

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

### Ethical and Professional Aspects

#### 1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Provisional Academic Regulations Kaunas University of Technology approved by the decision of Senate of Kaunas University of Technology as of June 20 2012, No. V3-S-48; The Code of Academic Ethics approved by KTU Senate Resolution No. V3-S-1 of 25 January 2012; Strategy of Research and Experimental (Socio-Cultural) Development, and Innovations 2015–2020.	University guarantees research freedom for academic employees in terms of freedom of thought, word, world-view, and freedom of choice of methods of and approaches to, which corresponds with acknowledged ethical principles. Researchers are able to use their research freedom in accordance with ethical principles that are stated in the Code of Academic Ethics of Kaunas University of Technology. In order to avoid the constraints of research freedom for researchers University has developed Strategy of Research and Experimental (Socio-Cultural) Development, and Innovations 2015–2020 where strategic objectives, vision, principles, priorities and strategy implementation plan for the period 2015-2020 are formulated. Another initiative to ground the principles of research freedom were establishment of Research Groups that might be formed by the group of researchers devoted in order to conduct the international level scientific research on certain topics that contribute to the sustainable regional development and ensure that studies are research-based.

#### 2. Ethical principles

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully implemented	Identified gap - more clear procedure should be established for research ethical clearance at University. Institutional regulations: The Code of Academic Ethics approved by KTU Senate Resolution No. V3-S-1 of 25 January 2012.	Development of guidelines for researchers on how to deal with ethical questions and how to follow ethical procedures within the research project.  <b>Proposed action - Development of guidelines for researchers on ethical issues, indicating the procedure for research ethical clearance</b>

### 3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: The Code of Academic Ethics approved by KTU Senate Resolution No. V3-S-1 of 25 January 2012; Strategy of Research and Experimental (Socio-Cultural) Development, and Innovations 2015–2020	Principles of professional responsibility are grounded in The Code of Academic Ethics approved by KTU Senate Resolution No. V3-S-1 of 25 January 2012. University takes an action to be sure that the research developed by researchers at Kaunas University of technology is relevant to the society by setting the strategic research priorities and objectives that are detailed in Strategy of Research and Experimental (Socio-Cultural) Development, and Innovations 2015–2020. Furthermore, young researchers during their postgraduate studies and doctoral studies have modules on good research practice. Master thesis and PhD thesis once prepared are checked through plagiarism system in order to maintain academic integrity.

### 4. Professional attitude

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap identified	Researchers at Kaunas University of Technology are made familiar with aspect of professional attitude while commencing their employment with University. Every researcher at the beginning of his/her employment contract is given job description where functions, responsibilities related to the position are outlined.

## 5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Work Recording Regulations for Academic Employees at Kaunas University of Technology approved by Rectors Order No. A-429 of 2 July 2019; Regulation on Management of Kaunas University of Technology Intellectual Property as well as on Technology Transfer was approved by Rector's Order No. A-273 of 26 April 2019.	The main principles of the Labour Code of the Republic of Lithuania that are related to employment of researchers are outlined in the employment contract, job descriptions and safety instructions. Legal requirements of working conditions in terms of the working hours are presented in the Work Recording Regulations for Academic Employees at Kaunas University of Technology approved by Rectors Order No. A-429 of 2 July 2019. In order to familiarize researchers with obligations related to intellectual property rights the updated Regulation on Management of Kaunas University of Technology Intellectual Property as well as on Technology Transfer was approved by Rector's Order No. A-273 of 26 April 2019.

## 6. Accountability

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap identified Guidelines of Finance Management approved by Decree of University Council No. V7-T-28 of 6 December 2017	According the laws in Lithuania University is fully accountable for the projects developed by University's researchers and for the good use of public money. The Financial and accountancy work in University is done in accordance to the "Guidelines of Finance Management" approved by Decree of University Council No. V7-T-28 of 6 December 2017. University is adopting open science idea and, therefore, encourages researchers to make their used methods of collection data for research, methods analysis, and the outputs openly available for internal and external use, as well as open for academic and public society. For this purpose, University is participating in OpenAIRE– Advance Project.

