/new proposals

Majority of applicants is selected on the basis of a personal interview with the selection committee. Committee most often consists of the Institute's management representative, representative of the Scientific Council, the head of the department, and / or other members of the research team. Proposals: - To elaborate a procedure of Open, transparent and merit-based recruitment process (OTM-R). - To develop recommendations to avoid conflicts of interest within the process of staff selection.

15. Transparency (Code)

Implementation

+/- almost but not fully i...

GAP / Implementation impediments

- Employees are usually informed about career development opportunities only when they are recruited. - In most cases, applicants are not aware of the strengths and weaknesses of their applications.

Initiatives undertaken/new proposals

Proposals: - To develop career plans for each type of advertised posts - To publish career development plans.

16. Judging merit (Code)

Implementation

+/- almost but not fully i...

GAP / Implementation impediments

The procedure is not formalized, it depends on the selection committee members' experience.

Initiatives undertaken/new proposals

Applicants are judged comprehensively, taking into account qualitative criteria, potential and personality qualities. Proposals: - OTM-R training for selection committees members; preparation of a guide.

Status

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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- The procedure is not formalized, it depends on the members of the selection committee.	Career breaks, including previous work experience outside research is not considered negative. Proposals: - OTM-R training for selection committee members and heads of departments/team leaders, or preparation of a guide.

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		Applicants' mobility is assessed in the context of other qualifications. It is positively assessed as a scientific work boosting element.

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- Informing on international qualifications is not sufficient. Act no. 422/2015 Coll. Recognition of education certificates and the recognition of professional qualifications - Reward system is governed by Act no. 553/2003 Coll. on the remuneration of certain employees for the work in the public interest performance.	Proposals: - To increase informing on international qualifications: eg. www.enic-naric.net

20. Seniority (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		The principle is fully implemented in practice.

Status

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	- Slovak legislation does not regulate the postdoctoral position. - Internal recruiting procedures of post-doctoral students are not unified.	Proposals: - To regulate internally the status of graduated PhD students and the procedures of their recruiting.

Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		This principle is fully implemented in practice.

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- In most SAS Institutes, infrastructure and instrumentation are of a high standard (mainly provided by European Union funds); problematic is its maintenance and sustainability. - Public Procurement Act (Ref. 343/2015 Coll)	Compliance with Health and safety regulations is ensured, staff is regularly trained. Proposals: - To propose the principles of efficient management of funded infrastructure. - To ensure the exchange of best practices in this field between individual SAS Institutes. - To discuss easing rules in Public Procurement for Scientific and research organizations.

Status

24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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++ fully implemented

SAS Institutes use legal options for regulations of working conditions to meet employees' requirements - flexible working hours, part-time jobs, home-office, work outside the workplace, parental leave for both parents etc. Proposals: - To examine the possibilities of set up a day center / kindergarten for children of SAS employees - To elaborate a barrier-free analysis of the individual SAS buildings and propose possible solutions.

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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++ fully implemented

The rules for concluding employment contracts are clearly set out in the SAS Institutes and employees are informed about the rules. Regulations: - Labor Code (Act No. 311/2001 Coll.) - Act on the Slovak Academy of Sciences (Act No. 133/2002 Coll.)

26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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-/+ partially implemented

- SAS Institutes are limited by the amount of allocated funds, which are generally low in the Slovak Republic for science and research. Possibilities of employee bonuses in the form of personal bonuses and rewards are limited. - PhD students receive scholarships (they do not receive a wage), so they do not pay social security contributions and therefore lack its benefits. - In some SAS Institutes, the employee's meal allowance is below the statutory amount. Wage conditions are regulated by Act no. 553/2003 Coll. on the remuneration of certain employees in the performance of their work in the public interest.

Full social security is provided to employees in accordance with applicable legislation. Proposals: - To initiate a discussion on changing salary settings in science and research on all employee levels. - To initiate a discussion on the status of PhD students. - To find options / resources for an employee meal allowance.

Status

27. Gender balance

Implementation

+/- almost but not fully i...

GAP / Implementation impediments

There is insufficient representation of women in management and decision-making bodies.

Initiatives undertaken/new proposals

The gender ratio in SAS Institutes is given by the interest of men / women in a particular field of science, or research work. Proposals: - To look for possibilities how to increase women's representation in management and decision-making bodies.

28. Career development

Implementation

-/+ partially implemented

GAP / Implementation impediments

- SAS Institutes do not have elaborated career development strategy for researchers. - Career counseling is implemented mainly at informal level in the form of tutoring / mentoring.

