

Action Plan

Case number: 2018CZ350893

Name Organisation under review: National Institute of Mental Health

Organisation's contact details: Topolová 748, Klecany, Czech Republic, 250 67

1. Organisational Information

*Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	159,85
Of whom are international (i.e. foreign nationality) *	26,25
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	0
Of whom are women *	94,45
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	45,30
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	13,90
Of whom are stage R1 = in most organisations corresponding with doctoral level *	100,65
Total number of students (if relevant) *	71,05
Total number of staff (including management, administrative, teaching and research staff) *	366,10
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	9478043
Annual organisational direct government funding (designated for research)	677770

RESEARCH FUNDING (figures for most recent fiscal year)

€

Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	6498217
Annual funding from private, non-government sources, designated for research	2585

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

The National Institute of Mental Health has three major missions – 1) to carry out excellent research and development on the fields of Psychiatry and Medical Psychology, 2) to provide medical care for psychiatric patients and 3) to be a training base for medical students of the Third Faculty of Medicine at Charles University in Prague (Bc, Ms and PhD) and for other master's and PhD programmes (Psychology, Neurosciences, Biology, Sociology, Epidemiology, etc.), as well as to provide lifelong learning courses for psychiatrists and clinical psychologists for the whole Czech Republic. This corresponds to the organisational structure of the institute, where the three major divisions correspond to the three major missions:

1. Clinical Division

2. Department of Psychiatry and Medical Psychology 3rd Faculty of Medicine of Charles University Prague

3. Research Programmes

The fourth division (Business Administration) provides administrative and logistical support.

NIMH is led by a Director, who has three advisory bodies:

Supervisory Board

Scientific Board

Commercialisation Board

The Clinical Division is led by a Deputy Director for Clinical Research and consists of the following sections:

Outpatient Clinic

Inpatient Ward 1: Anxiety Disorders

Inpatient Ward 2: Mood Disorders

Inpatient Ward 3: Psychotic Disorders

Day Care Centre 1: Anxiety and Personality Disorders

Day Care Centre 2: Anxiety Disorders

Day Care Centre 3: Psychotic Disorders

Dept. of Cognitive Disorders

Neurophysiology and EEG

Department of Sleep Medicine

Neurostimulation

Neuroimaging Unit

Clinical Psychology

Physiotherapy

Occupational Therapy

Social Services

Specific Treatment Programmes

The Department of Psychiatry and Medical Psychology 3rd Faculty of Medicine of Charles University Prague is led by a Deputy Director for Education and provides the following teaching activities:

Undergraduate Studies

Postgraduate Studies

Clinical Specialisation

Continuous Medical Education

Seminars

Courses

The Division of Research Programmes (RP) is led by a Deputy Director for Science and Research and comprises these sections:

RP1 Experimental Neurobiology

RP2 Social Psychiatry

RP3 Applied Neurosciences and Brain Imaging

RP4 Epidemiological and Clinical Research in Addictions

RP5 Sleep Medicine and Chronobiology

RP6 Brain Electrophysiology

RP7 Diagnostics and Treatment of Mental Disorders

RP8 Centre for Transfer Technologies and Applied Research of NIMH

The supporting division of Business Administration is led by a Deputy Director of Finance and consists of the following departments:

Technology Transfer Department

HR Department

Financial Department

Facility Management Department

Grant Department (Project Office)

IT Department

Medical Library

2. Strengths and weaknesses of the current practice

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Note: Click on the name of each of the four thematic headings of the Charter and Code to open the editor and provide your answer.



Strengths and Weaknesses (max. 800 words)

STRENGTHS:

Based on the questionnaire, almost 90 % of the respondents clearly understand the basic **ethical principles** that are required to be followed. Furthermore, the questionnaire confirmed that more than 90 % of respondents are also aware of **research freedom, professional responsibility and attitude**.

NIMH places significant emphasis on **non-discrimination** on the grounds of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinions, social and economic conditions.

The organisation has a well-functioning PR Department that ensures a **public commitment**; i.e. the dissemination of results to the public through standard media.

WEAKNESSES:

The organisation lacks a **vision and strategy**, including clearly formulated long-term goals.

The NIMH does not have any Code of Ethics or Code of Good Research Practice in place that would formally describe all the **ethical and professional aspects** enshrined in the Charter and Code.

Consequently, the respondents of the questionnaire would welcome any Code of Good Research Practice, including a description of relevant aspects of research work, especially modern forms of **plagiarism, professional attitude, accountability, research integrity, dissemination and exploitation of results, including open access and security**.

Strengths and Weaknesses (max. 800 words)

STRENGTHS:

The structure of the **recruitment process** is being developed to achieve standardisation according to the requirements of the Charter and Code. The organisation also places an emphasis on the onboarding process, including the preparation of a brochure for new employees, materials for initial training and methodological instruction for onboarding.

All **job advertisements** are posted on the organisation's website, as well as on general web-based tools (www.jobs.cz) or websites for research professionals (www.researchjobs.cz).

WEAKNESSES:

The organisation does not have any **OTM-R policy** in place, which means that not all the employed internal procedures and documents follow all the requirements of the Code and Charter.

