



**KOÇ UNIVERSITY GAP ANALYSIS FOR
THE HRS4R PROCESS**

Case number: 2018TR343571

1. Research freedom (fully implemented)

Initiatives undertaken/new proposals

Koç University (KU) is an institution that thrives for excellence in science & education and defines itself primarily as 'research university', which reflects the depth and variety of research produced at the university. Researchers are always motivated to expand the frontiers of research and to take scientific knowledge one step further. They focus their research to contribute to the good of all mankind. They address major issues in society, technology and science while enjoying freedom of thought and expression according to universally accepted ethical principles and practices. At KU there are no sharp boundaries between disciplines and the cross-disciplinary work is commonplace. KU departments cover most disciplines from law, business, social sciences, to engineering, sciences and medicine. Creating the freest research environment possible in every aspect is one of the main goals for KU to carry out its research strategy properly. (See: <https://research.ku.edu.tr/research/research-strategy/>).

Deans and administrative units of the colleges strongly support this research strategy, demonstrated by various statements on college websites:

<https://case.ku.edu.tr/en/about/mission-vision-values/>

<https://medicine.ku.edu.tr/en/about-us/vision-and-mission/>

<https://nursing.ku.edu.tr/en/about/our-mission-vision-and-values/>

<https://law.ku.edu.tr/en/about/deans-message/>

<https://science.ku.edu.tr/en/about/deans-message/>

<https://eng.ku.edu.tr/en/about/engineering-vision/>

<https://cssh.ku.edu.tr/en/about/deans-message/>

KU has many research centers (<https://www.ku.edu.tr/en/research/research-centers-and-labs/research-center/research-centers/>) which are established for experts to accumulate scientific knowledge on various topics. R2-R4 level researchers can request the establishment of a research center by communicating their scientific reasons freely to the administration. If approved by the Vice President for Research and Development and the President, any research center can be established under the Research Center Establishment Procedure (https://vprd.ku.edu.tr/wp-content/uploads/2017/12/ResearchCenterProcedure_rev4_09032012.pdf). Once established according to national higher education regulations, the research environment in a given research center can be customized according to changing needs.

As stated in the KU Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>), there is no limitation on research subjects and research methods employed by the researchers. There are no obstacles before freedom of research at KU.

R1 researchers have the right to express their opinion on the academic subject matter of a course freely, even when in dispute with the view of the instructor, without any concern for academic penalty. That issue is clearly explained in the Student Code of Conduct (<https://apdd.ku.edu.tr/en/academic-policies/student-code-of-conduct/>). However, differences of opinions should always be presented in a manner that is in accordance with the principles of classroom conduct at Koç University.

2. Ethical principles (fully implemented)

Initiatives undertaken/new proposals

Koç University has published “Koç University Code Of Ethical Conduct And Practice Principles” in order to bring a common ethical understanding to all research activities at KU. (See: https://my.ku.edu.tr/wp-content/uploads/2018/08/P17-HR-002_KO%C3%87-UNIVERSITY-CODE-OF-ETHICAL-CONDUCT-AND-PRACTICE-PRINCIPLES-V4_0.pdf)

Under the Office of the VPRD, Koç University has a Committee on Human Research (CHR) which serves to design, conduct, record, report and provide scientific and ethical standards on related issues, and to protect the rights of volunteers in the research process, within the framework of universal ethical principles of all research that will be conducted by the members of KU. Operations of this unit is explained on the VPRD website: <https://vprd.ku.edu.tr/en/committee-on-human-research/> .

In total, 4 Ethics Committees are operational: clinical research ethics committee, biomedical research ethics committee, social science research ethics committee and animal experiments local ethics committee (<https://vprd.ku.edu.tr/etik-kurullar/>). These committees carry out their work in accordance with EU Clinical Trials Directive (2001/20/EC), EU Clinical Trials Directive (2005/20/EC), Policies of Federation of European Laboratory Animal Science Association (FELASA), etc. For references:

<https://vprd.ku.edu.tr/koc-universitesi-klinik-arastirmalar-etik-kurulu-faydali-linkler/>

<https://vprd.ku.edu.tr/koc-universitesi-biyomedikal-arastirmalar-etik-kurulu-faydali-linkler/>

<https://vprd.ku.edu.tr/koc-universitesi-insan-arastirmalari-etik-kurulu-faydali-linkler/>

<https://vprd.ku.edu.tr/faydali-linkler>

The University's ethics committee members and researchers are enrolled in the "CITI Collaborative Institutional Training Initiative" program (<https://vprd.ku.edu.tr/citi-egitim-programi>) in order to receive a standard training on ethical principles and rules. KU aims to plan and carry out all research by university members in line with universal ethical principles and rules thanks to this program.

3. Professional responsibility (fully implemented)

Initiatives undertaken/new proposals

KU expects all its researchers to perform their research in accordance with the rules of academic honesty and professional responsibility. Any kind of academic dishonesty like plagiarism, cheating or collusion are not tolerated at KU and are considered as serious offenses.

For R1 researchers, regulations are clearly defined in the Student Code of Conduct (<https://apdd.ku.edu.tr/en/academic-policies/student-code-of-conduct/>).

For R2-R4 researchers, the Office of VPAA has the responsibility to raise awareness on professional responsibility. KU's main library, “Suna Kıraç Library” has published general information regarding usage of anti-plagiarism tools on its website (<https://library.ku.edu.tr/en/research/tools/tools-for-plagiarism/>). Staff in the Library guide

researchers to use the plagiarism detection software named 'iThenticate' which helps users ensuring content originality by checking among millions of academic databases, academic journals and publications. Also, on the website of the Library, some definitions, suggestions and supplementary resources are published to understand the 'plagiarism' more clearly and to avoid 'accidental plagiarism' in academic writing (<https://libguides.ku.edu.tr/c.php?g=135289&p=886625>).

Furthermore, the technology transfer unit of KU Research, Project Development and Technology Transfer Directorate (RPDTTD) aims to support all issues related to intellectual property rights (IPR) and their management. RPDTTD provides guidance on IPR related professional responsibilities such as commercialization or proper licencing (<https://tto.ku.edu.tr/en/technology-transfer/>).

4. Professional attitude (fully implemented)

Initiatives undertaken/new proposals

In the institutional self-evaluation report submitted to Turkish Higher Education Quality Council (governmental body regulating all national universities in Turkey), Koç University lists its strategic goals and priorities under two main aspects: 1) To provide a free research and study environment for all researchers and students; 2) to maintain a balance between teaching and research (see: <https://yokak.gov.tr/raporlar/IntrnalReportPublic?unild=1134&termYear=2019>). Also, in a recent General Faculty and Staff Meeting (<https://api.yokak.gov.tr/Storage/ku/2019/ProofFiles/Genel%20Fak%C3%BCite%20Sunumu.pdf>), the President clearly indicated the 2023 vision of KU and its priorities for 2019-2020 completely in parallel to these principles. Therefore, better integration among the colleges of the university, having new interdisciplinary research centres, joint projects, joint PhD supervision & joint labs & seminars, new completion of technological infrastructures, new initiative for comprehensive Internationalization, R&D projects (EU Horizon 2020 & FP9, ERCs, TUBITAK, industry), and more PhD recruitment (R1 researchers) are among chief priorities of KU.