## 7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully implemented	Identified gap - University's data protection policy should be developed and approved	Researchers have the institutional obligations to familiarise themselves with general and equipment/material specific health and safety regulations and instructions and follow them throughout their research process. University has recruited data protection specialist to be able to assist researchers with data protection issues that may emerge during their research process. University provides opportunities for researchers to keep back-up copies of their work in the "Office 365" platform to be able to have a copy of their work in case of IT related problems.

**Proposed action - Development of University's data protection policy.**

## 8. Dissemination, exploitation of results

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap identified	Every year, University prepares, publishes and disseminates to public informational publication – scientific research report of the previous year. Based on University defined qualification requirements for different occupied positions, university teachers, scientists and researchers must publish their research or applied research findings in high level international scientific journals, periodicals and other publications and /or present research and applied research findings at high level international scientific conferences if the research client is not against it. University organize or take part in organizing International scientific conference, at the faculty and research group levels research seminars are organized to discuss research in progress. Taking further University has a support structure in place (National Innovations and Entrepreneurship centre) with the help of which researchers are able to look at the commercialization possibilities of their research results.

## 9. Public engagement

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap identified	Researchers at Kaunas University of Technology are encouraged to be active in connecting to the public and disseminating their research results and activities to the public. Such an activities are regarded as one of research impact criteria's in researcher's evaluation system. There are some yearly public events where researchers of Kaunas University of Technology participate "Spaceship Earth", "Researchers' night", "Science and city" to name some of them.

## 10. Non discrimination

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Equality and Diversity Policy at Kaunas University of Technology and Guidelines of its Implementation approved by Rector's Order No. A-636 of 7 December 2018.	Kaunas University of Technology aims at creating an open environment where individual differences, characteristics, potential and contribution of all its staff and students are acknowledged and appreciated. Each employee and student has a right to work and study in the environment that encourages respect to everyone's dignity. To foster and ensure the implementation of the fundamental human rights which are set out in the Constitution of the Republic of Lithuania and the Charter of Fundamental Rights of the European Union, the Equality and Diversity Policy was approved and the University's Equality Committee was established in 2018.

## 11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education	Evaluation of researchers at Kaunas University of Technology is performed following "Guidelines for Organization of Performance Evaluation and Competitions for the Positions of Lectures and Researchers". The document is developed in accordance to national laws regulating researchers' appraisal systems and constantly renewed taking into account changes in regulations at national level and aligning procedure to strategic research objectives. The evaluation process is performed by Commissions for performance evaluation and competitions. Commission is composed of: 1. At least two thirds of the members of Commission have to be the University's scientists or artists working in a position of professor/chief researcher or associate professor/senior researcher appointed to them under the procedure of competition; they work under the fixed term or indefinite term

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Institutions" of 28 June 2018; institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019

employment contract; 2. At least one third of the members of Commission have to be the persons invited by the Rector; they are not the University's employees, but work in a leading position in the Lithuanian and/or international companies or institutions or hold a doctoral degree; 3. At least one member of Commission has to be a student representative delegated by the Student Union. Criteria of evaluation is following the criteria regulated in Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018. Evaluation criteria includes: number of scientific papers, participation in study processes, presentations at the international scientific conferences, participation in external research or experimental development, research expertise peer-review, activities of research promotion, participation in the work of committees or commissions, or otherwise participated in the activities of the international academic community.

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

## 12. Recruitment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of	Recruitment of researchers is organized following the "Guidelines for Organization of Performance Evaluation and Competitions for the Positions of Lectures and Researchers"

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the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019

developed by Kaunas University of Technology. Procedure is aimed to be open, transparent and merit-based. Guidelines were developed in accordance with recommendations of the European Commission on the European Charter for Researchers and on the Code of Conduct for the Recruitment of Researchers. Entry requirements for different levels researchers positions are different and lower requirements are considered for younger researchers in comparison to senior research staff. Guidelines and procedures as well takes into account possibility of disadvantaged group of researchers returning to research career and have provisions in place for those that are/were on a long-term vacation (pregnancy, birth, child care, etc.) or on a long-term traineeship (for a period of at least 4 months), or is ill for more than 90 days consequently or 180 days intermittently.

