

TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review: **Sofia University “St. Kliment Ohridski”**

Organisation’s contact details:

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SOFIA UNIVERSITY ST. KLIMENT OHRIDSKI

15 Tsar Osvoboditel Blvd. 1504 Sofia, Bulgaria

SUBMISSION DATE:

DATE ENDORSEMENT CHARTER AND CODE: **04 OCTOBER 2016**

Please provide the date when your organisation officially endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

PROCESS (MAX. 300 WORDS)

The HRS4R process must engage all management departments directly or indirectly responsible for researchers’ HR-issues. ¹ These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4², as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

Please provide evidence of how the above groups were involved in the GAP-analysis: e.g. names, meeting dates, or consultation format. In addition, indicate how the Committee and Working Group are composed.

The HRS4R process at Sofia University (SU) started in 2016. An inclusive and participative approach was implemented involving the organization’s management, academic, administrative management and support staff and the research community. The following working groups^(a) were appointed with an ordinance of the Rector:

October 2016 - WG to prepare a draft proposal of Code of conduct for researchers in accordance with the principles of the Charter and Code

February 2017 – WG to perform a Gap Analysis and prepare an Action Plan

The WGs were chaired by the Vice-Rector of Information Activities, Academic Staff and Administration. They were composed of administrative department managers and control of implementation given to Vice-Rector on

¹ The term 'Human Resources' is used in the largest possible sense, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.

² For a description of R1-R4, please see http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

Research. In 2018, as an expert for revising the application documents was invited Assoc. Prof. E. Gourova (F/R3), delegate of the SWG on HRM at ERAC, and former member of the ERA SGHRM and OTM-R WG.

A consultation with SU academic staff³ was made using several surveys and follow-up discussions on department and Faculty levels with the objectives to perform an internal analysis and to identify areas of improvement according to the principles stated both in the Charter and the Code:

- 1) Training needs analysis (October – November 2017);
- 2) Assessment of quality of administrative services (December 2017 – January 2018)
- 3) Survey on research career; recognition and value; recruitment and selection process; support and career development; equality and diversity (April 2018)

Involvement of SU management:

- 1) The Council of Rectors monitors the process and supports the SU Strategy for alignment with the principles of the Charter and Code and the EU policy for HRS4R.
- 2) The Academic Council approved the SU Regulation on implementation of the Charter and Code (2016).
- 3) Top management and all deputy Deans responsible for research participated at workshop on improvement of SU working conditions and career development of researchers (February 2018)
- 4) SU central administration (February 2018) participated in training and discussion on improvement of SU environment according to the Charter and Code.
- 5) Training for SU academic and administrative staff on new GDPR and respective changes in SU internal documents (May 2018)
- 6) Action Plan and Gaps Analysis were sent to all deputy deans on research for approval and discussed at Faculty level with researchers (December 2018-January 2019).
- 7) Order by Rector for assigning tasks for the improved Action Plan implementation to: Administrative Working Group, Steering Group and Researchers Focus Group (July 2019)^(a).

The HRS4R at SU is published on the University website: <https://www.uni-sofia.bg/eng/HRS4R>

(a) Working Groups' Composition:

First WG (October 2016)

The main goal of the group was to prepare a draft proposal of a Code of conduct for researchers at SU in accordance with the principles of the Charter and Code. After approval of the document the control of its implementation was given to Prof. Nikolay Vitanov (M/R4), Vice-Rector.

Chairperson: Assoc. Prof. Eliza Stefanova, Vice-Rector of Information Activities, Academic Staff and Administration (F/R3)

Members:

Prof. Mariya Stoycheva, Functional Vice-rector of PhD school and International Relations (F/R4)

Prof. Albena Chavdarova, Faculty of Education (F/R4)

Jenina Jileva, Chief Manager (F)

Tanya Pavlova, Head Legal Unit (F)

³ Academic staff – includes all SU researchers (R1 to R4) according to art. 2 of Regulation on organization and work of SU

Svetlana Dimitrova, EURAXESS BHO expert (F)
Nikolay Stoyanov, EURAXESS BHO legal expert (M)

Second WG (February 2017)

The goal of the group was to make an analysis of the internal documents of Sofia University and their correspondence to the principles of the European Charter for researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code). Subsequently, the group prepared a plan for amendments of the internal SU documents, corresponding to the HR Strategy Action plan. The control of the implementation was given to Prof. Nikolay Vitanov (M/R4), Vice-Rector.