As mentioned above, securing European Commission funding is a strategic goal at the university (<https://research.ku.edu.tr/research/research-strategy/>). To support this goal, under the Office of the VPRD, Research and Project Development Directorate (RPDTTD) provides guidance on national and international R&D funding (<https://tto.ku.edu.tr/en/research-support-services/>). RPDTTD provides services at two levels of externally funded research and innovation project applications: "Pre-grant" and "post-grant". Pre-grant services include listening the researcher's funding needs and matching them with proper funding schemes. Post-grant services include implementation support (administrative and financial) for a funded project for the duration of the action. Any delay or unforeseen problems related to project are declared to RPDTTD to remedy together. Also, all approvals, during project application or after it is funded, are received from Vice President for Research and Development (VPRD) through RPDTTD. All researchers can reach RPDTTD support officers easily to request funding support services.

The number of published articles per researcher is an indicator of the importance attached to research, as well as the success of faculty and research programs. So, another responsibility of researchers is to increase the reputation of Koç University by publishing

internationally reputable research journals and books. It is clearly written in the section 1 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>).

5. Contractual and legal obligations (fully implemented)

Initiatives undertaken/new proposals

KU has an official, public document titled “Policies on Intellectual Property Rights and Technology Transfer” (https://tto.ku.edu.tr/wp-content/uploads/2019/11/IPRTT_policy.pdf), which is in accordance with the “European Charter for Researchers”, by which each contracted researcher (R1-R4) is legally bound. Also, this policy is prepared regarding Industrial Property Law (IPL), Higher Education Law, 24/4/2017 dated Regulation Regarding Application of Industrial Property Law, Regulation Regarding Employee Inventions, Inventions Performed in Higher Education Institutions, and Inventions Performed from Public Funded Projects. With this policy KU aims to recognize and uphold the principles of academic integrity in the possible commercialization of intellectual property and outline clearly the ownership rights. While researchers deliver their research results (e.g. thesis, publications, patents, reports, new products development, etc), they can always consult RDPTTD’s technology transfer support officer (<https://tto.ku.edu.tr/en/technology-transfer/>).

For R1 researchers, regulations are clearly defined in the Student Code of Conduct (<https://apdd.ku.edu.tr/en/academic-policies/student-code-of-conduct/>). In the Code of Conduct, researchers could find the details of policy and the regulations for delivering the required results (e.g. thesis, publications).

Also, for each recruited researcher at the level of R2-R4, an HR partner is appointed (<https://hr.ku.edu.tr/en/hr-practices/hr-partner/>). HR Partners are consultants who inform the employees about HR-related topics. Researchers can go to their HR partners for all matters and services related to HR. Furthermore, a “a buddy system” is employed at KU to help the orientation of new KU employees, where an employee with experience is assigned to the new employee. Both the HR partner and the buddy support the newly recruited researcher for issues related to contractual rights and obligations well before the official start date of the person’s work contract. Rights and obligations are also summarized here: <https://my.ku.edu.tr/en/resources/human-resources-procedures/>.

6. Accountability (fully implemented)

Initiatives undertaken/new proposals

Researchers are supported by RPDTTD throughout the project lifetime in terms of financial and administrative management of their research projects funded by all national/international funding programmes. To avoid any unforeseen problems which could be arisen during the project, RPDTTD guides researchers on financial issues during the application. When an application is funded, RPDTTD supports the PI for details like tracking the budget transfer, project expenditures, or preparation of financial reports (<https://tto.ku.edu.tr/en/research-support-services/>). RPDTTD works in coordination with the KU Comptroller’s Office. The Comptroller’s Office further supports accountability issues when an externally funded project is audited, and coordinates administrative preparations for the audit, under RPDTTD’s guidance. Procedures related to the duties of accounting, finance and audits are accessible (but limited) on the website of the office (<https://comptroller.ku.edu.tr/en>).

7. Good practice in research (fully implemented)

Initiatives undertaken/new proposals

Under KU's Human Resources Directorate, The Office of Occupational Health and Safety (<https://isg.ku.edu.tr/en/>) is responsible for all safe working conditions of the university. A handbook detailing health and safety practices are accessible for all researchers, students and all campus users here: <https://isg.ku.edu.tr/wp-content/uploads/2019/12/health-and-safety-manual.pdf>. Based on this, an Occupational Health and Safety Directive (https://isg.ku.edu.tr/wp-content/uploads/2019/12/ku_occupational_health_and_safety_directive_1.pdf) prescribing the work and the implementation for different target groups and for different risk types has been published. The main purpose of this directive is to raise the level of awareness of all campus users and to ensure that all parties involved are equally knowledgeable regarding the basic rules in occupational health and safety, the issues to be considered, and the measures to be taken. Also, there is a system in which the employees can declare work accidents, hazards and even 'near miss situations' they have had to take precautions by The Office of Occupational Health and Safety on time (<https://isg.ku.edu.tr/en/reporting-and-acquisition-of-information/reporting-of-hazards-accidents-near-miss-situations/>). The Office of Occupational Health and Safety of KU is directly bounded to Occupational Health and Safety Law (6331, 20.06.2012) which is included in Official Journal (<https://www.ilo.org/dyn/natlex/docs/MONOGRAPH/92011/106963/F1028231731/TUR92011%20Eng.pdf>)

Koç University Information Technology Department has prepared and published "Policy on the Protection and Processing of Personal Data" (<https://drive.google.com/file/d/0BycHV4NTqAi0UIFoM0pFaWJhczA/view>) and "KU information on Personal Data Processing" (<https://drive.google.com/file/d/0BycHV4NTqAi0X2ZCUjIwdnFrdEU/view>). These policy and procedures are accessible on the KU IT Website (<https://it.ku.edu.tr/en/about-us/policies-and-procedures/>). These procedures are created in compliance with Turkish Personal Data Protection Law no. 6698 (Enacted on 24/3/2016, published in the Official Gazette dated 7/4/2016 no. 29677) which in turn was designed to comply with EU's General Data Protection Regulation. Also, Koç University has appointed a Data Protection Officer and researchers in project teams of ongoing grants involve Data Protection Officer in all stages of the project and seek her advice on data privacy issues. At the end of 2020, establishment of a Data Protection Office with suitably qualified experts will be completed.

