

HR Excellence in Research

GAP Analysis (Charter and Code Checklist)

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Case number

2023SK83640

Name Organisation under review

KInIT

Organisation's contact details

Mlynske Nivy 5, Bratislava, Slovakia, 81109, Slovakia

Date endorsement charter and code

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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 or new proposals that could remedy the current situation. In order to help 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

Status

1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	The principle is fully implemented. Researchers enjoy unrestricted autonomy and freedom in their research endeavors, bounded solely by objectives, content, and financial constraints of research projects. 96,7% of the surveyed researchers agree that they have freedom of thought and expression in their research, of which 76,7 % strongly agree.	Initiatives undertaken: Research autonomy and freedom are upheld at a sufficient level in accordance with the principles outlined in the Charter and Code. Simultaneously, the exercise of research freedom is directed by the strategic objectives of the Institute and is limited by objectives, content, and financial constraints of research projects.

2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Researchers adhere to the fundamental ethical principles of research. 90% of the surveyed researchers strongly agree that adherence to ethical principles is important in research and 100 % either strongly agree or agree that ethical standards are followed within the Institute. However, KInIT does not have an internal, formalised Code of Conduct and Code of Research Ethics. KInIT also does not have an Ethical Committee.	Initiatives undertaken: Research at KInIT is guided by general ethical principles that are set out in THE EUROPEAN CODE OF CONDUCT FOR RESEARCH INTEGRITY and ethical dimensions of the research are an integral part of the evaluation of research project proposals. New proposals: Establish a formalized, internal Code of Ethics and Code of Conduct. Establish an Ethical Committee and formalize a complaints system in relation to ethical violations. Raise awareness in the field of research ethics via workshops, trainings

Status**3. Professional responsibility**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Insufficient knowledge about intellectual property rights. Only 50 % of the surveyed researchers agree that they have sufficient knowledge about intellectual property rights, of which only 6,7 % strongly agree. 20% of the surveyed researchers either disagree or strongly disagree. However, 100 % either strongly disagree or disagree that they have witnessed plagiarism within the Institute.	Initiatives undertaken: The principle of anti-plagiarism is respected in the Institute. This is ensured by the Research director. Intellectual property rights clauses are included in employment and supplier contracts. New proposals: Development of a comprehensive onboarding guide for researchers that will include thorough information about intellectual property rights

4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Researchers are familiar with strategic goals and overall mission of KInIT. 86,6 % of the surveyed researchers agree that they are familiar with strategic goals and overall mission and 90 % agree that they help achieve these goals.	Initiatives undertaken: KInIT holds a regular all-staff meeting biweekly, where all projects and future plans are discussed. Strategic goals are set on an annual basis at the management level and are further adapted to individual researchers. Individual researchers have planning and evaluation sessions with their supervisors on an annual basis and they have regular one-on-one meetings on a monthly basis.

Status**5. Contractual and legal obligations**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Researchers are aware of their contractual and legal obligations towards KInIT and project partners. 90% of the surveyed researchers strongly agree or agree that they are aware of their responsibilities and legal obligations towards KInIT and 86,7% of them strongly agree or agree that they are aware of their responsibilities and legal obligations towards all project partners. However, there is insufficient knowledge about Intellectual Property Rights as mentioned in the GAP "Professional responsibility".</p>	<p>Initiatives undertaken: Intellectual property rights clauses are included in employment and supplier contracts. Intellectual property protection is governed by national and european legislation. New proposals: Development of a comprehensive onboarding guide for researchers that will include thorough information about intellectual property rights and legal aspects of the research. Employees' awareness in the field of intellectual property rights and protection will be assured via workshops and trainings</p>

Status

6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Research projects are financed from both public and private resources. Researchers bear the primary responsibility for the comprehensive preparation of project requirements, which include various aspects from the formulation of content (such as goals, objectives and activities) to the careful structuring of budget allocations and timelines necessary to realize the project objectives and individual tasks within them. In most projects, researchers work in a project consortium with other international partners. The Project Office is responsible for the monitoring of the received funds. However, there is no clear, formalized division of tasks between researchers and the Projects Office in projects.</p>	<p>Initiatives undertaken: Researchers are aware of the rules of sound, transparent and efficient financial management of the projects. The transparency in the project management is further ensured by the presence in project consortia with international partners. New proposals: Elaboration of a clear division of tasks between the project office and researchers in terms of financial management of projects - preparation of a methodology for project management</p>