The posts are not usually published on **EURAXESS** or other international research portals (only in exceptional cases).

The organisation has no guidelines regarding the **evaluation of the recruitment** process. Consequently, no guidelines for selection committees to assist in the **judgement of 'merit'** are currently in place.

Strengths and Weaknesses (max. 800 words)

STRENGTHS:

The questionnaire showed that 91 % of researchers did not face discrimination in the past and 77 % believe that all employees in the same position are treated equally (i.e. **recognition of the profession** is part of the organisation's philosophy).

NIMH has a **good research environment** (modern premises, study rooms, laboratories, SW and HW facilities for research and access to research journals and databases) at their disposal.

The organisation allows its employees **flexible working conditions** for research (such as flexible working hours, home-office or part-time contracts) with respect to the particular post.

NIMH supports **mobility** and allows participation of their employees in international internships and conferences. Furthermore, the researchers are supported in **teaching**.

WEAKNESSES:

The organisation has no standardised system of individual performance **evaluation and personal development** planning for research staff. Consequently, NIMH lacks continuity between performance evaluation and subsequent **career development**, including allocation of **salaries** and other remuneration.

The area of **intellectual property** is only partially regulated by the management documentation within the organisation. However, the questionnaire has shown that knowledge of intellectual property differs among various researchers.

The organisation further lacks an "ombudsman" institute, i.e. an independent person who would be in charge of reviewing **complaints**, including disputes between supervisors and researchers.

The researchers have only limited opportunities to engage in the **decision-making bodies** of the organisation (formally through an internal Labour Union and a Director's Advisory Council)

Strengths and Weaknesses (max. 800 words)

STRENGTHS:

All NIMH research staff are allowed access to **further education**. The educational activities are organised at the level of each research programme and according to the needs of individual employees. Both internal and external education is used.

WEAKNESSES:

As outlined above, NIMH has no standardised system of performance **evaluation and personal development** planning for research staff. Consequently, NIMH lacks continuity between performance evaluation and subsequent **career development**.

Supervisors are not systematically assigned to researchers. This role is usually performed by their managers or heads of research programmes; nevertheless, their rights and obligations are not formalised.

3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s):

<http://www.nudz.cz/en/hrs4r-hr-award-project/hrs4r-hr-award-projec>

Please fill in the list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise, but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings.

Proposed ACTIONS

Proposed ACTIONS

Action 1

To propose and implement individual training plans for individual employees based on their existing experience, education and the standard for their position. Mobility will be integrated into training plans of individual researchers according to individual needs and possibilities. Individual training plans will also include training in intellectual property protection. Educational plans will be designed and implemented; adherence to them and regular evaluation will be ensured.

GAP Principle(s)

(+/-) 23. Research environment

(--) 28. Career development

(+/-) 29. Value of mobility

(-/+) 31. Intellectual Property Rights

(-/+) 38. Continuing Professional Development

(-/+) 39. Access to research training and continuous development

Timing (at least by year's quarter/semester)

2Q/2020 - Pilot testing
1Q/2021 – ½ of employees
1Q/2022 - all employees

Responsible

Unit

Indicator(s) / Target(s)

HR
Department

2Q/2020: At least one individual training plan for each job position
1Q/2021: individual training plan for ½ of employees
1Q/2022: individual training plan for all employees

Proposed ACTIONS

Action 2

To provide funding for employee training

GAP Principle(s)

(+/-) 23. Research environment

(--) 28. Career development

(-/+) 38. Continuing Professional Development

(-/+) 39. Access to research training and continuous development

Timing (at least by year's quarter/semester)

2Q/2020 2Q/2021

2Q/2022

Responsible

Unit

Indicator(s) / Target(s)

Deputy
Director of
Finance

Annual budgets 2020, 2021 and 2022 with separate item for employee training.

Proposed ACTIONS

Action 3

To propose and declare The Career Regulations which will: • contain regulation of human resources management, including professional development of individuals that comprises the necessary training, courses, certifications, etc. • allow participation in national and international internships and conferences.

GAP Principle(s)

(--) 28. Career development

(+/-) 29. Value of mobility

(-/+) 38. Continuing Professional Development

(-/+) 39. Access to research training and continuous development

Timing (at least by year's quarter/semester)

3Q/2020

Responsible

Unit

Indicator(s) / Target(s)

HR
Department

The Career Regulations are promulgated and posted at the web pages of NIMH in 3Q/2020. Knowledge of Career Regulation will be tested during evaluation interviews (1Q/2021 - ½ of employees will be tested; 1Q/2022 - full evaluation will be done). The target is that majority of employees is familiar with the Career Regulations.

Action 4

To propose and declare The Code of Ethics which will contain: • respect for freedom of thought, periodically signed by employees • basic ethical principles of research, periodically signed by employees, • principles of intellectual property, periodically signed by employees • responsibility toward employers and other entities • basic ethical principles of cooperation between researchers, periodically signed by employees • unification of approaches to dealing with researchers regardless of achieved experience (i.e. "every voice is heard the same").