8. Dissemination, exploitation of results (fully implemented)

Initiatives undertaken/new proposals

Research, Project Development and Technology Transfer Directorate (RPDTTD) provides support for university-business collaborations; administers externally supported research projects; facilitates commercialization of research outcomes; and meets the needs of researchers for issues like patents, new ventures and technology transfer (<https://tto.ku.edu.tr/en/technology-transfer/>). While patent applications are submitted, the processes proceed according to the laws of each country. For Turkey:

- Law; "Industrial Property Law No. 6769" (<https://www.mevzuat.gov.tr/MevzuatMetin/1.5.6769.pdf>),
- Regulation; "Regulation Regarding Employee Inventions, Inventions Carried Out In Higher Education Institutions, And Inventions Arising In Public Supported Projects" (<https://www.resmigazete.gov.tr/eskiler/2017/09/20170929-6.htm>),
- Guide; "Employee Inventions Practice Manual" (<https://www.turkpatent.gov.tr/TURKPATENT/resources/temp/91C9FBB3-FC93-478A-96DE-AFDB24324A5B.pdf;jsessionid=EB767D4721EF60BA71EF601584>).

At the same time, researchers at KU are subject to the "Regulation on Tenders for Foundation Universities" (<https://www.resmigazete.gov.tr/eskiler/2018/11/20181116-3.htm>) during the commercialization of patents. In addition to these, the patents are protected according to the laws of the country where the application is submitted, as mentioned above. In this process, patent attorney companies work with the local representative of the protected country. Therefore, local attorneys carry out the patent processes in the applied countries according to the laws of that country.

As an entity separate from RPDTTD centred in Şişli, KWORKS Entrepreneurship Research Center (KWORKS) provides support for start-up companies to be established by researchers (R1-R4) and offers guidance about commercialization and entrepreneurship issues. KWORKS assists entrepreneurs to build sustainable and scalable technology ventures. (<https://kworks.ku.edu.tr/en/>)

9. Public engagement (fully implemented)

Initiatives undertaken/new proposals

Koç University has many social media accounts (<https://www.ku.edu.tr/en/contact/social-media-accounts/>) to ensure that the research activities of the university are made known to society. All printed materials of KU such as magazines, introductory booklets, yearly reports, brochures, pocket guides, flyers, postcards, posters, as well as specific online media material (i.e. buttons, name tags, portals, emails) contribute to increase the engagement of Koç University with public (<https://my.ku.edu.tr/en/resources/corporate-communication-procedures/>). Over 300 academic events are hosted at Koç University each year. And Over 1000 high school and undergraduate students from Turkey and abroad have participated in the popular Koç University Summer Research Program (<https://vprd.ku.edu.tr/en/kusrp/>).

Koç University launched in 2014 the popular science website in Turkey to inform the public about scientific and technological breakthroughs taking place in the university, within Turkey and abroad – KURIOUS (<https://kurious.ku.edu.tr/en>) has over 100.000 users with the slogan "Science for All". In addition, a research magazine of Koç University, FRONTIER (<https://tto.ku.edu.tr/en/research-magazine-frontier/>) aims to inform the general public about recent and exciting research findings and activities as well as new programs and facilities at Koç University. It contributes to promote collaborative research between Koç University and other academic institutions, governmental and non-governmental organizations, and industry.

Thanks to all these, the University expresses itself correctly as a public actor, and to inform the public about all kinds of academic research, discovery and findings.

Also Ko University has its own Youtube channel (<https://www.youtube.com/user/KUKocUniversity>) which can be especially used for introductory films, webinars or live events and many blogs (<https://kusif.ku.edu.tr/en/blog/>; <https://kockam.ku.edu.tr/en/blog/>; <https://alis.ku.edu.tr/en/blog/>; <https://kuttam.ku.edu.tr/blog/>; <https://leadlab.ku.edu.tr/index.php/blog-and-news/>; <https://kworks.ku.edu.tr/en/blog/>; <https://sklblog.ku.edu.tr/>; <https://anamedblog.com/>).

10. Non discrimination (fully implemented)

Initiatives undertaken/new proposals

As published on the official website of the Grand National Assembly of Turkey (TBMM), the provisions of the Constitution of the Republic of Turkey are fundamental legal rules binding all institutions including Koç University (https://global.tbmm.gov.tr/docs/constitution_en.pdf). In the article related to equality before the law (article 10) of the Turkish Constitution, there is a statement providing non-discrimination at the university: "Everyone is equal before the law without discrimination based on language, race, colour, sex, political opinion, philosophical belief, religion and sect, or any such grounds. Men and women have equal rights. The State has the obligation to ensure that this equality exists in practice."

The University is further bound by the Labour Act of Turkey which aims to regulate the working conditions and work-related rights and obligations of employers and employees working under an employment contract (<https://www.mevzuat.gov.tr/mevzuat?MevzuatNo=4857&MevzuatTur=1&MevzuatTertip=5> ; <https://www.ilo.org/dyn/natlex/docs/ELECTRONIC/64083/77276/%20F75317864/TUR64083%20English.pdf>). In the Act, the article 5 has a provision directly ensuring non-discrimination at the university: "No discrimination based on language, race, color, gender, disability, political opinion, philosophical belief, religion, sect or similar reasons is permissible in the employment relationship. The employer cannot differently treat a part-time worker against a full-time worker, and a fixed-term worker against an indefinite-term worker, unless there are fundamental reasons. The employer cannot directly or indirectly discriminate against a worker from the conclusion of the employment contract, the establishment of the terms, implementation and termination, due to gender or pregnancy, unless biological or reasons related to the nature of the work require it. A lower wage cannot be determined for a job of the same or equal value due to gender. The application of special protective provisions due to the sex of the worker does not justify the application of a lower wage."

Initiated for the first time in 2014, Koç University has "Seed Research Fund (KU-SRF) Program" which is designed to support innovative early-stage research projects from all disciplines represented in the University (science, medicine, engineering, administrative sciences, economics, social sciences and humanities, law and nursing). In that own funding program, Koç University shows its support for non-discrimination by not including discrimination in the application rules on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition. The Seed Fund Program is open to all full-time KU faculty (R3-R4) and post-doctoral researchers (R2) to plant the seed of an innovative idea.

Under the Office of the Dean of Students, The Office of Disability Services (<https://dos.ku.edu.tr/en/the-office-of-disability-services/>) supports students with disabilities for access to campus facilities and integration to campus life, and the unit also provides services to this community for personal and academic development. The office is responsible for ensuring proper physical arrangements in campus spaces for access. As of

October 2020, a more inclusive office is being established, to service all individuals with disabilities at KU, namely, the Office of Diversity and Inclusion (<https://dos.ku.edu.tr/wp-content/uploads/2020/01/Koc-Universitesi-Esitlik-Ve-Farkindalik-Birimi-yonergesi-nihai.pdf>).