Status**7. Good practice in research**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Researchers are not sufficiently acquainted with the national legal requirements regarding data protection. Only 63,4% strongly agree or agree that they are familiar with these national requirements. 96,7 % of the surveyed researchers strongly agree or agree that safe working practices are followed in the Institute.</p>	<p>Initiatives undertaken: All researchers are provided with a training regarding the Regulation (EU) 2016/679 (General Data Protection Regulation). KInIT has the internal directive no. 2/2020: Personal Data Protection Directive, Technical, Security and Organisational Measures which sets out the basic rules for the processing of personal data. KInIT has an occupational health and safety plan.</p> <p>New proposals: Establish necessary precautions in case of IT disasters and attacks - elaboration of a methodology. Elaboration of a comprehensive onboarding guide for researchers that will include thorough information about data protection.</p>

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>Research results are regularly published not only in professional publications, but also on the Institute's website, social networks and at various conferences. 83,3% of the surveyed researchers feel that when the results of their research are exploited, they are beneficial for the society. 76,6% of the surveyed researchers feel that the results of their research are sufficiently disseminated and promoted.</p>	<p>Initiatives undertaken: KInIT maintains clear publication guidelines characterized by strict criteria that govern the quality standards of all publications. This is also ensured by the Research director. Kinit also publishes its articles/research results in Open Access. New proposals: More activities aimed at making the Institute's work more visible among the general public</p>

Status**9. Public engagement**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	73,4% of the surveyed researchers present the research results to the public and 70 % agree that the results are presented in a way that is understandable to the general public. 73,3 % of the surveyed researchers are involved in activities aimed at bringing AI closer to the general public. KInIT aims at increasing these numbers and increase the public visibility of the Institute's work.	Initiatives undertaken: KInIT has participated in a large number of activities that aimed at promotion of the research results in Slovakia, but also abroad e.g. Nigh of Chances IT (https://www.linkedin.com/posts/kempelen-institute-of-intelligent-technologies_zauj%C3%ADma-%C5%A5a-pr%C3%A1ca-v-it-stretni-sa-s-t%C3%BDmi-activity-7041372634315390976-MWlu/?originalSubdomain=sk) or Žijem vedu (https://www.linkedin.com/posts/kempelen-institute-of-intelligent-technologies_scientists-activity-7143625792122503168-6xF8?utm_source=share&utm_medium=member_desktop) New proposals: More activities aimed at making the Institute's work more visible among the general public through workshops, conferences etc. Elaboration of a strategic plan defining the approach to the dissemination of research results to the wider public.

Status**10. Non discrimination**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>KInIT is fully committed to non-discrimination. 96,6 % of the surveyed researchers disagree that they have witnessed in the workplace any kind of discrimination on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition, of which 93,3% strongly disagree. Commitment to non-discrimination requires a long-term effort and that's why it is necessary to regularly raise awareness about non-discrimination principles through trainings. However, most of the documents that are relevant for researchers are still only in the Slovak language even though the share of foreign researchers is increasing. The bilingual environment is not fully implemented.</p>	<p>Initiatives undertaken: Gender Equality Plan 2021-2025. All-Institute training on inclusion on September 6, 2023. New proposals: Elaboration of a new Gender Equality Plan for the period 2025-2030. Translate all relevant documents for researchers to English and improve the bilingual environment in the office. Organize non-discrimination trainings on a regular basis.</p>

Status**11. Evaluation/ appraisal systems**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	<p>Researchers are evaluated based on their performance at least once a year. This process is regular and formalized. 70 % of the surveyed researchers agree that the assessment of professional performance is fair and transparent. 83,3% agree that the assessment is carried out on a regular basis and 73,3 % of respondents agree that the evaluation is carried out based on objective criteria. KInIT does not have an official, formalised remuneration policy which is reflected in relatively large number of researchers who chose "Undecided/Don't know" in the above mentioned statements.</p>	<p>New proposals: Formalization of the criteria for performance evaluation and remuneration at Kinit in the form of a comprehensive "Remuneration policy"</p>

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.

Status**12. Recruitment**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	80 % of the surveyed researchers agree that the admissions standards are clear. KInIT does not have a formalized recruitment policy.	New proposal: New proposals are further specified in the OTM-R policy. Elaboration of an official recruitment policy in accordance with the OTM-R principles. Conducting training sessions for HR personnel focused on enhancing expertise in recruitment and selection aligned with the OTM-R standards. Review and refinement of the criteria and procedures governing the recruitment process of researchers. Publication of recruitment (OTM-R) policy in English on the Kinit website

13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Job advertisements are in accordance with the standards outlined in the Code and provide candidates with sufficient information about the positions offered. 70 % of the surveyed researchers agree that the admissions conditions are comparable to institutions abroad, but 26,7 % are "Undecided/Don't know". 80 % of the surveyed researchers agree that the positions offered are advertised clearly enough. There is a need to formalize recruitment practices and procedures. The gap is further elaborated in the OTM-R analysis.	Initiatives undertaken: All positions are generally advertised in English. New proposals: Elaborated in the OTM-R analysis. Creation of an official recruitment policy. Revision of the criteria and procedures for the recruitment of researchers.