GAP Principle(s)

Timing (at least by year's quarter/semester)

Proposed ACTIONS

GAP Principle(s)		Timing (at least by year's quarter/semester)
(+/-) 1. Research freedom		
(+/-) 2. Ethical principles		
(+/-) 3. Professional responsibility		
(+/-) 6. Accountability		2Q/2019
(+/-) 10. Non discrimination		
(+/-) 22. Recognition of the profession		
Responsible		
Unit	Indicator(s) / Target(s)	
Working Group (Deputy Director of Finance)	The Code of Ethics is promulgated and posted on the web pages of NIMH in 2Q/2019.	

Proposed ACTIONS

Action 5

To implement wage regulations stabilisation based on the salary benchmark level (gradual elimination of the project/grant base as the predominant source of funding)

GAP Principle(s)

(-/+) 26. Funding and salaries

Timing (at least by year's quarter/semester)

4Q/2020 4Q/2021
4Q/2022

Responsible

Unit

Indicator(s) / Target(s)

Financial
Department
(Deputy
Director of
Finance)

Contribution of project base funding for the whole NIMH will decrease each year by about 3%.

Action 6

To create the vision and strategy of the organisation and regularly communicate it to employees. NIMH will allow researchers to participate in the creation of a strategy and other conceptual decisions, for example, as part of round tables, seminars, the intranet, NIMH Letter, commenting on prepared documents, etc.

GAP Principle(s)

(--) 4. Professional attitude

Timing (at least by year's quarter/semester)

3Q/2019 – analytical phase
1Q/2020 – proposal phase
3Q/2020 – discussion phase
1Q/2021 – completion and promulgation

Responsible

Unit

Indicator(s) / Target(s)

Working
group and
Board of
Directors

3Q/2019 – analytical documentation 1Q/2020 – strategy proposal
3Q/2020 – records from discussions 1Q/2021 – strategy is promulgated and posted on the web pages of NIMH

Proposed ACTIONS

Action 7

To propose and declare the document formalising the recruitment process, which will contain:

- determination of the individual phases of recruitment (including subsequent information of the results);
- definition of mandatory content of job advertisement, according to the individual positions of researchers;
- definition of where the advertisement will be published;
- determination of evaluation criteria;
- identification of barriers to disadvantaged persons and their subsequent elimination (achieving equal conditions);
- balance between the public/private sector and men/women as part of the selection of members of Selection Committees;
- possibility of analysis of the current situation and justification of possible non-standard facts;
- involvement of people with various experience in the employee selection process and Selection Committees;
- availability of a sample report describing/summarising the candidate's performance in the interview and the possibility of personally hearing the evaluation;
- the following candidate evaluation criteria:
 - overall experience of candidates/achieved results;
 - overall ability in the research field;
 - creativity;
 - degree of independence;
 - benefit for the strategy of the organisation.
- as part of the candidate evaluation: information about the importance of career breaks or changes in the chronological order of CVs (awareness and training of persons carrying out recruitment).
- as part of the candidate evaluation: information about the importance of mobility as part of the formalisation of the recruitment process (awareness of persons carrying out recruitment).
- as part of the candidate evaluation: evaluation procedures for academic and professional qualifications, including the informal qualifications of all researchers (gradual updating of rules and transparent communication).
- as part of the candidate evaluation: information on the importance of seniority in the formalisation of the recruitment process (awareness of persons carrying out recruitment).
- reflection of gender balance within individual positions (to the maximum extent permitted by local conditions).

GAP Principle(s)

- (-/+) 12. Recruitment
- (+/-) 13. Recruitment (Code)
- (-/+) 14. Selection (Code)
- (-/+) 15. Transparency (Code)
- (-/+) 16. Judging merit (Code)
- (-/+) 17. Variations in the chronological order of CVs (Code)
- (-/+) 18. Recognition of mobility experience (Code)
- (-/+) 19. Recognition of qualifications (Code)
- (-/+) 20. Seniority (Code)
- (-/+) 27. Gender balance

Timing (at least by year's quarter/semester)

1Q/2020 - 2Q/2020

Responsible

Unit

Indicator(s) / Target(s)

HR
Department

The document formalizing the recruitment process is promulgated and posted on the web pages of NIMH. A recruitment process will be monitored. The selection process will then be monitored for all candidates who were interviewed using internal questionnaires. The target is to reach 75% approval that the process was OTM-R.

Proposed ACTIONS

Action 8

To revise and declare The Employment Rules which will • explicitly enable flexible working hours, part-time work and sabbatical leave. • regulate work conditions, including contractual relationships and related obligations. Employment contracts will be standardised (determination of the length of a contract with regard to strategic direction). • provide adequate employee care where it is not possible to ensure job stability and permanence due to project funding, etc. (counselling for personal and professional development, job search assistance at all career levels). • enable participation in education in undergraduate or postgraduate studies. • enable the participation of researchers in decision-making bodies. • establish periodic meetings between researcher and supervisor, serving for the implementation of the development plan and the systematic assessment of the employee by the supervisor. For this purpose, a supervisor may also be a direct supervisor (head of a working group, head of a research programme). • enable professional consulting for employees and assist in finding employment at all career levels.