96% of courses at KU are taught in English. KU's Office of Teaching and Learning (KOLT) equips R2-R4 level researchers with training and skills necessary to teach diverse international students with different learning styles and traditions. It is clearly explained in the Strategic Internationalization Plan of Koç University (<https://oip.ku.edu.tr/wp-content/uploads/2020/01/koc-university-strategic-internationalization-plan-kusip-2017-2020-final.pdf>) to prevent discrimination based on language.

A survey, "Women-Friendly Campus Research: Join our Online Survey" (approved by KU Committee on Human Research) is carried out by The Center for Gender Studies at Koc University (KOÇ-KAM) to address gender discrimination issues at the campus (<https://kockam.ku.edu.tr/en/women-friendly-campus-research-join-our-online-survey-approved-by-ku-committee-on-human-research/>).

Among R1 researchers, KU has policies to reduce negative effects of existing inequalities through its KURES Counseling Service (<https://dos.ku.edu.tr/en/kures-counseling-service/>).

11. Evaluation/ appraisal systems (fully implemented)

Initiatives undertaken/new proposals

Koç University has an annual evaluation process to assess performance of R2-R4 level researchers in terms of their contributions and achievements in research and scholarly work, teaching, and service both to the university and society at large. The objective of the evaluation system is to provide advice/guidance for to the researchers for their long-term professional development. All the details of evaluation process are open and clearly written in the section 2 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>)

The Annual Activities Form covers the period (September 1 through August 31) of the preceding academic year; and contains a section where researcher presents a self-evaluation for his/her performance in the preceding academic year, and his/her projects for the current academic year.

The procedure is carried out along the following steps:

- September 1: The researcher submits the annual report (a web-based form);
- Second week of November: Dean/Director presents his/her evaluation to the researcher
- Third week of November: The researcher presents his/her views to Dean/Director; (if a revision is needed)
- First week of December: Dean/Director presents his/her finalized evaluation to VPAA;
- Fourth week of December: VPAA submits his/her recommendation to President;
- Second week of January: President finalizes the evaluation decisions.

The annual evaluation of researchers is based on teaching effectiveness, research, scholarly activity, and university and professional service. As listed in the annual activities form, main criteria of the evaluation are below:

1. Teaching Activities

The syllabi, student evaluations, attendance level to classes taught, student oral communications and the review of the teaching dossiers constitute the bases of the teaching evaluation: 1.1. Courses taught, number of students, pass rate and average grade, 1.2. Graduate student advising

1.3. Independent Study 1.4. Teaching conferences, seminars or workshops attended 1.5. KOLT Activities/Seminars/Trainings Attended 1.6. Teaching awards 1.7. Developing new courses, teaching techniques constitute the bases of the 'teaching' evaluation

2. Scholarly Activities

'Impact' is the criterion that determines the relative importance of the scholarly work. Hence, in general, (i) printed material has a higher value due to its larger and more lasting impact than conference presentations; (ii) in a majority of disciplines, journal articles are given a higher value over other types of printed material: 2.1. Publications like thesis, research articles in journals, Conference proceedings articles, Books, Chapters in books, Technical reports, Patents, Creative work, Citations (ISI Citations, Scopus Citations, Google Scholar Citations) 2.2. Presentations in Conferences or, invited lectures, 2.3. Ongoing research activity 2.4 Editorial activities like Journal Editing, Reviewing for professional journals, Conference organization, Reviewing for conferences 2.5. Honors and Awards 2.6. Sponsored Research by external sources constitute the bases of the 'scholarly work' evaluation

3. Service

All researchers are also expected to contribute a form of service, appropriate to their rank and seniority, by being responsive to the needs of the students, the Colleges, the University, and the Society at large. So, 3.1. University Service like taking part in Administrative positions, University committees, Seminars, workshops, Undergraduate student advising and Club advising 3.2. community service like Consulting to private, public or non-profit institutions participating to Seminars and workshops or Positions in private, public or non-profit institutions 3.3. Non-professional publications and presentations honors and awards constitute the bases of the 'service' evaluation.

12. Recruitment (fully implemented)

Initiatives undertaken/new proposals

The explanation for Principle 13 covers all issues that are "fully implemented" for item 12.

13. Recruitment (Code) (fully implemented)

Initiatives undertaken/new proposals

Recruitment of R3-R4 researchers at Koç University is initially facilitated by budgetary allocation for faculty growth by the Board of Trustees. When the proper budget is allocated, Selection Committees go to work on searching candidates. Committees prepare descriptions for the positions to be advertised in various worldwide registers. After the posting of the position at national and international outlets, a large number of applications are received. Committees discuss with relevant departments to decide upon a short-list of candidates

based on minimum academic success criteria. It should be noted that the departmental evaluation of applications in terms of assessment of the technical quality of the scholarly work of the applicant in a manner and level suitable to the particular discipline and identification of candidates to be short-listed is of paramount importance. The short-list of candidates is then sent to the Committee Chair (Dean). The Search Committee subsequently deliberates extensively to identify a number of candidates (typically 3 to 4 or more as needed) to be invited for interview. Candidates invited for an interview also apply to the open position announced in Turkey's Official Gazette (this is a national legal obligation). Once a candidate is invited, faculty members from the relevant department actively participate in the interview process. Such participation by faculty members of the relevant department should be strongly encouraged by both the Dean and the Search Committee.

After the completion of interviews, all faculty members from relevant departments are invited to provide their individual assessments of the candidates. These assessments are provided in writing (email) only to the Committee Chair (Dean) and must normally be kept strictly confidential. The Dean may share these comments with the Search Committee as needed. Search Committees then prepare their recommendations, which may involve a single candidate for appointment or multiple candidates to be evaluated by the Executive Council. The Council decisions are submitted to the Board of Trustees for a final approval. This procedure is made publicly available in the Faculty Handbook Appendice A16 (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>). KU's procedure legally complies with the national Regulation for Faculty Promotions and Appointments of the Turkish Higher Educational Council (<https://www.resmigazete.gov.tr/eskiler/2018/06/20180612-6.htm>).

R2 recruitment is handled on a case-by- case manner, depending on the external funding program and the needs of the R3-R4 researchers that is going to supervise the postdoctoral researcher.