### 13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the	University is following the established procedure for appointing researchers which is constantly updated in accordance to any national laws and International recommendations for recruiting researchers. Recruitment process is open and candidates from outside University can apply for the advertised position. International aspect being strong throughout all University's strategy and objectives, KTU takes measures to recruit



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Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019

International researchers. One of a way to reach possible International candidates is to advertise positions on Euraxess portal. Guidelines for organization of performance evaluation and competitions for the positions of lectures and researchers as well provides detailed information on procedures followed during researchers recruitment process. To reach all possible candidates the announcement of competition is published on the websites of the University and Lithuanian Research Council, at least in one channel of local media and at least in one channel of international media. At least 3 months (July and August are not included in this period) before the end of the lecturer's and researcher's term of office the competition for this position is announced by the Rector's order. Typically, the advertisement for research position includes the description of working conditions at University and functions that researcher will be expected to perform.

## 14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study	Commissions for performance evaluation and competitions are responsible for selection of researchers for advertised positions. Commissions are assembled according to the certain requirements: 1. At least two thirds of the members of Commission have to be the University's scientists or artists working in a position of professor/chief researcher or associate professor/senior researcher appointed to them under the procedure of competition; they work under the fixed term or indefinite term employment contract; 2. At least one third of the members of Commission have to be the persons invited by the Rector; they are not the University's employees,

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Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019

but work in a leading position in the Lithuanian and/or international companies or institutions or hold a doctoral degree; 3. At least one member of Commission has to be a student representative delegated by the Student Union. Commission uses different selection practises to select the most appropriate candidate for the position. These include verification of application documents prepared by Human Resources Administration Office, joint discussion of candidate for research position with academic community in the public meeting of the second level academic division, expert evaluation performed by commission.

## 15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by	The advertisement for research position includes link to the "Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers" where recruitment process and the selection criteria are detailed.

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the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019

### 16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and	The expert evaluation performed by the Selection Commission considers qualitative as well as quantitative work of candidate for research position. Evaluation criteria includes: number of scientific papers, participation in study processes, presentations at the international scientific conferences, participation in external research or experimental development, research expertise peer-review, activities of research promotion, participation in the work of committees or commissions, or otherwise participated in the activities of the international academic community.

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Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019

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

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	University's "Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers" oversees certain situations when variation in chronological order of CVs is allowed. Article 27 states that "27. If a lecturer or researcher working in the position that competition should be announced for is on a long-term vacation (pregnancy, birth, child care, etc.) or on a long-term traineeship (for a period of at least 4 months), or is ill for more than 90 days consequently or 180 days intermittently, the competition announcement is postponed until the end of the above-mentioned circumstances. If a lecturer or researcher needs time to meet the competition requirements due to the circumstances mentioned in this paragraph, based on the employee's written request, the competition announcement is postponed for the period of time that the lecturer or researcher was on a long-term traineeship or ill. This postponement cannot exceed 5 years for those who are on a long-term vacation (pregnancy, birth, child care, etc.). This postponement is not applied to the persons who are on an unpaid leave". Candidates to the position must submit evidence on their research achievement with no direct focus of whether they were working previously in industry or academic environment.

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#### 18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019 Guidelines for Organizations of Competitions for the Positions of Postdoctoral Researchers approved by Rector's Order No. A-257 of 22 May 2017</p>	<p>Mobility experience is recognized as the valuable input into academic employee performance and further career development. For this reason, mobility experience is listed as one of criteria in academic employees' performance evaluations and competitions for the position. Mobility experience in this sense is regarded as internships in foreign institutions, postdoctoral experience, seminars and study modules taken in other universities and countries. Furthermore, postdoctoral researchers that are appointed at Kaunas University of Technology, have obligation to spend one month in foreign country's institution that is involved in research and development activities. Doctoral students as well are encouraged to take one module of their study programme in foreign University.</p>

#### 19. Recognition of qualifications (Code)

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	Evaluation of researchers at Kaunas University of Technology is focused on merit-based approach. Therefore, non-formal qualifications are seen as the possible way to fulfil national requirements and achieve desired research results. Qualifications gained through mobility experience are recognized as a way to develop qualifications further.