GAP Principle(s)

- (+/-) 24. Working conditions
- (+/-) 25. Stability and permanence of employment
- (+/-) 33. Teaching
- (-/+) 35. Participation in decision-making bodies
- (+/-) 37. Supervision and managerial duties
- (-/+) 38. Continuing Professional Development

Timing (at least by year's quarter/semester)

3Q/2019 – The Employment Rules without the standardised evaluation system

Responsible

Unit

Indicator(s) / Target(s)

HR
Department

The revised Employment Rules are promulgated and posted on the web pages of NIMH. The fact that employees are familiar with the Employment Rules will be tested during the adaptation process for new employees. All current employees will be verifiably familiarized with the Employment Rules during 4Q / 2019. Therefore all employees will be familiar with the Rules.

Proposed ACTIONS

Action 9

To propose and declare a standardised evaluation system - within the framework of the Employment Rules (scale, periodicity, relation to remuneration) which will contain: • Assessment of personal development as part of the periodic meetings between a researcher and a direct superior • Implementation of the evaluation of all the results achieved and of the activities carried out in connection with remuneration

GAP Principle(s)		Timing (at least by year's quarter/semester)
(-/+) 11. Evaluation/ appraisal systems		3Q/2019 – pilot testing 1Q/2021 – ½ of employees 1Q/2022 all employees
Responsible Unit	Indicator(s) / Target(s)	
Working Group	Employment Rules containing the standardised evaluation system is promulgated and posted on the web pages of NIMH 3Q/2019 – pilot testing is done - at least one employee from each department will be tested 1Q/2021 – ½ of employees were tested 1Q/2022 - full evaluation is done	

Action 10

GAP Principle(s)		Timing (at least by year's quarter/semester)
(--) 4. Professional attitude		
(-/+) 5. Contractual and legal obligations		
(+/-) 7. Good practice in research		4Q/2019 – Document 1Q/2020 - implementation
(-/+) 36. Relation with supervisors		
(-/+) 40. Supervision		
Responsible Unit	Indicator(s) / Target(s)	

Proposed ACTIONS

Action 10

To propose and declare the document standardising the adaptation process (covering the period from initial training for new staff until the end of the probationary period), which will:

- include familiarisation with research principles, the visions and strategies of the organisation, including identifying an individual's contribution. During the adaptive process of a researcher, all of the research programmes, the clinic and the financial and technical administration will also be presented
- include familiarisation with legislation relating in particular to research activities and other activities up to the end of the probationary period. Part of the public document will be a description of the processes in the organisation, with specification of the contacts for the persons responsible for each area. A description of the processes and contacts will be permanently available to all employees
- also include confidentiality and data protection, and this area will be covered by an internal regulation. The internal regulation and training will also cover prevention of the consequences of the misuse of information technology
- establish periodic meetings between researcher and supervisor, serving for the implementation of the development plan and the systematic assessment of the employee by the supervisor. For this purpose, a supervisor may also be a direct supervisor (head of a working group, head of a research programme)
- include initial training for new staff carried out by the Human Resources Unit (in collaboration with a specific professional workplace), that includes assignment of a supervisor whom researchers will be able to contact at the beginning of their careers with regard to performance issues. For this purpose, a supervisor may also be a direct supervisor (head of a working group, head of a research programme)

Responsible

Unit

Indicator(s) / Target(s)

HR

Department

4Q/2019 - The document standardising the adaptation process (covering the period from initial training for new staff until the end of the probationary period) is promulgated and posted on the web pages of NIMH 1Q/2020 – implementation of process is completed. After completing the adaptation process using internal questionnaires, all new employees will be asked about progress and satisfaction with process as such (beginning 3Q/2020). Survey results will be used for the improvement the adaptation process.

Proposed ACTIONS

Action 11

To create the “NIMH Ombudsman” institute, i.e. the “NIMH Ombudsman” will be an independent person who would be responsible for reviewing complaints or appeals of researchers, including disputes between supervisors and researchers

GAP Principle(s)

(-/+) 34. Complains/ appeals

Timing (at least by year's quarter/semester)

4Q/2020

Responsible Unit

Indicator(s) / Target(s)

Working Group and Director

The appointment of an Ombudsman by the NIMH Director in 4Q/2020. During the following years (2021 and beyond), the Ombudsman's activities will be monitored. The goal is that 90% of the Ombudsman's submissions are resolved.

Action 12

To propose and declare an internal document, which • will regulate the rights of researchers to be recognised and be cited and/or quoted in connection with their actual contribution as a co-author of a document, patent, etc., • anchor the periodic publication of research results (Internet, print, and periodicity). • contain practical procedures (including assistance to employees when keeping records and monitoring research outcomes) for periodic publication of research results

GAP Principle(s)

(+/-) 8. Dissemination, exploitation of results

(++) 9. Public engagement

(-/+) 32. Co-authorship

Timing (at least by year's quarter/semester)

2Q/2021

Responsible Unit

Indicator(s) / Target(s)

HR Department and Deputy Director for Science and Research

Internal document is promulgated and posted on the web pages of NIMH in 2Q/2021. The internal document knowledge will be tested annually (beginning 3Q/2021) via a staff satisfaction survey. The target - 95 % of employees are familiar with document.