For R1 researchers, the process is different. Announcements for doctoral applications are published on the websites of each graduate school at KU (<https://qsssh.ku.edu.tr/en/>; <https://gsse.ku.edu.tr/en/>; <https://gshs.ku.edu.tr/en/>; <https://gsb.ku.edu.tr/>). Application requirements, application deadlines, administrative procedures and online guides are made clear and accessible at the websites (under the "admissions" tab). Announcements are also shared on LinkedIn (<https://www.linkedin.com/showcase/graduate-school-of-social-sciences-and-humanities/>; <https://www.linkedin.com/showcase/ko%C3%A7-university-graduate-school-of-business/>; <https://www.linkedin.com/in/ku-graduate-school-of-health-sciences-a27454137/?originalSubdomain=tr>) and other social media accounts (https://www.instagram.com/qsssh_kocuniversity/?hl=en ; https://www.instagram.com/gshs_kocuniversity/?hl=en ; <https://www.instagram.com/kocgsb/?hl=en> ; <https://twitter.com/kocgsb?lang=en>; <https://instagram.com/kocengineering?igshid=zbsfa50b2nds>). After announcements, applications for the position for R1 researchers are received online through the online dashboard. Graduate Scholarship Regulations (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/GS-regs.pdf>) contain conditions of the applications for scholarships provided for the doctorate programmes, of the evaluation process of these applications, stipend payment periods and the conditions of their termination, the principles, content and evaluation rules of the teaching and research assistantship training, and rules for other benefits for the R1 researchers. All candidates are informed about the results and for selected candidates, guidance is provided for administrative preparation.

R1 recruitment in Turkey is heavily regulated under Turkey's Higher Educational Council (so as all universities, KU is in full compliance with the document, "Regulations on Graduate

Studies" (<https://gsssh.ku.edu.tr/wp-content/uploads/2016/02/YOK-Regulations-Graduate-Studies-April-202016.pdf>). At some graduate schools, there can be teaching practices for recruited R1 researchers to contribute their career development and it is published in the announcement of the position. For example, Graduate Schools of Social Sciences and Humanities offers their doctoral researchers the chance of Teaching and Research Assistantship (<https://gsssh.ku.edu.tr/en/student-guidelines/teaching-research-assistantship/>) and teaching undergraduate courses (<https://gsssh.ku.edu.tr/en/student-guidelines/teaching-ph-d-students/>) which are defined in detail in the principle 'teaching'.

14. Selection (Code) (almost but not fully implemented)

GAP / Implementation impediments

There is a clear and formalized procedure about how Selection Committees (for R3-R4 researchers) operate at KU. Written material covers topics related to Principles 13-20, but there is no official training program that prepares Selection Committee members about how to operate.

Initiatives undertaken/new proposals

In order to ensure full implementation in Principles 14-20, an online multimedia training tool will be developed and its script will be made available within the Faculty Handbook (which formally covers all issues related to recruitment, <https://facultyguide.ku.edu.tr/online-faculty-handbook/>). Every Selection Committee member, once appointed, will be required to complete the training.

15. Transparency (Code) (almost but not fully implemented)

GAP / Implementation impediments

In addition to the "training program" gap defined under Principle 14, it is observed that there are no clear guidelines about feedback given to rejected job applications at Koç University. All candidates are openly informed, but in most cases clear justifications for rejection were not communicated to candidates.

Initiatives undertaken/new proposals

KU abides by Turkey's Higher Education Council regulations in informing rejected R3-R4 candidates. Giving detailed explanations about criteria that leads to rejection decisions is not practised. To remedy this, the Office of the VPAA will prepare a template that lists most common rejection reasons and the online training tool for Selection Committee members will guide researchers to keep notes about negative feedback to candidates. Sending such feedback will be made standard practice during faculty recruitment.

16. Judging merit (Code) (almost but not fully implemented)

GAP / Implementation impediments

The gap here is already defined under Principle 14, in terms of lack of a training program that guides Selection Committee members about evaluating researcher experience. The

issue of merit judgment needs to be addressed in compliance with the Code & Conduct in the recruitment of all researchers.

Initiatives undertaken/new proposals

The initiative described under Principle 14 will close this gap.

17. Variations in the chronological order of CVs (Code) (almost but not fully implemented)

GAP / Implementation impediments

The gap here is already defined under Principle 14, in terms of lack of a training program that guides Selection Committee members about evaluating career breaks. The issue of judging chronological variations in CVs needs to be addressed in compliance with the Code & Conduct in the recruitment of all researchers.

Initiatives undertaken/new proposals

The initiative described under Principle 14 will close this gap.

18. Recognition of mobility experience (Code) (almost but not fully implemented)

GAP / Implementation impediments

The gap here is already defined under Principle 14, in terms of lack of a training program that guides Selection Committee members about evaluating mobility experiences of job candidates. The issue of recognizing mobility needs to be addressed in compliance with the Code & Conduct in the recruitment of all researchers.

Initiatives undertaken/new proposals

The initiative described under Principle 14 will close this gap.

19. Recognition of qualifications (Code) (almost but not fully implemented)

GAP / Implementation impediments

The gap here is already defined under Principle 14, in terms of lack of a training program that guides Selection Committee members about properly recognizing researcher qualifications. The issue of recognizing qualifications needs to be addressed in compliance with the Code & Conduct in the recruitment of all researchers.

Initiatives undertaken/new proposals

The initiative described under Principle 14 will close this gap.

20. Seniority (Code) (almost but not fully implemented)

GAP / Implementation impediments

The gap here is already defined under Principle 14, in terms of lack of a training program that guides Selection Committee members about the issue of taking early- or late-stage professional qualifications into consideration for the needs of each job position. The issue needs to be addressed in compliance with the Code & Conduct in the recruitment of all researchers.

Initiatives undertaken/new proposals

The initiative described under Principle 14 will close this gap.

21. Postdoctoral appointments (Code) (almost but not fully implemented)

GAP / Implementation impediments

There is a defined and publicly available procedure at KU for the recruitment and appointment of postdoctoral researchers: "Procedure for Post-Doctoral Researcher Support Program", https://vprd.ku.edu.tr/wp-content/uploads/2019/02/PostDoc_Proseduru_ENG_10082012.pdf. However, in practice the implementation of the guideline has not been uniform across departments and types of postdoctoral researcher appointment. Different units implemented the guideline at different levels, and sometimes appointments were made without the knowledge of the guideline at all. Therefore, revising the guideline and making sure the information is put on a separate dedicated platform, and taking measures to standardize its implementation is necessary. All postdoctoral positions at KU are attached to the Office of the Vice President for R&D, so the coordination task for this effort will be owned by this unit.

Initiatives undertaken/new proposals

Both Prof. Aksun, Vice President for Research and Development, and stakeholder groups consulted have voiced the need to prepare an action plan to improve the recruitment and working conditions of postdoctoral researchers at KU. The university is willing to start its own formal postdoctoral fellowships programs, and the gaps defined in the implementation of the guideline and the need for devising and running career development programs were seen as a necessity especially after the rejection of KU's MSCA-COFUND-2016 application.

Therefore, the following initiative is planned:

(1) Preparation of a separate, detailed online platform (to be accessed from the VPRD website) dedicated to the explanation of KU's guidelines for postdoctoral appointments. Any updates to the existing guideline will be reflected in a clear, accessible style of communication here.

(2) Revision of the current guideline in order to remedy the implementation gaps about postdoctoral appointments across departments.