## 20. Seniority (Code)

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	<p>National regulations: Law on Science and Studies of the Republic of Lithuania; Order of the Minister of Education and Science of the Republic of Lithuania No.V-747 "On Approval of the Regulation on the Annual Assessment of Scientific Research and Experimental Development, and Artistic Activities of the Universities and Research Institutes" of 4 October 2017; Order No. V-2538 "On Approval of the Recommendations on the Composition of the Lecturers' Working Time" of 23 December 2011; Order of the Director of the Centre for Quality Assessment in Higher Education No. 1-01-162 "On Approval of the Assessment Methodology of the Provided Study Programmes" of 20 December 2010; Order of the Chairman of the Lithuanian Research Council No. V-340 "On Approval of the Description of Minimum Qualification Requirements for Job Positions of Researchers of State Research and Education Institutions" of 28 June 2018; Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019</p>	<p>"Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers" define the requirements for competitions at different levels of research positions. These requirements differ in between different levels of research positions; more senior researcher is expected to have higher qualifications, while Young researchers are expected to have less research achievements and lower level of qualifications. Achievements are evaluated based on the person and the fact, but not on the institutional aspect.</p>

## 21. Postdoctoral appointments (Code)

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Order No. V-83 "On Approval of the Guidelines of the Requirements for Postdoctoral Positions, Appointment to These Positions and Financing These Positions" of 21 February 2017 Institutional regulations: Guidelines for Organizations of Competitions for the Positions of Postdoctoral Researchers approved by Rector's Order No. A-257 of 22 May 2017	University has developed "Guidelines for Organizations of Competitions for the Positions of Postdoctoral Researchers" where details are provided on how the procedure of recruiting postdoctoral researcher is organized and implemented at Kaunas University of Technology. As well, qualification requirements for postdoctoral position are included in this document.

## Working Conditions and Social Security

### 22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Labour Code of the Republic of Lithuania approved by the Law No. XII-2603 of 14 September 2016; Law on Science and Studies of the Republic of Lithuania; Regulations on Research Doctoral Studies approved by the order of the Minister of Education and Science of the Republic of Lithuania No. V-149 of 8 March 2017	Terms of employment of researchers follow Lithuanian employment law. All employed researchers regardless their level of position are treated as professional. Master students and PhD candidates have student status in Lithuania; therefore, they are not employees in the organization. However, institution for this reason differentiates between to terms "scientist" and "researcher", where "scientist" is the research professional with the doctoral degree and "researcher" is the wider definitions and takes into account as well master students and PhD candidates. Taking further research groups are encouraged to employ master students and PhD candidates into research projects, such a way they become employed at University with the same terms of contract as other employees.



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#### 23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Strategy of Research and Experimental (Socio-Cultural) Development, and Innovations 2015–2020	University develops, maintains and updates necessary research and developments and innovations infrastructure. Every year University co-invest financial resources to build new and update old research infrastructure to ensure highest quality research results.

#### 24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Labour Code of the Republic of Lithuania approved by the Law No. XII-2603 of 14 September 2016; Institutional regulations: Rector's Order No. A-421-1 of 1 September 2017 "Approvement of Employees working Hours, Working Hours Schedule and It's Form"; "Guidelines for Performance of Work for Employees at Kaunas University of Technology, Working Remotely" approved by Rector's Order No. A-428-1 of 4 September 2017	Researchers at Kaunas University of Technology have opportunity to work flexible working hours or to work remotely to be able to combine family and work. University teachers, scientists and researchers can be sent on creative leave according to the principle of contest every five years for a period of max. one year to carry out research or to improve their scientific, methodical and/or professional qualification. Contest can be held at University or faculty level. During creative leave, employee receives his/her average salary from the University budget.