Chairperson: Assoc. Prof. Eliza Stefanova, Vice-Rector of Information Activities, Academic Staff and Administration (F/R3)

Members:

Prof. Mariya Stoycheva, Functional Vice-rector of PhD school and International Relations (F/R4)
Prof. Albena Chavdarova, Faculty of Education (F/R4)
Tanya Pavlova, Head Legal Unit (F)
Svetlana Dimitrova, EURAXESS BHO expert (F)
Nikolay Stoyanov, EURAXESS BHO legal expert (M)

Administrative Working Group (2 July 2019)

Specific tasks will be allocated by the AWG to the respective administrative units, incl. the Career Development Sector (CDS), Technology Transfer Office (TTO), etc. The Administrative working group will meet regularly (at least 4 times annually) to evaluate the progress achieved and to consider next activities for implementation of the Action Plan

Chairperson:

Assoc. Prof. Eliza Stefanova, Vice-Rector of Information Activities, Academic Staff and Administration (F/R3)

Members:

Assoc. Prof. Valentina Kaneva, Ethical Committee Chair (F/R3)
Detelina Ilieva, Secretary General (F)
Deyana Andonova, Head of Sector PhD Students (F)
Kristina Ferdinandova, Head of Department of "Research and Organisational Projects" (F)
Milyana Aleksieva, Head of Department "National and International Projects" (F)
Ivona Chinkova, Expert at Department of "Career Development" (F)
Elena Petrova, Head of Department of "Financial Policy" (F)
Galina Kuneva, Chief Legal Officer (F)
Gergana Avramova, Expert at Department "Human Resources Management" (F)
Svetlana Dimitrova, EURAXESS BHO expert (F)

Steering Group (2 July 2019)

SG will be in charge for monitoring of the Action Plan implementation and taking strategic decisions on the implementation of the HRS4R at SU. It will meet at least once annually

Chairpersons:

Prof. Nikolay Vitanov, Vice-rector of Research and Project Affairs (M/R4)
Assoc. Prof. Eliza Stefanova, Vice-Rector of Information Activities, Academic Staff and Administration (F/R3)
Assoc. Prof. Georgi Valchev Vice-rector of Education - PhD Students and Continuing Education (M/R3)

Members:

All deputy deans on research at all University' faculties (9M/7F; 6R4/10R3).

Researchers Focus Group (2 July 2019)

The main task of the RFG will be to regularly consult with researchers on the changes proposed during the Action plan implementation and evaluate their perceptions. The feedback of researchers will provide a sound base for strategic planning of the SG and Action Plan implementation by the AWG.

Chairpersons:

Prof. Mariya Stoycheva, Functional Vice Rector of PhD school and International Relations (F/R4),
Assoc. Prof. Eliza Stefanova, Vice-Rector of Information Activities, Academic Staff and Administration (F/R3)
Assoc. Prof. Georgi Valchev Vice-rector of Education - PhD Students and Continuing Education (M/R3)

Members:

Prof. Petya Yaneva, Faculty of Classical and Modern Philology (F/R4)
Assoc. Prof. E. Gourova, delegate of the SWG on HRM at ERAC (F/R3)
Assoc. Prof. Atanas Georgiev, Faculty of Economics and Business Administration (M/R3)
Chief Assistant Prof. Maria Baramova, Faculty of History (F/R2)
Assistant Prof. Kalin Kalinov, Faculty of journalism and Mass Communication (M/R1)
Simeon Grossman, Post Doc, Faculty of Law (M/R1)
Kaloyan Genkov, PhD, Faculty of Physics (M/R1)
Elitza Peltekova, young scientist, Faculty of Mathematics and Informatics (F)
Ivona Chinkova, Expert at Department of "Career Development" (F)
Deyana Andonova, Head of Sector PhD Students (F)