22. Recognition of the profession (fully implemented)

Initiatives undertaken/new proposals

For R1 researchers, the Graduate Schools guide graduate students on how to utilize the services of Koç University Career Development Center (<https://career.ku.edu.tr/en/>). This unit supports the students to identify and decide on career options that are matching with their interests, skills, abilities, needs and values and equip them with career related knowledge and skills on their journey, and preparing them for their chosen career paths. By increasing their employability potentials in local and global renowned employers, Career Development Center supports the students while building a foundation for high-satisfaction careers.

Turkey's "The Law on Higher Education"

(<https://www.yok.gov.tr/Documents/Yayinlar/Yayinlarimiz/the-law-on-higher-education.pdf>)

and the "Law on Higher Education Staff"

(<https://www.mevzuat.gov.tr/MevzuatMetin/1.5.2914.pdf>) cover the activities and principles

of governing bodies of higher education, all institutions of higher education, and their subdivisions. Therefore, in terms of the recognition of the profession, KU and all Turkish universities must obey the professional principles laid out legally for R2-R4 researchers.

Teaching Staff Members are classified as Professors, Associate Professors, and Assistant Professors in the Laws and so in the recruitment mechanisms of Koç University. 'Professor' is a teaching staff member holding the highest academic title; 'Associate Professor' is a teaching staff member who has successfully fulfilled the requirements of the Inter-university Board and been granted the title; and 'Assistant Professor' is a teaching staff member at the career start, who has received a doctorate, or qualified as a specialist in a medical field, or received a certificate of competence in one of the areas of the fine arts are recognised professionals.

23. Research environment (fully implemented)

Initiatives undertaken/new proposals

Conducting scientific and applied research, proposing policies in various arenas and disseminating academic knowledge in social, economic and legal spheres, Koç University's research centers are a uniquely powerful dimension of the institution's emphasis on research. Undergraduate students work alongside experienced researchers on research projects. These research activities enhance their creativity and acuity for research. Similarly, Koç University's Graduate Programs have a powerful research component, interweaving superior academics with required research experience. The general profile of Koç University as a research university is mentioned on <https://research.ku.edu.tr>. 21 active research centers and 5 research forums (<https://www.ku.edu.tr/en/research/research-centers-and-labs/research-center/>) with their mission and visions, ongoing and completed works, publications and events can be seen by anyone who has interest. Koç University has over 100 laboratories (<https://www.ku.edu.tr/en/research/research-centers-and-labs/laboratories/>) including all research labs, teaching labs, and other types of labs specific to department.

Also, RPDDTD (<https://tto.ku.edu.tr/en>) provides support for university-business collaborations; administers externally supported research projects; facilitates commercialization of research outcomes; and meets the needs of researchers for issues like patents, new ventures and technology transfer. RPDDTD provides support across the entire life-cycle of the sponsored projects of academics.

The University recently received two large investments. İşbank (one of the largest banks in Turkey) has allocated 25 million TL (about 2.7 million EUR) for the establishment of “Koç University’s Artificial Intelligence Application and Research Center”. The center will be a hub of advanced scientific studies in the field of artificial intelligence (<https://ai.ku.edu.tr>). İşbank’s second investment in October 2020 (another 25 million TL) was triggered by the COVID-19 pandemic and helped the establishment of “Koç University Infectious Disease Research Center”. This unit will focus on interdisciplinary life sciences research on vaccines for infectious diseases, along with diagnosis and public health policy (website not yet available, news piece: <https://www.duvarenglish.com/health-2/2020/08/12/koc-universitys-new-infectious-disease-research-center-primarily-to-focus-on-covid-19/>).

For every experienced researcher, KU provides a personal office space and an intra- and inter-networked computer (tuned as per each researcher’s personal specifications) with the full technical and software-based support of KU’s CIT unit. Each researcher has access to the KU Library (<https://library.ku.edu.tr/en/>), which contains 260.000 printed books, 188.000 e-books and provides access to over 66.000 e-journals and 165 databases. The main library also manages an Open Access Repository and provides full support in open access matters. In all scientific project and grant writing activities, KU’s well-staffed Research, Project Development and Technology Transfer Directorate (RPDTTD, <https://tto.ku.edu.tr/en/>) provides assistance to academics in the completion of the necessary administrative documents, as well as follow-up correspondence with the grantor to ensure all practical arrangements for the implementation and management of the project are complete. Additionally, each college in KU has its separate administrative unit and colleges support researchers’ travel expenses for scientific activities like congresses.

24. Working conditions (fully implemented)

Initiatives undertaken/new proposals

Main benefits which are offered to R2-R4 researchers are housing, health insurance, leaves for maternity and breastfeeding, childcare support, transport services, lunch benefits, and library. Housing benefit procedures for R3-R4 researchers (https://my.ku.edu.tr/wp-content/uploads/2018/08/P17-HR-004_HOUSING-BENEFIT-PROCEDURE_01062012.pdf) and for R2 researchers (<https://dorms.ku.edu.tr/wp-content/uploads/2019/01/Koc-University-Housing-Directive-for-Post-Doctoral-Researchers-2018-gncl.pdf>) are explained publicly. Maternity and Breastfeeding Procedure (https://my.ku.edu.tr/wp-content/uploads/2018/08/P17-HR-003_MATERNITY-AND-BREASTFEEDING-LEAVE-PROCEDURE.pdf) defines the process, rules and work flow to be followed by KU staff during their pregnancy, maternity and breastfeeding leave in accordance with Labor Law No. 4857 and Social Insurance and Public Health Insurance Law No. 5510. Childcare Support Procedure (<https://my.ku.edu.tr/wp-content/uploads/2020/02/Childcare-Support-Procedure.pdf>) lays out how childcare aids work for KU staff with children between ages 0-6. KU is legally bound by Labor Act Law No 4857 and Social Insurance Law No 5510 Article 16, in cases of pregnancy and maternity of female researchers. The University also has a Transport Service Procedure (<https://my.ku.edu.tr/wp-content/uploads/2018/08/P17-HR-007-KO%C3%87-UNIVERSITY-TRANSPORT-SERVICE-PROCEDURE.pdf>) which explains how special transport services operate for bringing staff from all locations in Istanbul to the main campus.

R2-R4 researchers have the right to sabbatical leaves. They can get this leave with full pay to focus on research, according to the rules laid out in Section 3 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>).