Status**14. Selection (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Employees involved in the selection process bring diverse expertise, competences and life experiences. Candidates are evaluated holistically, not only by the HR department, but also by their prospective teamleader and CEO of the Institute. 90 % of the surveyed researchers either strongly agree or agree that the selection process has sufficient diversity when it comes expertise, gender, experience etc. and 83,4 % of the surveyed researchers think that they were assessed holistically during the selection process, taking into account not only academic experience but also their whole background.	New proposals: Revision of guidelines for the recruitment and selection of researchers. Conducting training sessions for HR personnel focused on enhancing expertise in recruitment and selection in accordance with the OTM-R standards.

15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Candidates are informed about the stages of the recruitment process during the first interview. However, advertisements do not include career development opportunities and candidates are provided with this information only if they request it during the selection process.	New proposals: Include information about career development opportunities in advertisements and/or during the selection process

Status**16. Judging merit (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Candidates are assessed holistically at various stages of the recruitment process. They are assessed by HR personnel, teamleaders or senior researchers as well as by the CEO. During the selection process, candidates are asked questions regarding not only their academic and professional background, but also motivation, soft skills and non-job-related experience. 83,4 % of the surveyed researchers think that they were assessed holistically during the selection process, taking into account not only academic experience but also their whole background.	

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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Career breaks or variations in the chronological order of CVs are not penalized during the selection process. However, the principle is not formalized.	New proposals: Formalisation of the principle in the recruitment policy

Status**18. Recognition of mobility experience (Code)**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	90% of the surveyed researchers strongly agree or agree that academic or work mobility experience is valued within the Institute. Recognition of mobility experience is not formalised.	New proposals: Formalisation of the recognition of mobility experience within the remuneration and recruitment policy

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Employees involved in the selection process bring diverse expertise, competencies, and life experiences. Candidates are evaluated holistically by the HR department, their prospective team leader, and the CEO. Among surveyed researchers, 90% agree that the selection process is diverse in terms of expertise, gender, and experience, and 83.4% feel they were assessed holistically, considering their full background, not just academic achievements. The recognition of qualifications is not formalised.	New proposals: Formalisation of the recognition of qualifications within the remuneration and recruitment policy

Status

20. Seniority (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	There is no discrimination based on seniority. Points included in this principle are not clearly specified in our selection process.	New proposals: Formalisation in the recruitment policy (OTM-R policy)

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-- insufficiently impleme...	There are no clear rules for the recruitment and appointment of postdoctoral researchers. KInIT currently has no postdoctoral researchers, but is open to postdoctoral positions in the future.	New proposals: Create clear rules and guidelines for the recruitment and appointment of postdoctoral researchers including guidelines for their professional development opportunities

Working Conditions and Social Security

Status**22. Recognition of the profession**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		Initiatives undertaken: Recognition of the profession is formalized and is also ensured by national legislation. There is a clear internal regulation regarding the classification of all researchers based on their seniority. Requirements for different positions are clearly differentiated and adapted to the given position.

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Research environment is flexible and researchers are provided with necessary equipment. 86,7% of the surveyed researchers think that the research environment at KInIT is stimulating.	Initiatives undertaken: Compliance with health and safety regulations is ensured

Status**24. Working conditions**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Working conditions are flexible, researchers can work 3 days per week remotely. Kindergarten is available in the same building as KInIT offices. 93,3% of the surveyed researchers strongly agree or agree that they have appropriate flexibility in their work e.g. tele-working. 76,7 % of them agree that they have suitable working conditions for combining work and family life.	

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	KInIT follows national legislation in terms of employment contracts.	Initiatives undertaken: In this area, KInIT adheres to the regulations outlined in the Labor Code.

Status**26. Funding and salaries**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Researchers enjoy fair and attractive conditions of funding and salaries with adequate and equitable social security provisions in accordance with national legislation. This principle will be formalised in the remuneration policy.	New proposals: Formalization of the principle in the remuneration policy

27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	KInIT is deeply committed to fostering gender equality. 83,4% of the surveyed researchers strongly agree or agree that KInIT has representative gender balance at all levels. 96,7 % agree that KInIT respects the principle of equal opportunity in relation to gender in its recruitment process and career growth. KInIT does not have a Gender Equality Committee.	Initiatives undertaken: Gender balance is ensured during the recruitment process. The HR department currently consists of three women and one man, while the team leaders include three men and one woman. The CEO of the institute is a woman. Throughout the recruitment and selection process, the candidate interacts with both male and female professionals. Internal regulation regarding gender equality is set out in the "Gender Equality Plan 2021-2025". KInIT organized an all-Institute training on inclusion on September 6, 2023. New proposals: Gender Equality Committee - advisory committee for implementation of new policy initiatives. Regular non-discrimination trainings within the Institute.