GAP ANALYSIS

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers: GAP analysis overview			
<p>Status: to what extent does this organisation meet the following principles?</p>	<p>+ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented - = insufficiently implemented</p>	<p>In case of -, -/+, or +/-, please indicate the actual “gap” between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation</p>	<p>Initiatives already undertaken and/or suggestions for improvement</p>
Ethical and Professional Aspects			
<p>1. Research freedom</p>	<p>+/-</p>	<p>The research freedom is acknowledged in the legislation and in the specific internal documents of SU. It is highly appreciated by researchers. Sofia University’s legal framework: Art. 4, Art. 114, Art. 175 of the Regulation on organization and work of Sofia University, 14.12.2018 Art. 4, Art. 10, Ethics Code of the Academic Community of Sofia University, 02.03.2016 National Legal Framework: Higher Education Law, amended 20.01.2019- art. 19, art. 20, art. 55 Law for Academic Staff Development, amended 05.05.2018 – art. 1 (2) Nevertheless, some constraints exist related to sufficient funding for research and access to research infrastructure, and access to scientific literature in technology and engineering disciplines (e.g. access to ACM and IEEE databases).</p>	<p>The Ministry of Education and Science provides national access to several scientific databases. In SU is available access through the University library web portal. Under several projects funded by the Operational Programme “Science and Education fo Smart Growth” at SU will be established new research infrastructure, and ensured better conditions for research work, and thus, all constraints of research freedom will be removed. Actions to be taken: - to strengthen training activities on funding opportunities and project writing</p>

<p>2. Ethical principles</p>	<p>+/-</p>	<p>An amendment of the Law for Academic Staff Development of May 2018 ensures a framework for observing research integrity principles, incl. ethics.</p> <p>The Ethics Code of the Academic Community of SU is based on the Charter and Code principles, however, some specific amendments are needed to integrate the research integrity principles and the specific ethical issues in different scientific disciplines.</p> <p>Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 6 (19), (20), (21); Art.69 (6); Art.80; Art. 81; Art. 100; Art.101; Art.111; Art.112; Art.115; Art.126 (6) Art. 115 on SU staff obligations, Regulation on organization and work of Sofia University, 13.12.2018 Ethics Code of the Academic Community of Sofia University, 2.3.2016 Guidelines for work of the Ethics Commission</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019– art. 56 Law for Academic Staff Development, amended 05.05.2018 – art.4 (11), art. 30, art. 30a Law for Fostering of Scientific Research, amended 02.08.2013 - art. 3</p>	<p>Since 2016 SU has been successfully running a PhD school. In its programme is included a special course on “Ethics of scientific research”, presented to new PhD students after their appointment.</p> <p>Actions to be taken: In short-term planning: - information and training initiatives, incl. ethical training to be integrated in career development plans of all researchers</p> <p>In long term: - to be designed requirements for research ethics in different disciplines</p>
<p>3. Professional responsibility</p>	<p>+/-</p>	<p>The principle is generally observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 2, Art. 6, Art. 7, Art. 11, Ethics Code of the Academic Community of Sofia University, 02.03.2016. Art. 115, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019– art. 56</p>	<p>Since 2016 SU has been successfully running a PhD school. In its programme is included a special course on “Ethics of scientific research”, presented to new PhD students after their appointment.</p> <p>In relation to entering into force the GDPR in Bulgaria and the amendments to the Personal</p>

		<p>Law for Academic Staff Development, amended 05.05.2018 – art. 1 (2), art 4(11), art. 35</p> <p>There is a need to consider how to integrate the principles of research integrity and responsible research in the internal documents and procedures of SU, as well as to launch specific activities linked to research impact assessment. Such activities should be integrated in the training of PhD students, and in the regular assessment of all researchers, their rewarding and research projects funded by SU.</p>	<p>Data Protection Act, specific changes were made in SU documents and practice, and a dedicated training was provided to SU academic and administrative staff in May 2018.</p> <p>Actions to be taken:</p> <ul style="list-style-type: none"> - prepare internal Guidelines on research integrity, incl. professional responsibility - training for supervisors and mentors based on good practices for observance of research integrity principles - to take measures for introduction of software tools providing plagiarism checking
4. Professional attitude	-/+	<p>The principle is generally observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 12 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016. Art. 115, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019– art. 56</p> <p>This principle is still not fully implemented. Generally, the professional responsibility regarding research projects implementation is in place. Additionally, the principles for research integrity and responsible research need to be stipulated in SU internal documents.</p>	<p>Actions to be taken:</p> <ul style="list-style-type: none"> - prepare internal Guidelines on research integrity, incl. professional attitude in research - training of supervisors and mentors based on good practices for observance of research integrity principles - integrate in PhD training guidance on professional attitude of researchers
5. Contractual and legal obligations	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework:</p>	