Proposed ACTIONS

Action 13

To revise and declare an internal regulation governing the commercialisation of research results

GAP Principle(s)

(-/+) 31. Intellectual Property Rights

Timing (at least by year's quarter/semester)

2Q/2020

Responsible**Unit****Indicator(s) / Target(s)**

Working Group

The revised document governing the commercialisation of research results is promulgated and posted on the web pages of NIMH in 2Q/2020. The internal regulation knowledge will be tested annually (beginning 3Q/2020) via a staff satisfaction survey. The target - 95 % of employees are familiar with regulation.

Action 14

To revise and declare an internal regulation governing the enforcement of intellectual property protection under NIMH conditions (for NIMH and employees)

GAP Principle(s)

(-/+) 31. Intellectual Property Rights

Timing (at least by year's quarter/semester)

3Q/2019

Responsible**Unit****Indicator(s) / Target(s)**

Working Group

The revised document governing the enforcement of intellectual property protection under NIMH conditions (for NIMH and employees) is promulgated and posted on the web pages of NIMH in 3Q/2019. The internal regulation knowledge will be tested annually (beginning 3Q / 2020) via a staff satisfaction survey. The target - 95 % of employees are familiar with regulation.

Proposed ACTIONS

Action 15

To create an Intellectual Property Adviser position within NIMH

GAP Principle(s)

(-/+) 31. Intellectual Property Rights

Timing (at least by
year's
quarter/semester)

3Q/2020

Responsible

Unit

Indicator(s) / Target(s)

HR
Department
and Director

The appointment of an Intellectual Property Adviser by NIMH Director in 3Q/2020.

Action 16

To create the strategy for the regular publication of all research outputs (according to the valid governmental standard "Definition of the Types of Results")

GAP Principle(s)

(+/-) 8. Dissemination, exploitation of results

Timing (at least by
year's
quarter/semester)

1Q/2021

Responsible

Unit

Indicator(s) / Target(s)

Working
Group and
Deputy
Director for
Science and
Research

The strategy for the regular publication of all research outputs (according to the valid governmental standard "Definition of the Types of Results") is promulgated and posted on the web pages of NIMH in 1Q/2021. The strategy will be tested annually (beginning 3Q/2021) via a staff satisfaction survey. The target - more than 70% of employees are satisfied with the strategy.

Proposed ACTIONS

Action 17

To create the communication strategy of the NIMH

GAP Principle(s)

(++) 9. Public engagement

Timing (at least by year's quarter/semester)

4Q/2019

Responsible Unit

Indicator(s) / Target(s)

Working Group

The communication strategy is promulgated and posted on the web pages of NIMH. The efficiency of the communication strategy will be tested annually (beginning 3Q/2020) via a staff satisfaction survey. The target - more than 50% of employees are satisfied with the strategy.

Action 18

To propose and declare an investment plan for the modernisation of laboratory equipment with the participation of researchers to develop this plan

GAP Principle(s)

(+/-) 23. Research environment

Timing (at least by year's quarter/semester)

4Q/2020

Responsible Unit

Indicator(s) / Target(s)

Working Group and Deputy Director for Science and Research

The investment plan for the modernisation of laboratory equipment, with the participation of R3 + R4 researchers to develop this plan, is promulgated and posted on the web pages of NIMH in 4Q/2020. Fulfilling of the investment plan will be tested annually (beginning 3Q/2021). The target - more than 60 % of R3 + R4 researchers will be involved in creating an investment plan.

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan. (max. 1000 words) *

As mentioned in the Gap Analysis (template 2) and in the OTM-R Checklist (template 3), NIMH is currently using some elements of OTM-R Policy – but not systematically and without proper documents and documentation. NIMH is committed to comply with the OTM-R policy and has therefore declared its intention to fully implemented all OTM-R principles and has adopted a document - General principles of OTM-R in NIMH (http://www.nudz.cz/files/pdf/OTM-R_policy.pdf). Details of specific steps, which are needed for fulfilling a general policy, will be described in a proposed and declared set of internal documents as part of OTM-R Policy implementation:

- Document formalising the recruitment process
- Document standardising the adaptation process
- The Code of Ethics
- The Employment Rules
- Standardised evaluation system – within the framework of The Employment Rules (scale, periodicity, relation to remuneration)
- The creation of the “NIMH Ombudsman” institute.