#### 25. Stability and permanence of employment

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Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Labour Code of the Republic of Lithuania approved by the Law No. XII-2603 of 14 September 2016; Institutional regulations: Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	Fixed term employment contracts are made for a 5-year term of office for academic employees at Kaunas University of Technology. Employment contract of indefinite duration is made with the persons who win a competition for the same job position of lecturer or researcher twice in a row. The Rector of University can invite lecturers and researchers to work under the fixed term employment contract for a maximum period of 2 years.

## 26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Identified gap - motivation system for academic staff needs to be developed. Institutional regulations: Regulations for Employees' Remuneration at Kaunas University of Technology approved by Decree of University Council No. V7-T-13 of 30 March 2017	Academic employees at University are paid in accordance to their performance results. Salary coefficients are set for each level of academic position. Currently University is undergoing process of establishing transparent motivational system that would become a variable part of employee's salary to be paid together with the fixed salary base.  <b>Proposed action - Development of motivational system for academic employees</b>

## 27. Gender balance

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Equality and Diversity Policy at Kaunas University of Technology and Guidelines of its Implementation approved by Rector's order No. A-636 of 7 December 2018; Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	Kaunas University of Technology aims to ensure that employees within the institution are not discriminated in terms of gender, and equal opportunities for both men and women are provided while competing for job positions or being evaluated. For this reason, University is analysing the gender balance in institution and initiated the survey "The ruler of gender equality" that has led to the development of action plan.

## 28. Career development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Identified gap - career development system should be developed for researchers	Researcher's career path in University is illustrated in "Guidelines for Organisation of Performance Evaluation and Competitions". The researchers are able to compete for higher positions once they meet the requirements that are set for that positions. Individual non-formal consultations are provided to researchers in terms of their research career development by their principal investigators, supervisors. However, there is no formal research career development system that would take into account research career paths outside University.

**Proposed action - Preparation of research career development system**

## 29. Value of mobility

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	No gap identified	Please see point 18

## 30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	Identified gap - researchers career advise tools needs to be developed.	At the moment there are no systematic initiatives for research career advice service within institution. Euraxess portal is partially used to cover this gap, but further action is needed.  <b>Proposed action - Preparation of research career development system</b>

## 31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Law on Higher Education and Research of the Republic of Lithuania Patent Law of the Republic of Lithuania Law on Copyright and Related Rights of the Republic of Lithuania Law on Designs of the Republic of Lithuania Law on the Legal Protection of Topographies of Semiconductor Products of the Republic of Lithuania Law on Trade Marks of the Republic of Lithuania Institutional regulations: Statute of Kaunas University of Technology approved by the decision No.	Provisions and procedures for management of intellectual property rights, which are being created by employees and students of Kaunas University of Technology as well as for the transfer of technology are set in the document which is recently updated (in 2019). There is dedicated office within institution which deals with the questions related to intellectual property right and consults researchers.

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania) Regulation on Management of Kaunas University of Technology Intellectual Property as well as on Technology transfer Approved by Rector's Order No. A-273 on 26 April 2019

### 32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	Co-authorship is not perceived negatively by institution while evaluating researchers. Co-authorship with authors from other institutions and other countries are even encouraged by the institution. University as well provides some platforms for young researchers especially to be recognized and publish their research results. This is done by development of institutional calls for the projects that are developed by young researchers, research groups or in collaboration with other research institution.

### 33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019; Work Recording Regulations for	Academic staff at Kaunas University of Technology are expected to perform teaching activities in one or another form at University. Workload regulations foreseen teaching workload for all academic employees. Teaching duties might be performed as a way of lecturing or supervising students and PhD candidates. Part of performance evaluation criteria for

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

Academic Employees at Kaunas University of Technology  
approved by Rectors Order No. A-429 of 2 July 2019

academic employees are as well cantered around teaching activities. Training courses for teaching activities are provided through Edu\_Lab unit, which is laboratory for teaching, learning and education. EDU\_Lab: •Develops and introduces the system for development of the contemporary didactic (learning and teaching) competences at the University. •Motivates teachers to choose and apply the suitable and innovative didactic (learning and teaching) methods to ensure the quality of studies. It is a new space for experiments and improvement. •Believes and promotes different philosophy of teaching and learning consistent with the contemporary educational trends. Delivers consultations, helps teachers to collect the latest knowledge of teaching, to rediscover what was forgotten during the long-standing teaching practice. Also, EDU\_Lab encourages sharing good practices and organises workshops for teachers. •In the ever changing environment it encourages the teachers also to change, to integrate into their activities deep professional knowledge and contemporary work methods.