		<p>Art. 113, Regulation on organization and work of Sofia University, 13.12.2018 Regulation on internal employment rules, 26.05.2010 Collective labour contract, 01.05.2018 Art. 13, Ethics Code of the Academic Community of Sofia University, 02.03.2016</p> <p>National Legal Framework: Labor Code, amended 06.11.2018 Higher Education Law, amended 20.01.2019, art. 56 Intellectual Property Rights Law, amended 20.02.2015 Law for Health and Safe Working Conditions , 05.12.2017</p>	
6. Accountability	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 16 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016. Regulation on internal employment rules at SU, 26.05.2010</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019 - Art.56 Law for Fostering of the Scientific Research, 02.08.2013 - art. 4 (2), art. 5, art. 6 (1)</p>	
7. Good practice in research	+/-	<p>Generally, specific rules are guiding the health and safety at work with which all employees are made aware upon employment.</p> <p>Sofia University's legal framework: Art. 14 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016. Regulation on organization and work of Sofia University, 14.12.2018</p> <p>National Legal Framework: Law for Health and Safety Conditions of Labour, 23.12.1997 Labour Code, amended 06.11.2018</p>	<p>Actions to be taken:</p> <p>In the short term:</p> <ul style="list-style-type: none"> - preparation of specific guidelines for researchers on cyber security and back-up strategies - provision of training to cope with information technology disasters <p>In the long term:</p> <ul style="list-style-type: none"> - changing internal rules according to specific good practices in different research fields

		<p>Personal Data Protection Act, amended 19.1.2018</p> <p>Recent trends in information and cyber security should be considered, and specific guidelines for researchers on cyber security and back-up strategies, as well as appropriate training should be provided to cope with information technology disasters.</p> <p>There is a need to benchmark the SU research practices according to accepted good practices in the specific disciplines, and if necessary, take measures for introduction of changes in the internal rules and procedures.</p>	
8. Dissemination, exploitation of results	+/-	<p>Sofia University's legal framework:</p> <p>IPR Rules of SU, 7.12.2016</p> <p>Art. 17 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016</p> <p>Strategy for commercialisation of scientific research of SU</p> <p>Art. 114, Regulation on organization and work of Sofia University, 14.12.2018</p> <p>National Legal Framework:</p> <p>Intellectual Property Rights Law, amended 20.02.2015</p> <p>Law for Fostering of Scientific Research, amended 02.08.2013- Art.7b</p> <p>Law on Access to Public Information, amended 26.02.2019</p> <p>Higher Education Law, amended 20.01.2019</p> <p>More efforts are needed for researchers training on IPR protection, knowledge transfer and research commercialisation.</p> <p>SU needs to undertake in the long-term specific actions in relation to Open Science and Open Data, and Open Science rewarding.</p>	<p>The academic community at Sofia University is generally involved in research dissemination using various publication channels.</p> <p>A Technology Transfer Office (TTO) at SU is in charge of making industrial stakeholders aware of SU research results.</p> <p>Actions to be taken:</p> <p>In the short term:</p> <ul style="list-style-type: none"> - design of practical guidelines on IPR, knowledge transfer and research commercialization - seminars on awareness raising and training on IPR and research commercialization, <p>In the long term:</p> <ul style="list-style-type: none"> - design of Open Science data bases at SU - training of researchers on Open Science
9. Public engagement	+/-	<p>The principle is generally observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework:</p>	<p>Many researchers are involved on voluntary basis in public engagement activities; however, this is not taken into account in their</p>

		<p>Art. 18 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016</p> <p>National Legal Framework: Law for Fostering of Scientific Research, 02.08.2013- art.4 (1) Law on Access to Public Information, 7.07.2000</p>	<p>assessment, and SU has no official policy on public engagement. In addition, research strategy is not based on regular monitoring of public and economic interests in RTD.</p> <p>Actions to be taken: In short terms: - organization of regular Open doors at SU and guided visits for students - introduction of training of PhD students on effective science communication - stimulation of researchers for participation in outreach activities (like European Researchers Night, Science Fairs, etc.) In long terms: - undertaking regular monitoring of the research needs in society and economy and adapting accordingly research strategies - undertaking collaboration with students and teachers on scientific issues</p>
10. Non discrimination	+	<p>The principle is observed in national legislation and SU internal documents: Sofia University's legal framework: Art. 108, Regulation on organization and work of Sofia University, 14.12.2018 Art. 3 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016.</p> <p>National Legal Framework: Law on Protection Against Discrimination, 20.05.2011 Law on Access to Public Information, 7.07.2000 Higher Education Law, amended 20.01.2019 – Art. 3, Art.4 Law for Integration of Disabled People, 01.01.2019 Labour Code, 06.11.2018 - art. 8 (3)</p>	