NIMH will develop (as a part of implementation of OTM-R Policy) its own Open, Transparent and Merit-Based Recruitment Toolkit, in which applicants should be able to find information on:

- organisation and recruiting unit
- job title, specifications and starting date
- researcher career profiles (R1-R4) with the respective 'required' and 'desirable' competencies • selection criteria (and possibly their respective 'weight'), including knowledge and professional experience (distinguishing the 'required' and 'desirable')
- number of available positions
- working conditions, workplace, entitlements (salary, other benefits, etc.), type of contract
- professional development opportunities
- career development prospects

It should also include:

- the application procedure and deadline, which should, as a general rule, be at least two months from the publication date and take account of holiday periods

- a reference to the institution's OTM-R Policy
- a reference to the institution's equal opportunities policy (e.g. positive discrimination, dual careers, etc.)
- contact details

The OTM-R toolkit also enables the passing on of all applicants' required information to NIMH

OTM-R toolkit will also contain the feedback applicant's questionnaire

The actions needed to fulfil the requirements of the OTM-R Checklist are identical to the actions needed to eliminate the gaps 4, 5, 7, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 27, 34, 36, 40.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL: <http://www.yoursite.com>

4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

Action plan for the implementation of the European Charter and Code for Researchers

The National Institute of Mental Health (NIMH) originated from the transformation of the Prague Psychiatric Centre on 1st January 2015. The establishment of a new modern centre oriented towards research and clinical care was made possible by a project financed by the Operational Programme Research and Development for Innovation. NIMH is intended to become a national reference institution in the field of mental health. During the process of transformation, a brand new building was constructed in the Klecany location near Prague. Tasks and goals were newly defined for the fulfilment of the three major NIMH missions (research and development, medical care and teaching). The organisation underwent rapid growth. The number of employees has increased from 148 (2013) to 501 (September 2018). The launch of research and innovation activities, teaching and clinical care in the new building was really challenging, in the light of a lack of support/administrative staff who did not increase in the correct proportion to the other personnel. That is the reason for some HR processes being carried out without the proper support of HR documentation and formal rules.

The Gap Analysis identified key findings in the areas in which the standards are not being sufficiently fulfilled:

- a) Absence of an organisational strategy
- b) Fragmentation, incompleteness and insufficient clarity of management documentation
- c) Discrepancy in the number of employees managed by the Senior Manager

- d) Insufficient standardisation and transparency of the recruitment process
- e) Inadequate standardisation of the adaptation process
- f) Education in the organisation is not centrally managed
- g) Inadequate standardisation in remuneration
- h) Access to professional advice is not formalised
- i) Absence of evaluation system
- j) Absence of an independent subject for dealing with complaints and disputes
- k) Absence of ethical code
- l) Low degree of process electronisation

Although some activities are performed in the organisation, there is a lack of proper written documentation (internal guidelines, rules and standards and documents certifying the fulfilment of tasks).

During discussions with members of The Revision Group, who are representative of the community of researchers (from R1 to R4), the documents were identified which are needed to be prepared and promulgated or substantially revised and the priorities were set up:

- Individual training plans for individual employees based on their existing experience, education and the standard for their position. Providing funding for employee training
- Career Regulations
- The Code of Ethics (that all employees would be familiarised with)
- Wage regulations' stabilisation (gradual elimination of the project/grant base as the predominant source of funding), based on the salary benchmark level; clearly set growth opportunities within the established career order / personal development plan
- Vision and strategy of the organisation, which is regularly communicated to employees. To allow researchers to participate in strategy development and other conceptual decisions, for example, as part of round tables, commenting on prepared documents, etc. (increase of belonging), for example, through info seminars, the intranet, NIMH NewsLetter
- Document formalising the recruitment process
- Document standardising the adaptation process
- The Employment Rules
- Standardised evaluation system – within the framework of The Employment Rules (scale, periodicity, relation to remuneration)
- The creation of the “NIMH Ombudsman” institute, i.e. an independent person who would be responsible for reviewing complaints or appeals of researchers, including disputes between seniors and researchers
- An internal document regulating the rights of researchers to be recognised and be cited and/or quoted in connection with their actual contribution as a co-author of a document, patent, etc.
- An internal regulation governing the commercialisation of research results - revision. An internal regulation governing the enforcement of intellectual property protection under NIMH conditions (for NIMH and employees). Availability of individual education plans, including training in intellectual property protection. Creation of an Intellectual Property Adviser position within NIMH.

Five top principles of the Code and Charter were also identified, with the actions that should be taken to fulfil them. The following are priorities from the point of view of researchers:

1. Wage regulations' stabilisation (gradual elimination of the project/grant base as the predominant source of funding) based on the salary benchmark level; clearly set growth opportunities within the established career order / personal development plan.
2. The existence of the vision and strategy of the organisation, which is regularly communicated to employees. Allowing researchers to participate in the creation of a strategy and other conceptual decisions, for example, as part of round tables, commenting on prepared papers, etc. (increasing belonging).
3. Establishment of a standardised evaluation system - within the framework of The Employment Rules (scale, periodicity, relation to remuneration): implementation of evaluation, including assessment of personal development as part of the periodic meetings between researcher and direct superior; implementation of the evaluation of all the results achieved and of the activities carried out in connection with remuneration.
4. Availability of individual training plans for individual employees, based on their existing experience, education and the standard for their position. Providing funding for employee training. Availability of Career Regulations regulating human resources management, including professional development of individuals that includes the necessary training, courses, certifications, etc.
5. The Employment Rules regulating work conditions, including contractual relationships and related obligations. Standardisation of employment contracts (determination of the length of a contract with regard to strategic direction). Provide adequate employee care where it is not possible to ensure job stability and permanence due to project funding, etc. (counselling for personal and professional development, job search assistance at all career levels).