Other benefits are explained for R2-R4 researchers in the benefit handbooks (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/Benefits-faculty.pdf>; <https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/Benefits-faculty.pdf>) of Koç University. Full access to all KU libraries (main Suna Kıraç Library, Anatolian Civilizations Research Center Library, Health Sciences Library, Vehbi Koç Ankara Studies Application and Research Center Library and Archive, Suna & İnan Kıraç Mediterranean Civilizations Research Center) in three provinces (Istanbul, Ankara, Antalya) is provided. All staff can access KU sports facilities free of charge. There is a multi-purpose Indoor Sports Hall, 1 outdoor tennis court, 1 artificial turf football field and 1 indoor ice skating rink in the Rumelifeneri Campus. There is a semi-olympic indoor swimming pool, cardio-fitness center, dance studio and table tennis in the West Campus. At the main Rumelifeneri Campus, all full-time employees are provided with shuttle services with routes that access almost anywhere in the Istanbul provincial area. Payroll employees who cannot or partially benefit from the service are paid monthly transportation assistance. Road assistance is paid to employees who cannot efficiently use the service due to the lack of a service route near their home. Employees are provided with meal cards loaded every month for lunch. Employees have private health insurance with varying coverages according to their research posts. There is also an option to add their non-employee spouse and children to health insurance policy, premiums to be covered by the researcher.

For R1 researchers, all the benefits can be listed as: tuition waiver, shared office space, housing at campus facilities or housing aid, private health insurance with limited coverage, lunch allowance, free use of the KU libraries, contribution towards expenses of scientific conferences or trainings, contribution towards thesis-related expenses, summer internship programs overseas, student exchange opportunities (mainly through KU's running Erasmus+ projects). These are specified on the each Graduate School's websites again (<https://gsssh.ku.edu.tr/en/admissions/financial-aid/>; <https://gsse.ku.edu.tr/en/admissions/financial-aid-packages/>; <https://gshs.ku.edu.tr/en/admissions/financial-aid/>; <https://gsb.ku.edu.tr/programs/full-time-programs/phd-in-business/student-support/>) and specific to GSSSH researchers in the Student Handbook (https://gsssh.ku.edu.tr/wp-content/uploads/2017/11/GSSSH_Student_Handbook_Fall_2017-.pdf)

Under the Office of the Dean of Students, The Office of Disability Services (<https://dos.ku.edu.tr/en/the-office-of-disability-services/>) supports R1 researchers with disabilities for access to campus facilities, as well as in terms of personal and academic improvement. As mentioned before in this application, KU plans a new unit to offer services to all staff (thus covering R2-R4) with disabilities - The Office of Diversity and Inclusion (see: <https://dos.ku.edu.tr/wp-content/uploads/2020/01/Koc-Universitesi-Esitlik-Ve-Farkindalik-Birimi-yonergesi-nihai.pdf>).

KU enforces a "Sexual Harassment Prevention Regulation" (<https://my.ku.edu.tr/wp-content/uploads/2018/08/Sexual-Harassment-Prevention-Regulation.pdf>) for all employees, aiming to regulate the principles towards the creation of a research, teaching and working environment free of any kind of sexual harassment. With this regulation, the University ensures that maximum care and diligence would be exercised to protect the human dignity and the right to privacy of parties or witnesses involved in any sexual harassment incident and any proceedings would be conducted according to the principle of privacy.

25. Stability and permanence of employment (almost but not fully implemented)

GAP / Implementation impediments

As of October 2020, Turkey is an Associated Country working on accession to full membership to the European Union. In that capacity, Turkey is not a signatory on the EU Directive on Fixed-Term Work (1999/70/EC, 28.06.1999), and has not publicized a report about what legislative reforms since 1999 have harmonized national labor regulations with the Directive. Therefore, unrelated to specific Koç University (KU) policies, there is a gap emanating from incomplete Turkey-EU harmonization on issues related to protecting fixed-term employees. On the other hand, the current national labor law (2003 Labor Act of Turkey, <https://www.mevzuat.gov.tr/mevzuat?MevzuatNo=4857&MevzuatTur=1&MevzuatTertip=5>) that also governs all of KU's work-contractual matters, has clear articles that conform to the principle of preventing discrimination against fixed-term workers.

Excerpts from Article 12 of the 2003 Labor Act of Turkey:

“An employee working under a fixed-term employment contract must not be subjected to different treatment in relation to a comparable employee working under an open-ended employment contract.”

“Divisible amounts for a certain period relating to wages and monetary benefits to be given to a fixed-term employee must be in proportion to the length of time during which the employee has worked. In cases where seniority in the same establishment is treated as the criterion to have access to an employment benefit, the seniority criterion foreseen for a comparable employee working under an open-ended contract shall apply to an employee with a fixed-term contract, unless there is a reason justifying the application of a different seniority criterion for an employee

working under a fixed-term contract”

Such regulations are already legally binding for KU researcher work contracts.

Additionally, it should be stated that all R1-R4 work contracts at KU are “fixed-term” and are dependent on performance evaluations for renewal (these procedures were explained under Principle 11). KU's procedures for contract renewal are fully in compliance with Clause 5 (“Measures to Prevent Abuse”) of the Directive on Fixed-Term Work. Still, there is no benchmark for gaps between fixed-term researcher contracts and open-ended research contracts because the latter does not exist at KU.

Initiatives undertaken/new proposals

With 43 participations in EC's Horizon 2020 Programme, KU is running the largest budget (about 19M EUR) among Turkish universities and has already officially endorsed all EU labor regulations by signing grant agreements. Although practically KU acts as a higher education institution located in an EU-member country in this sense, it still is bound by national labor laws, which are not yet fully in harmony with EU legislation. During the implementation phase of the HRS4R process, KU suggests that the existing national gap can be filled by defining a specific Action in the Action Plan, which will task the Working Group to collaborate with the KU Human Resources Directorate to ensure, through an exhaustive analysis of contract renewal procedures, that current practices conform to the

Directive. During the revision work on the current application, the Working Group decided that current practices appear to be fully implementing Principle 25, but that the Human Resources Directorate should corroborate this observation.

26. Funding and salaries (fully implemented)

Initiatives undertaken/new proposals

For R1, in the four Graduate Schools at the university, financial aids for doctoral researchers are indicated in the websites of Graduate Schools:

<https://gsssh.ku.edu.tr/en/admissions/financial-aid/>;
<https://gsse.ku.edu.tr/en/admissions/financial-aid-packages/>;
<https://gshs.ku.edu.tr/en/admissions/financial-aid/>; <https://gsb.ku.edu.tr/programs/full-time-programs/phd-in-business/student-support/>

Monthly stipends for each academic year is calculated according to status of the researcher (before/after 'PhD qualifying exam'), the person's housing situation and whether the person is funded through an external grant.

Graduate Scholarship Regulations (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/GS-regs.pdf>) contain conditions of applications for scholarships provided for the current doctoral programmes, of the evaluation process of these applications, stipend payment periods and the conditions of their termination, the principles, content and evaluation rules of the teaching and research assistantship training, and rules for other benefits for R1 researchers.