Initiatives undertaken/new proposals

Proposals : - To elaborate and develop a career development strategy for individual employee groups and provide strategy dissemination. - To provide centrally trainings in this field. - To adopt an internal regulation, eventually a recommendation document in accordance with the Decree of the Czechoslovak Academy of Sciences no. 55/1977 Coll. on further improving of qualifications and assessing the creative capacity of scientists, or to draft an amendment to this Decree.

29. Value of mobility

Implementation

+/- almost but not fully i...

GAP / Implementation impediments

- Most SAS Institutes do not have a strategy in place to promote mobility and networking across countries, sectors, etc. - Low awareness on portability of social security contributions.

Initiatives undertaken/new proposals

SAS Institutes recognize and support the value of different types of mobility. In most cases, it is also taken into consideration when evaluating employees. Proposals: - To develop a strategy to support and take into consideration mobility and networking. - To provide information on the principles of social security contributions in other countries and their portability.

Status

30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
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-/+ partially implemented	- SAS Institutes do not provide advice in the career development field. - Career development information is provided ad hoc, mostly by head of departments or heads of research teams.	Proposals: - To develop a career development strategy and mentoring scheme. - Trainings in this field for heads of departments/research teams.

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Most SAS Institutes do not have an internal regulation on intellectual property rights. There is absence of trainings in this area.	SAS Institutes are governed by the applicable legislation, in particular by the Copyright Act. If necessary, they address the Technology Transfer Office, the Center for Scientific and Technical Information of the Slovak Republic. Regulations: - Copyright Act (No. 185/2015 Coll.) Proposals: - To adopt an internal regulation on intellectual property rights. - Regular training in this field.

32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Official procedures or strategies are not elaborated.	Co-authorship is perceived positively, the basic principles are listed in the SAS Code of Ethics. Proposals: - To include general information on co-authorship and its principles in the new employee welcome information pack. - To inform existing employees as well.

Status

33. Teaching

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

+/- almost but not fully i...

- SAS is a non-teaching organization, employees are employed as researchers, teaching is not required. - Only some SAS Institutes take into consideration teaching in the annual staff assessment. - Remuneration is to be provided by the organization, where the teaching takes place. - Training related to teaching is not provided.

Many SAS employees teach at universities and colleges, train PhD students. SAS Institutes support them in these activities. Proposals: - To examine the possibilities of SAS framework contracts with relevant universities to engage SAS staff in teaching. - Possibilities of taking teaching into consideration within the annual staff assessment.

34. Complains/ appeals

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

-/+ partially implemented

In most SAS Institutes the procedures for examining suggestions, complaints or appeals are not formalized and governed by internal regulations.

- The procedures are governed by the general law regulations. - Trade union organizations are often also active in examining complaints or complaints. - Some SAS Institutes have a mailbox where employees can directly insert suggestions. Proposals: - To formalize procedures for examining suggestions, complaints and appeals by adopting internal regulations.

35. Participation in decision-making bodies

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

++ fully implemented

Employees are enabled and supported to represent and participate in relevant information, counseling and decision-making bodies of the institutions.

Training and Development

Status

36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		Teams meet regularly, and individual members report on the progress of the work, achieved results, etc. These procedures and relationships with research project leaders are not formalized. There is good practice in this field. Proposals: - To consider developing a Code of Conduct for project leaders and project collaborators.

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- Official mentoring schemes are not developed and implemented. - Trainings in this field are not provided.	Proposals: - To develop a mentoring scheme. - Management training for head of departments. - Networking activities to discuss the problems, suggestions.

38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Procedures are not formalized, individual approach prevails.	- Employers create a space for professional development and education of employees. - The organization of seminars, lectures and participation in conferences is common. - Young researchers are supported in update and improvement of their qualifications. Proposals: - Activities to share best practices between SAS Institutes. - Analysis of appropriate online training platforms.

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	- Training is mostly provided upon initiatives of individual employees. SAS Institutes support employees in these activities. - Limited resources do not allow forming of financial reserves for active support of access to training.	Proposals: - Management Skills Training Scheme.

Status

40. Supervision

Implementation

GAP / Implementation impediments

Initiatives undertaken/new proposals

+/- almost but not fully i...

There is no person clearly identified, given activities are mostly performed by the PhD student supervisor.

These persons are mostly PhD students' scientific supervisors. Proposals: - To address given aspects within the PhD study quality evaluation system. - Management trainings for team leaders/heads of departments.