		Law for Fostering the Employment – Art.2	
11. Evaluation/ appraisal systems	+/-	<p>The legal regulations and the internal rules of SU ensure compliance with the Charter and Code regarding researchers' evaluation. The evaluation of academic staff is carried out on regular bases, following transparent generally accepted criteria and procedures.</p> <p>Sofia University's legal framework: new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 120, 121, Regulation on organization and work of Sofia University, 13.12.2018 Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016, chapter 2</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 57 Law for Academic Staff Development, amended 05.05.2018, art. 2b, art. 16</p> <p>The majority of the criteria are taken into account in the regular evaluation of SU researchers, however, not in their appraisal. The official appraisal system (based on the Law for Academic Staff Development) focuses mainly on scientific metrics (publications, patents, quotations) while national or international collaboration, public engagement activities, administrative duties, and mobility are not taken into account.</p>	<p>Actions to be taken:</p> <ul style="list-style-type: none"> - introduction of changes in SU internal rules for researchers' evaluation and appraisal to better correspond to Charter and Code requirements
<p>Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.</p>			
12. Recruitment	+	The recruitment procedures are stipulated by the Law for Academic Staff Development, and the internal procedures of SU. Recent amendments of the Law for Academic Staff	

		<p>Development introduced minimal national criteria for the different research positions.</p> <p>Sofia University's legal framework: new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 1 – 4; 5 – 8 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>National Legal Framework: Labour Code – 06.11.2018 Higher Education Law, amended 20.01.2019, Art. 48(3), Art. 50, Art. 52 Law for Academic Staff Development, amended 05.05.2018 – Art. 2b, Art. 3, Art. 4, Chapter 3 Guidelines for implementation of the Law for Academic Staff Development, 6.7.2018</p>	
13. Recruitment (Code)	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 1 – 4; 5 – 8 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>National Legal Framework: Labour Code – 06.11.2018- Art. 328 (1) Law for Academic Staff Development, amended 05.05.2018 – Art. 2b, Art. 3, Art. 4, Chapter 3</p>	
14. Selection (Code)	+	<p>The principle is observed in national legislation and SU internal documents:</p>	

		<p>Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 1 – 4; 5 – 8 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>National Legal Framework: Law for Academic Staff Development, amended 05.05.2018 – art. 4 (3), art. 9, art. 13, art. 20, art. 25, art. 29a</p>	
15. Transparency (Code)	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Preamble of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>National Legal Framework: Law for Academic Staff Development, amended 05.05.2018 – art. 3(1) Higher Education Law, amended 20.01.2019, art. 50(2)</p>	
16. Judging merit (Code)	+/-	<p>The principle is generally observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 –general requirements: art. 4, art. 5, art. 6; specific requirements for each position</p>	<p>Actions to be taken: - introduction of changes in SU internal rules for researchers' evaluation and appraisal to better correspond to Charter and Code requirements</p>

		<p>Art. 13 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019 – art.53 Law for Academic Staff Development, amended 05.05.2018 – art. 2b</p> <p>Recent amendments of the Law for Academic Staff Development are mainly focused on qualitative data and bibliometric indices.</p> <p>By judging merits of researchers, not sufficient emphasis is put on the diversified career path, e.g. on national or international collaboration, public awareness activities, administrative duties, and mobility experience gained in industry or abroad are not taken into account.</p> <p>More qualitative approach is needed, especially to assess the diversified career path and the research impact.</p>	
17. Variations in the chronological order of CVs (Code)	+	<p>The principle is observed in SU internal documents:</p> <p>Sofia University's legal framework: Art. 7 (4), 8 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p>	
18. Recognition of mobility experience (Code)	-	<p>The principle is introduced in SU internal documents:</p> <p>Sofia University's legal framework: Art. 7 (4) and the whole of Chapter 4 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>By judging merits of researchers, not sufficient emphasis is put on the diversified career path, e.g. on mobility and experience gained in other sectors or abroad.</p>	<p>Actions to be taken:</p> <ul style="list-style-type: none"> - introduction of changes in SU internal rules for researchers' evaluation and appraisal to better correspond to Charter and Code requirements