### 34. Complains/ appeals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: The Code of Academic Ethics approved by KTU Senate Resolution No. V3-S-1 of 25 January 2012; Equality and Diversity Policy at Kaunas University of Technology and Guidelines of its Implementation approved by Rector's order No. A-636 of 7 December 2018;	Several bodies exist at University that deals with complains/appeals of students, academic employees and administrations. Board of Academic Ethics deals with violations of academic ethics. It examines the statements of KTU employees and students regarding the violations of scientific, professional, communication and behavioural ethics. The Board promotes the provisions of academic ethics in KTU community, does not tolerate discrimination based on the person's sex, age,

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

Labour Code of the Republic of Lithuania approved by the Law No. XII-2603 of 14 September 2016

ethnicity, nationality or social background, religion or beliefs, sexual orientation, language, disability, political views, social or economic status, does not tolerate violations of moral and property rights of the institution's intellectual property and copyrights, plagiarism and other forms of academic dishonesty. University's Equality Committee examines reports (complaints) of the University's staff and students regarding the violation of equal opportunities or persecution. Labour Council examines the misconducts of University's employees. Student Information and Service Centre deals with appeals that are submitted regarding the written decision made at the University in regards to the student, when making of such decision could allegedly violate academic ethics, procedures and/or include technical errors. As well, the Centre deals with complaints that are submitted regarding the alleged violation of the student's rights and legitimate interests caused by the actions or omissions of the University's employee, other student, department, commission or other body functioning at the University in the following areas: 1) quality assurance in studies; 2) compliance with processes and procedures of the organisation of studies; 3) quality assurance in learning resources and learning environment; 4) compliance with provisions of the Code of Academic Ethics; 5) quality assurance and compliance with procedures in additional services (for example, allocation of financial support, accommodation, leisure activities, etc.); 6) in other cases.

### 35. Participation in decision-making bodies

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: The Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Provisional Academic Regulations Kaunas University of Technology approved by the decision of Senate of Kaunas University of Technology as of June 20 2012, No. V3-S-48	Researchers form part of the Kaunas University of Technology governance bodies including University's Council, University's Senate, Rectorate. At the faculty level researcher's form main part of Faculty Councils. As well, researchers are involved in various working groups within institutions and actively contribute to development of procedures, guidelines and policies within institution.

### Training and Development

#### 36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Regulations on Research Doctoral Studies approved by the order of the Minister of Education and Science of the Republic of Lithuania No. V-149 of 8 March 2017 Institutional regulations: Regulation on Research Doctoral Studies of Kaunas University of Technology approved by Decision of the Senate of Kaunas University of Technology No. V3-S-40 of 3 May 2017; Description of the Procedures for the Annual Planning and Evaluation of the Employees at Kaunas University of Technology approved by the Rector's order No. A-226 of 2 May 2018; Work Recording Regulations for Academic Employees at Kaunas University of Technology approved by Rectors Order No. A-429 of 2 July 2019	Students during each level of their studies are assigned with the supervisor to support the development of final study projects, master thesis or doctoral dissertations. Early stage researchers are able to discuss their research projects during regular workshops and seminars at the departmental level and research group level. Milestones and steps in achieving the final goals are agreed and discussed with doctoral students twice a year at the department and scientific committee levels. Researchers that have contractual relations with University (are employees) agree with their departmental heads on delivery of research outputs as well as profession development needs during their annual interviews.



## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

#### 37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	It is common practise at University that senior level academic staff are involved in managerial duties at University and often combine researcher's role with the administrative role (deans, principle investigator, head of the unit, etc.). Provisions are in place for those that carry on administrative duties as well as teaching/research duties to be evaluated accordingly during their performance evaluation process. Mentorship programme is in place at University as well. Academic employees can become research mentors or career mentors for undergraduate and postgraduate students.