Details are described above in Section 3 - Actions.

The HRS4R at the NIMH is part of the broader HR strategic project - "Development of Human Resources at the NIMH" - which is financed by Ministry of Education of the Czech Republic and co-financed by the European Union. This project ("ministerial project") is planned for five years – 2018 – 2022.

With regard to the Action Plan implementation period, we are planning implementing actions throughout the whole period, until 2022, i.e. not only for 2 years until the Interim Assessment, but also for the full 5 years.

Within the framework of the Action Plan, NIMH will concentrate mainly on the three areas which - following the GAP Analysis and the OTM-R Analysis Checklist – NIMH regards as the biggest conceptual gaps in compliance with the C&C:

1. 1. The introduction and promotion of elements of the OTM-R Policy (Document formalising the recruitment process, Document standardising the adaptation process, Career Regulations, The Code of Ethics, The Employment Rules, Standardised Evaluation System – within the framework of The Employment Rules (scale, periodicity, relation to remuneration), the creation of the "NIMH Ombudsman" institute;
2. The proposal and implementation of a standardised evaluation system;
3. The proposal and implementation of other internal regulations (The Code of Ethics, Intellectual Property Rules, etc.);
4. Individual training plans for individual employees based on their existing experience, education and the standard for their position and providing funding for employee training.

The implementation of HRS4R will be done through several stakeholder groups:

- The Core Working Group (core WG) consists of leading administrative staff (Deputy Director for Economy, HR Managers, Project Manager, Project Coordinators and Manager of International Office), which are focused on strategic issues from the point of view of the whole organisation and from the point of view of NIMH's HRS4R policy. The core WG prepares all documents and materials for discussion and provides administrative support for all HRS4R project activities.
- The implementation Working Group (implementation WG) ensures the presence of the R1 to R4 groups in the preparation of changes in the HR project implementation and at the same time includes representatives of the research community that will be primarily affected by the changes. Composition of implementation WG was created by researchers R1 to R4 nominated by heads of research programmes. Role of the implementation WG is to participate in the preparation of documentation by working in the editorial teams of individual documents and bringing practical knowledge from the work of the researcher to the documents. In consultation with other fellow researchers, implementation WG members suggest changes and improvements to the proposed documents to match OTM-R principles.
- The Revision Group (RG) - serves as a consultation group for upcoming changes/documents before the subsequently processed documents are submitted to the steering group through the core WG. At the same time, it serves as a "pool" of primary ideas for changes in HR Grant implementation and also as a "pool" for recruiting other members to a broader working group. RG is an inseparable part of the entire HRS4R implementation process and may be seen as a broader WG. RG has 42 members – 23 R1 researchers, 5 R2 researchers, 3 R3 researchers, 6 R4 researchers, 2 no research experts and 2 members of medical staff. RG makes comments on all materials, documents, addresses all issues related to research work.
- The Supervision Group (SG) plays the role of a committee for overseeing the HRS4R process – Steering Committee. SG (12 members) consist of the heads of research programmes, of members of the Board of Directors and of members of the organisation's top management. SG oversees the entire process and finally approves all documents and materials prepared by WG, as discussed and commented on by RG.

If materials are prepared that will affect all employees (e.g. The Code of Ethics, The Employment Rules, Career Regulations), they will be discussed with all NIMH employees. Most NIMH staff will also undergo training activities.

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Note: Click on each question of the checklist to open the editor.

How will the implementation committee and/or steering group regularly oversee progress?*



Detailed description and duly justification (max. 500 words)

The Supervision Group (SG) – Steering Committee – will hold regular meetings each month and when necessary. On a continuous basis, SG will receive all the proposed materials. Head of SG is simultaneously the guarantor of the whole HRS4R process and "ministerial project".

How do you intend to involve the research community, your main stakeholders, in the implementation process? *



Detailed description and duly justification (max. 500 words)

NIMH will communicate the HRS4R implementation process internally via the “NIMH Letter” (official newsletter) and intranet; final documents will subsequently be published on our website www.nudz.cz in Czech and English. There will be a regularly updated NIMH website dedicated to HRS4R. We expect the main feedback from members of the Revision Group. Info Days will also be held quarterly for all employees, at which core WG will present the project’s progress. If materials are prepared that will affect all employees, there will be a special meeting held with all employees. As mentioned above, members of the implementation WG - researchers R1 to R4 will participate as members of editorial boards directly in creating internal regulations.

How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation’s research strategy, as the overarching HR policy. *



Detailed description and duly justification (max. 500 words)

The mere fact that NIMH is seeking to obtain the HR Award demonstrates a clear commitment to include the principles of the Charter and Code (including the OTM-R Policy) in the NIMH human resources strategy. The requirement to align organisational policies to the HRS4R process is ensured through personal interconnection - The Head of SG is the Deputy Director of Finance (Head of Business Administration), who is simultaneously the guarantor of the HRS4R project. NIMH’s HR Managers are also members of the core Working Group.

The HRS4R project, which was approved by the Ministry of Education of the Czech Republic, has as one of the goals the task to create a new NIMH strategy and subsequently all strategies of the 2nd level, including the research strategy. All strategies will be created by the same stakeholders’ group (WR, RG, and SG) as for the HRS4R process.