<p>19. Recognition of qualifications (Code)</p>	<p>+/-</p>	<p>The principle is generally observed in national legislation and SU internal documents: Sofia University's legal framework: Art. 11, Art. 14, 27, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 10 (2), 13 (2), 5 (1) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. National Legal Framework: Higher Education Law, amended 20.01.2019 – art. 9g(9) Law for Academic Staff Development, amended 05.05.2018 – art. 5, art. 5a, art. 15 By judging merits of researchers, not sufficient emphasis is put on the diversified career path, e.g. on mobility and experience gained in other sectors or abroad.</p>	<p>Actions to be taken: - introduction of changes in SU internal rules for researchers' evaluation and appraisal to better correspond to Charter and Code requirements</p>
<p>20. Seniority (Code)</p>	<p>+</p>	<p>The principle is observed in national legislation and SU internal documents: Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 –general requirements: art. 4, art. 5, art. 6; specific requirements for each position Art. 6 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12 2016. National Legal Framework: Higher Education Law, amended 20.01.2019 – Art.53 Law for Academic Staff Development, amended 05.05.2018 – Art. 2b, Art. 5, Art. 5a, Art. 15</p>	
<p>21. Postdoctoral appointments (Code)</p>	<p>+</p>	<p>The principle is observed in SU internal documents: Sofia University's legal framework: Regulation of Conduction of Postdoctoral research, 28 October 2015.</p>	

Working Conditions and Social Security			
22. Recognition of the profession	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 6(3), art. 48 Labour Code, 01.01.1987- Chapter 12 Salary Payment Law for Academic Staff Development, amended 05.05.2018 – art. 2a, art. 15</p>	
23. Research environment	+/-	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 43, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 11 (1) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12 2016. Art. 174 Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Labour Code, 06.11.2018– Chapter 13. Health and Safety Conditions of Labour Bulgarian Law for Health and Safe Working Conditions, 05.12.2017 Law for Fostering of Scientific Research, 02.08.2013</p>	<p>SU provides good framework conditions for doing research, e.g. working places, collaborative spaces, Internet resources, etc.</p> <p>Recently gained funding for establishment of Centres of Excellence and Centres of Competence will provide opportunities to build top research infrastructure in many SU faculties.</p>

		<p>Higher Education Law, amended 20.01.2019, art. 55</p> <p>SU lacks the financial resources for creation of an attractive research environment with adequate infrastructure and resources for research works implementation. It depends on researchers themselves to ensure funding for their research projects.</p>	
24. Working conditions	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 58, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 11 (2) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12 2016. Art. 174 Regulation on organization and work of Sofia University, 13.12.2018 Regulation on internal employment rules</p> <p>National Legal Framework: Labour Code, 06.11.2018- Chapter 7 Working time and holidays Higher Education Law, amended 20.01.2019, art. 55</p>	
25. Stability and permanence of employment	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: All academic staff (except assistants) are appointed with permanent contracts in accordance with the Labor Code and the Regulation on organization and work of Sofia University, 13.12.2018. new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018</p>	

		<p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 54 Law for Academic Staff Development, amended 05.05.2018, art. 15 Labour Code, 06.11.2018</p>	
26. Funding and salaries	+/-	<p>The national labour legislation sets specific requirements for social security according to EU directives in the area. For all researchers, incl. PhD students, at SU the principle is observed:</p> <p>Sofia University's legal framework: For PhD – art. 47, art. 48, art. 50, art. 52, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 10, 11 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016 Art. 113, Art. 127, Regulation on organization and work of Sofia University, 13.12.2018 Regulation on internal employment rules</p> <p>National Legal Framework: Labour Code, 06.11.2018– Art. 107 Law for Fostering of Scientific Research, 02.08.2013 –Art.4 Law for Crediting of Students and PhD-Students, 1.01.2015</p> <p>The state subsidy for SU is not sufficient to ensure attractive funding and salaries.</p>	<p>A new collective employment contract was signed by SU management at the end of April 2018 ensuring better framework conditions for SU staff, including increase of basic salary and additional benefits, specific provisions for young researchers and parents, higher recognition of additional qualifications and specializations obtained, etc. With the aim of improving the conditions for funding of research activities at SU, the Academic Council approved changes in the SU Internal rules for remuneration in October 2018.</p> <p>Different initiatives exist for rewarding research achievements, for funding of internal research projects and staff mobility (on competitive bases), for training of the academic staff, etc.</p> <p>Actions to be taken: - ensure professional support to researchers for fund raising and projects preparation - provision of training to researchers on project management</p>
27. Gender balance	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 3 (3) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p>	