#### 38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully implemented	Identified gap - guidelines for qualifications improvements of University's employees have to be updated. Institutional regulations: Statute of Kaunas University of Technology approved by the decision No. XI-1194 of 30 November 2010 (new edition of the decision No. XI-2149 of 28 June 2012 of the Parliament of the Republic of Lithuania); Provisional Academic Regulations Kaunas University of Technology approved by the decision of Senate of Kaunas University of Technology as of June 20 2012, No. V3-S-48; Guidelines for Organisation of Performance Evaluation and Competitions for the Positions of Lecturers and Researchers approved by Senate Decree No. V3-S-10 of 23 January 2019	University academic staff, university teachers and researchers must maintain and improve their qualifications by carrying out research and publishing its results in scientific publications and by improving their qualification at least once in five years. Qualification of academic employees is improved in various courses, in other research and study institutions, industrial enterprises, during qualification trips and probations. If qualification is improved under certain program, a certificate of qualification improvement is issued stating the assessment of practical and (or) theoretical skills and awarding of a certain professional qualification. Defended doctoral thesis, a published textbook or monograph or creative leave can be considered examples of qualification improvement.

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

**Proposed action - Preparation of guidelines for continuous professional development of academic employees**

### 39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	Institutional regulations: Description of the Procedures for the Annual Planning and Evaluation of the Employees at Kaunas University of Technology approved by the Rector's order No. A-226 of 2 May 2018;	All University departments where teachers, scientists and researchers are employed, develop five-year qualification improvement plans. Department heads have to encourage employees' personal initiative to improve qualification not only during the time assigned by qualification improvement plan but in other forms too. Total period assigned for probation and qualification improvement should not exceed 12 months within five years. Researchers and teachers that have contractual relations with University (are employees) discuss their professional development needs and availability of training courses during their annual interviews. As well, University has several training programmes that are run centrally and are aimed at improving English language skills and leadership skills. Recently, University has developed the system for internal academic courses available at University in order to build better access for research training and continuous development.

### 40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented	National regulations: Regulations on Research Doctoral Studies approved by the order of the Minister of Education and Science of the Republic of Lithuania No. V-149 of 8 March	Early-stage researchers during their PhD studies are appointed to the particular supervisor to have the support needed to perform research duties and to guide the process. A supervisor

## GAP Analysis (Charter and Code Checklist) & Action Plan

### Status

2017 Institutional regulations: Regulation on Research Doctoral Studies of Kaunas University of Technology approved by Decision of the Senate of Kaunas University of Technology No. V3-S-40 of 3 May 2017

has to be a scientist of the field of science that doctoral student is admitted to. During the PhD studies a supervisor is obligated to perform certain duties: prepare a project for a doctoral student's work plan in cooperation with doctoral student; suggest consultant candidates, if necessary; provide methodical assistance, supervise doctoral student's scientific activities and constantly monitor doctoral student's progress in the process of doctoral studies; provide assistance to doctoral student in the issues related to organisation of studies, carrying out of research and preparation of dissertation; present a conclusion on the outcomes of doctoral student's studies and research, and the expediency of continuation of doctoral studies for each performance evaluation of doctoral student; is responsible for the quality preparation of doctoral dissertation along with doctoral student. In order to ensure that a supervisor of doctoral student will be capable to deal with these duties there are certain requirements that should be met by a supervisor. Supervisors of doctoral students can be the scientists, who during the last five years have published at least 3 scientific articles in the international scientific publications with impact factor in "Clarivate Analytics Web of Science" (hereinafter – "CA WoS") (in the areas of humanities, social, physical sciences and technologies) and/or "Scopus" (in the areas of humanities and social sciences) databases and at least 1 scientific article in the international scientific publication with impact factor in "CA WoS" (in the areas of humanities, social, physical sciences and technologies) and/or "Scopus" (in the areas of humanities and social sciences) databases, and a science monograph. After doctoral studies are completed researcher at the early stage of academic career can rely on the assistance of research group leader.