How will you ensure that the proposed actions are implemented?*



Detailed description and duly justification (max. 500 words)

We will ensure that the proposed actions are implemented via the project governance:

Core WG (+ administrative support staff) will hold fortnightly operational meetings, at which a check on the fulfilment of actions will be made. Core WG will inform SG monthly on the implementation progress.

Progress in implementation will be continuously monitored and evaluated quarterly through the milestones' check. As the tool for observation of the progress we will use the timetable with the main milestones (rules, regulations and actions) within time frame:

see: [www.nudz/en/hrs4r-hr-award-project//timeline](http://www.nudz/en/hrs4r-hr-award-project/...../timeline)

How will you monitor progress (timeline)?*



Detailed description and duly justification (max. 500 words)

The Core Working Group is fully responsible for monitoring the progress of the Action Plan. Core WG and administrative support staff will hold fortnightly operational meetings at which a check on the fulfilment of actions will be made. A record will be made from each meeting. Moreover, the fulfilment of the HRS4R process is carried out within the HRS4R project, which was approved by the Ministry of Education of the Czech Republic. We have a duty to report every six months by a comprehensive monitoring report. Simultaneously, Core Working Group members are in contact with foreign research institutions, which have already obtained the HR Award several years ago, in order to gain feedback from these institutions on the NIMH's actions being prepared. As the tool for observation of the progress we will use the timetable with the main milestones (rules, regulations and actions) within time frame. See: [www.nudz/en/hrs4r-hr-award-project//timeline](http://www.nudz/en/hrs4r-hr-award-project/...../timeline).

How will you measure progress (indicators) in view of the next assessment?*



Detailed description and duly justification (max. 500 words)

Concerning the proposal and promulgation of internal rules and regulations, the result will be the document itself. Regarding actions where indicators are set numerically, the figures can be compared periodically. We are planning to conduct a survey among all employees after two years to compare the other (soft) goals. We will also monitor the fulfillment of promulgated regulations via internal surveys. The details are mention at the Indicators/Targets section of Action Plan above.

Additional remarks/comments about the proposed implementation process: (max. 1000 words)

First, we would like to emphasize that NIMH is not a university or Higher Education Institution, but it is a state organization under the authority of the Ministry of Health. Therefore, it does not have elected academic self-governing bodies; the NIMH is headed by a director appointed by the Ministry. Although NIMH is a training base for students of the third Medical Faculty of Charles University (CUNI), NIMH and CUNI are completely independent subjects with a completely different management structure. Also from the point of view of Czech law, it is necessary that NIMH and CUNI have their own internal regulations and rules. In addition, our young R1 researchers, who are mostly NIMH part-time employees, do not only study at the Third Faculty of Medicine of CUNI, but at other faculties and universities. At the same time, we have to say that we are in contact with universities and other organizations from the Czech Republic who are applying for the HR Award and that we share their experiences that can be applied in NIMH conditions.

As for HRS4R visibility:

The NIMH and HRS4R websites has been modified; link to HRS4R is visible in all browsers.

As for WG:

A detailed description of the composition and role of the entire WG is described in the Process Description form.

As for consultation:

Information on what was asked in the questionnaire, the number of participants and the exact findings were added to NUDZ Interviews and Questionnaire methodology Questionnaire in the HRS4R web page - section Project outputs. The totally exact career level of participants isn't known, because the questionnaire was anonymous. We know their highest educational achievement:

tertiary education – Bachelor

10 – R1

tertiary education - Master of Arts (Mgr.)	31 – R1
tertiary education - Master of Science (Ing.)	37 – R1
tertiary education - PhD	5 – R2 – R3
professors	2 - R4.

Information on the methodology used for the controlled interviews and on the methodology of questionnaire were added to the HRS4R web page in the section Project outputs too. Purpose of the in-depth interviews was to get thorough knowledge on processes and activities, relevant to the Charter and Code, carried out by the responsible NIMH employees –that was the criterion for selection of interviewers. The content of online questionnaire was added to the HRS4R web page in the section Project outputs. All NIMH researchers were asked to answer.

As for Action Plan:

We have modified the timetable for some individual actions, but major changes are not possible with regard to timetable of the project supported by the Ministry of Education of the Czech Republic. We strongly believe that the changed timetable is realistic and achievable.

As for role of researchers R1 to R4: We must reiterate that NIMH is a state research organization and therefore the only statutory representative of an organization with the right to approve and promulgate internal guidelines is the Director of NIMH. All other NIMH employees have a great opportunity to participate in drafting internal standards. In fact, the researchers' voice is very powerful, even though the NIMH Director holds formal powers. The influence of researchers on the creation of HR documents is ensured through implementation WG and RG.

As for Monitoring:

We remind that the task of designing, adopting and declaring some basic rules of HR and OTM-R is a very robust indicator for us. However, we have added some more detailed indicators in the Indicators/Targets section of the Action Plan. We assume, however, that we will innovate them according to employees' response to the adoption of the above-mentioned basic rules.