		<p>Art. 108, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Law on Protection Against Discrimination, 20.05.2011 Higher Education Law, amended 20.01.2019, art. 4 Labour Code, 06.11.2018- Art. 8 (3) Law for Fostering the Employment – Art.2</p>	
28. Career development	+/-	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 12 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. Art. 114, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 55(2)</p> <p>There is a need for development of a comprehensive strategy for human resources development at SU, incl. concrete measures for facilitating all career stages of researchers, for monitoring and implementation of career plans.</p>	<p>In SU planing is made on annual bases and concerns mainly teaching and supervision activities. A work programme is prepared for PhD students, and the progress made is annually assessed. Administrative staff is also available for PhD programmes support.</p> <p>Recently, a SU structural change was approved and the Career Centre was transformed into Career development sector with new jobs allocated on researchers' career advice.</p> <p>Actions to be taken:</p> <ul style="list-style-type: none"> + establishment of a working group to study the career development practice in other countries and to propose concrete plan for career development support at SU + implementation of the plan by the Career development sector of SU
29. Value of mobility	+/-	<p>The principle is partly observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 7 (4) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p>	<p>At SU is acting the EURAXESS BHO since 2004 which provides services to mobile researchers. Information on mobility opportunities within Maria-Sclodowska Curie actions is regularly provided to SU researchers. Researchers are encouraged to participate also in EURAXESS+ staff exchange.</p>

		<p>National Legal Framework: Higher Education Law, amended 20.01.2019, Art. 57</p> <p>No rules exist for recognition of mobility in other sectors, and in recruitment of researchers' mobility in all its forms is not taken into account.</p>	<p>The international mobility of academic staff is acknowledged in the regular staff evaluation.</p> <p>Actions to be taken: - change of internal staff evaluation criteria in order to recognize the different mobility forms</p>
30. Access to career advice	+/-	<p>The principle is observed in SU internal documents: Sofia University's legal framework: Art. 12 (3) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>Changes for introduction of career services to researchers are underway.</p>	<p>Recently, a SU structural change was approved and the Career Centre was transformed into Career development sector with new jobs allocated on researchers' career advice.</p> <p>Actions to be taken: - training of administrative staff on career development practices - awareness raising of researchers for the new services in place - regular monitoring of career development needs, incl. new knowledge and skills, of researchers</p>
31. Intellectual Property Rights	+/-	<p>General rules are in place for IPR at SU and in national legislation: Sofia University's legal framework: IPR Rules of SU, 07.12.2016 Art. 14 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, Art. 55, Art. 70 Intellectual Property Rights Law, amended 20.02.2015</p>	<p>Actions to be taken: - development of specific procedures for IPR protection and knowledge transfer - training of researchers on IPR protection and knowledge transfer</p>

		<p>Law for Academic Staff Development, amended 05.05.2018 – Art.4 (11), Art. 30, Art. 30a</p> <p>There is a need for establishment a mechanism for IPR protection, monitoring and control.</p>	
32. Co-authorship	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University’s legal framework: Art. 11 (4) of the Ethics Code of the Academic Community of Sofia University, 02.03.2016.</p> <p>National Legal Framework: Intellectual Property Rights Law, amended 20.02.2015</p>	
33. Teaching	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University’s legal framework: Art. 11 (3) of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016.</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, Art. 57 Law for Academic Staff Development, amended 05.05.2018, Art. 2b</p>	
34. Complains/ appeals	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University’s legal framework: The first Academic Ombudsman in Bulgaria took this position in 2004 in Sofia University.</p>	

		<p>New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 (for each degree and position)</p> <p>Art. 15 of the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12 2016</p> <p>National Legal Framework: Law on Protection Against Discrimination, 20.05.2011 Law on Access to Public Information, 7.07.2000 Higher Education Law, amended 20.01.2019 Labour Code, 06.11.2018 Law for Academic Staff Development, amended 05.05.2018, Art. 22(1), Art. 26(5), Art. 32</p>	
35. Participation in decision-making bodies	+	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 114, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, Art. 55(1), Art. 70(1)</p>	
Training and Development			
36. Relation with supervisors	+	<p>The principle is generally observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: For PhD students, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018</p>	