Status**28. Career development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	KInIT does not have formalized career development plans for all positions. Career development planning of individual researchers is ensured by their teamleaders with the assistance of HR department.	New proposals: Elaboration of career development plans for every position

29. Value of mobility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	90% of the surveyed researchers agree that academic or work experience is valued within KInIT, but only 50 % agree that they are provided with sufficient mobility options.	New proposals: Increase mobility options for researchers and include them in career development plans. Formalisation of the recognition of mobility experience within the remuneration and recruitment policy.

Status**30. Access to career advice**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Researchers are provided with career counselling by teamleaders and HR department during planning and evaluation sessions on an annual basis. Researchers can also ask for career advice during monthly one-to-one sessions with their teamleaders.	Initiatives undertaken: The principle is formalized in the internal regulations.

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Intellectual property rights clauses are included in employment and supplier contracts and are guided by national legislation.	New proposals: Elaboration of a comprehensive onboarding guide for researchers that will include thorough information about intellectual property rights with the objective to increase awareness among researchers. Rules on intellectual property protection and technology transfer will be translated to English.

Status**32. Co-authorship**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Co-authorship is viewed very positively at KInIT. 90% of the surveyed researchers strongly agree or agree that their right to be recognized, listed or quoted, in the context of their actual contributions, as co-authors of papers or to publish their own research results independently from their supervisor is sufficiently respected.	Initiatives undertaken: KInIT maintains clear publication guidelines in the area of co-authorship that are characterized by strict criteria that govern the quality standards of all publications. This is also ensured by the Research director. Most of the publications are group papers.

33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Researchers at KInIT do not have teaching duties. Senior researchers (teamleaders) devote time to the training of early-stage researchers.	Initiatives undertaken: Researchers regularly take part in workshops and conferences

Status**34. Complains/ appeals**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-- insufficiently impleme...	60% of the surveyed researchers think that KInIT applies sufficient and impartial procedures to deal with complaints/appeals of researchers, but 33,3% stated "Undecided/Don't know". KInIT does not have an impartial contact person (ombudsperson) or committee to deal with complaints/appeals.	Initiatives undertaken: Complaints and appeal procedures are currently governed by general legal regulations of the Slovak Republic. New proposals: Establish an impartial whistleblowing committee to deal with complaints/appeals and establish formal procedures. Reporting of complaints/appeals has to be handled anonymously.

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	76,7% of researchers think they are sufficiently represented in the decision-making bodies. Managers at KInIT are researchers and all decision-making bodies include researchers.	

Training and Development

Status**36. Relation with supervisors**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>Researchers in their early-career stage have a structured and regular relationship with their supervisor. Individual researchers have planning and evaluation sessions with their supervisors on an annual basis and they have regular one-on-one meetings on a monthly basis. 93,4 % of the surveyed researchers agree that they have established a structured and regular relationship with their supervisor.</p>	

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>Researchers in their early-career stage have a structured and regular relationship with their supervisor. 83,3 % of the surveyed researchers agree that have established a a constructive and positive relationship with senior researchers, teamleaders and supervisors.</p>	<p>New proposal: Continuous soft-skill trainings for teamleaders in the field of mentoring, career counseling etc.</p>

Status**38. Continuing Professional Development**

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	83,4 % of the surveyed researchers agree that they are provided with possibilities for continuing professional development via e.g. conferences, workshops	New proposal: Elaboration and formalization of career development plans for every position

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Early-career researchers maintain a structured and consistent relationship with their supervisors. Of those surveyed, 83.3% reported having a constructive and positive rapport with senior researchers, team leaders, and supervisors. A total of 83.4% of surveyed researchers agree that they are offered opportunities for ongoing professional development, such as attending conferences and workshops. Researchers at all stages of their careers are offered the possibility to participate at conferences, workshops and other training and development opportunities. The participation of the researchers at various opportunities is regularly shared on KInIT's social media, especially LinkedIn: https://www.linkedin.com/company/kempelen-institute-of-intelligent-technologies/mycompany/	New proposal: Elaboration and formalization of career development plans for every position

Status

40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	All researchers, at all stages of their career, have a direct supervisor. Early-career researchers have structured and regular relationship with their supervisors. Supervisors are always senior researchers. Additionally, all newly hired researchers are paired with a buddy who supports them during the onboarding process and helps them smoothly integrate into the institute.	