		<p>Art. 12 (3) – the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. Art. 19 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016.</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 70(1)</p>	
37. Supervision and managerial duties	+/-	<p>The principle is observed in national legislation and SU internal documents: Sofia University's legal framework: Art. 40, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 12 (4) – the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. There will be staff trainings. Art. 20 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016.</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 46(3, 4)</p> <p>More emphasis is needed for monitoring of PhD supervisors obligations and ensuring a concrete framework for mentoring of post-docs.</p>	<p>In the regular evaluation of SU PhD students is foreseen collection of feedback forms for their satisfaction with supervision and research environment.</p> <p>Actions to be taken: - Concrete guidelines to be developed related to PhD supervision and post-docs mentoring and advise. - training of supervisors and mentors of researchers</p>
38. Continuing Professional Development	+/-	<p>The principle is observed in national legislation and SU internal documents: Sofia University's legal framework: Art. 12 (1) – the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. Art. 21 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016.</p>	<p>SU researchers have many opportunities for mobility and specialisation under ERASMUS+. The limited places are distributed to researchers after internal competition. Several courses are offered to researchers within the Doctoral Programme of SU. Special funding is available for PhD students to present their work at international conferences.</p>

		<p>Art. 114, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 6(4)</p> <p>SU lacks funding for ensuring different schemes for continuous professional development and researchers' mobility and specialization.</p>	<p>An annual research funding scheme is available at SU which provides research funding on competitive base, incl. for participation in research conferences and scientific events abroad.</p> <p>Actions to be taken: Concrete measures to be specified in a Strategy for human resources development at SU.</p> <ul style="list-style-type: none"> - establishment of a working group to study the HR related practice and to prepare HR strategy and action plan, and broadly discuss them - organisation of training within ongoing projects <p>In long-term:</p> <ul style="list-style-type: none"> - HR strategy adoption, resources allocation, implementation and monitoring.
<p>39. Access to research training and continuous development</p>	<p>+/-</p>	<p>The principle is observed in national legislation and SU internal documents:</p> <p>Sofia University's legal framework: Art. 36, Art. 37, Art. 38, new Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 12 (2) – the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. Art. 114, Regulation on organization and work of Sofia University, 13.12.2018</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, art. 6(4)</p> <p>SU lacks funding for ensuring different schemes for continuous professional development and researchers' mobility and specialization.</p>	<p>SU researchers have many opportunities for mobility and specialisation under ERASMUS+. The limited places are distributed to researchers after internal competition. Several courses are offered to researchers within the Doctoral Programme of SU.</p> <p>Actions to be taken: - Concrete measures to be specified in a Strategy for human resources development at SU for ensuring funding to support researchers for acquiring new knowledge and skills.</p>

<p>40. Supervision <i>Работодателите и/или финансиращите организации трябва да осигурят конкретна информация за лицето, към което могат да се обръщат начинаещите учени за изпълнение на професионалните си задължения и съответно да информират за това научния ръководител. Такива разпоредби трябва ясно да осигурят предложените научни ръководители да бъдат експерти в областта на научните изследвания, да имат време, познания, опит, експертност и готовност да предложат на обучаваните учени подходяща подкрепа и съдействие за процедурите, необходими за напредък и рецензиране, както и необходимия механизъм за обратна връзка.</i></p>	<p>+/-</p>	<p>The principle is observed in national legislation and SU internal documents: Sofia University's legal framework: New Regulation on terms and conditions for acquiring scientific degrees and taking academic positions at SU, 31.10.2018 Art. 12 (4) – the Regulation on implementation of the European Charter and Code for recruitment of researchers at Sofia University, 21.12.2016. Art. 19 of the Ethics Code of the Academic Community of Sofia University, 02.03.2016.</p> <p>National Legal Framework: Higher Education Law, amended 20.01.2019, Art. 46</p> <p>More emphasis is needed for careful selection of supervisors and mentors and monitoring of their performance. There is a need for specific guidance and rules for exercising supervision duties.</p>	<p>In the regular evaluation of SU PhD students is foreseen collection of feedback forms for their satisfaction with supervision and research environment.</p> <p>Actions to be taken: - Concrete measures to be specified in a Strategy for human resources development at SU related to supervision duties of senior researchers so as to ensure research quality and to facilitate career development of not established researchers (R1 and R2). -</p>
<p>Any additional issues</p>			