For R2-R4, annual performance evaluations (explained above in this application) effect salary levels. The qualitative descriptor "staff meets expectations" is meant to help assess whether the researcher, in a given academic year, is active in research and successful in teaching. R2-R4 researchers on their first year of their appointment and researchers who are on paid or unpaid leave are not evaluated and receive a "no evaluation" descriptor. Their salary adjustment is done as if they get a "meets expectations" assessment. Researchers with contracts less than three years are only evaluated at the end of their contract term for renewal. Their annual salary adjustments are also based on the "meets expectations" standing while their performance is indicated by the descriptor "no evaluation". That performance assessing system is clearly written in the section 2 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>). Top-performing researchers can be awarded with higher salary adjustments as a result of this evaluation.

Remuneration of KU researchers is also subject to the legal determinations of Turkey's Labour Act, which aims to regulate the working conditions and work-related rights and obligations of employers and employees working under an employment contract (<https://www.mevzuat.gov.tr/mevzuat?MevzuatNo=4857&MevzuatTur=1&MevzuatTertip=5>; <https://www.ilo.org/dyn/natlex/docs/ELECTRONIC/64083/77276/%20F75317864/TUR64083%20English.pdf>).

27. Gender balance (fully implemented)

Initiatives undertaken/new proposals

Total number of women among the all 1283 researchers (R1-R4) is 632 and indicated in the Action Plan. Also, Among the heads of all managerial units of Koç University (including

colleges and graduate schools) female managers has the ratio of 49%. This is an indication that as KU cares about excellence in research, the institution aims to achieve this through ensuring gender balance.

It should also be mentioned that as of October 2020, KU is the most successful university in Turkey under Horizon 2020, running about 39 EC grants. In compliance with Horizon 2020 grant agreements, every Principal Investigator complies with gender balance principles in running their actions under KU as the host institution. KU will continue to be committed to EC's Gender Equality Strategy (<https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A52020DC0152>) during Horizon Europe between 2021-2027.

28. Career development (almost but not fully implemented)

GAP / Implementation impediments

The gap mainly exists for R2 (post-doctoral) researchers and the explanation of good practices and strengths that justifies the “almost but not fully implemented” designation is covered fully under Principles 30, 38 and 39.

Initiatives undertaken/new proposals

Actions to remedy the gap about R2 researchers is covered by the “initiatives” explanations under Principles 30, 38 and 39. In summary, the retooling of the current training, advice and career support services specifically for the R2 community and the dissemination of new measures through a KU website dedicated to R2 affairs will be the initiative.

29. Value of mobility (fully implemented)

Initiatives undertaken/new proposals

KU has partnership agreements with more than 290 universities in 60 countries. Most of these agreements also involve faculty exchange programs. Academic staff at KU are provided with the opportunity of spending teaching, training or work shadowing abroad, through various exchange programs. Office for International Programs (OIP) (<https://oip.ku.edu.tr>) manages these programs. OIP also offers several types of mobility opportunity to researchers: Erasmus+ Faculty Exchange, Erasmus+ Worldwide Faculty Exchange and Swiss Staff Mobility. Researchers interested in participating these programs first discuss their possible visits with their Deans and get their approval and then contact OIP for the application process.

KU has a procedure for travels for R2-R4 researchers (<https://my.ku.edu.tr/wp-content/uploads/2020/06/Travel-Procedure-for-Academic-and-Administrative-Staff-1.pdf>).

This procedure determines the payment and reimbursement rules for researchers' national and international trips related to academic work.

KU Visiting Scholar Program provides travel and accommodation support to R2-R4 researchers for their research visits at international universities, as well as for researchers invited by KU staff, who would like to visit KU for collaborative research. The Visiting Scholar Program is primarily to support long-term (4 weeks to 12 weeks) visits during summer. Faculty members interested in participating in this program to visit another university or to host a visiting researcher should first discuss their plans their Deans for approval. The

Visiting Scholar program applications are submitted to the VPAA Office at the end of January every year (<https://vpaa.ku.edu.tr/en/faculty-resources/>). The details of the program are indicated in section 3 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>)

R3-R4 researchers (full faculty) have the right to take sabbatical leaves, as explained above in this application. To repeat, details regarding this are explained in the section 3 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>)

For R2-R4 researchers, with the support of RPDTTD, ongoing grants can be transferred freely (provided that the scheme itself allows this) to other host institutions in case the PI wants to leave KU. Especially for EC projects, RPDTTD staff supports the PI for communication with EC support officers about the administrative procedures of the transfer.

KU graduate schools provide travel funds for R1 researchers. Generally, a travel fund is provided once a year to R1 researchers who will be presenting papers or posters at scientific events. Applications for this are collected twice a year in March and October (<https://gshs.ku.edu.tr/en/current-students/guidelines-for-grad-students>; <https://gsse.ku.edu.tr/en/current-students/travel-fund-application/>; <https://gsssh.ku.edu.tr/en/student-guidelines/travel-forms/>)

30. Access to career advice (almost but not fully implemented)

GAP / Implementation impediments

The gap mainly exists for R2 (post-doctoral) researchers: Career support services already available at KU are not specifically tailored for the R2 community. On the positive side, with KU having hosted 37 Marie Curie projects under FP7 and 15 MSCA Individual Fellowships under H2020, there is an institutional accumulation of experience on preparing and implementing Career Development Plans for R2 researchers. Most other post-doctoral researchers funded by non-MSCA international and national grants are effectively mentored by the PIs they are attached to, but the career advice at this level is individual and informal.

For R1 researchers, the Graduate Schools guide graduate students on how to utilize the services of Koç University Career Development Center (<https://career.ku.edu.tr/en/>). This unit supports the students to identify and decide on career options that are matching with their interests, skills, abilities, needs and values and equip them with career related knowledge and skills on their journey, and preparing them for their chosen career paths. By increasing their employability potentials in local and global renowned employers, Career Development Center supports the students while building a foundation for high-satisfaction careers.

KU School of Medicine operates two career committees: The Committee of Careers in Medicine (CCIM), and Counseling Group for Faculty Advancement (CGFA) (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/Career-SOM.pdf>). The members of CCIM are full-time senior faculty members of KUSOM with different educational backgrounds from various international programs who are individually dedicated to guide students on their career paths through mentor-mentee relation and operates that process. CGFA consists of 1) junior researchers who may have academic interests but have not yet completed their orientation (like PhD students, post-doctoral researchers, junior faculty members) 2) Senior researchers who wishes to mentor. CGFA provides support to young

researchers on deciding their plans for next steps in academic careers with a mentor-mentee relation.

The College of Engineering at Koç University has also a similar Mentoring Program for R3-R4 Faculty Members (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/Mentoring-CE.pdf>). College of Engineering Faculty Mentoring Program is designed to support the junior faculty members (Assistant Professors) in their early academic careers by the guidance of senior faculty members, mentors. The mentors are preferably selected from the department of the junior faculty member. Mentors share experiences and advice on research, teaching, and other professional concerns of the less experienced colleagues. Early-stage researchers work with their mentors to create a regular meeting schedule, preferably face-to-face meetings. These meetings allow discussions about the current research/teaching/service responsibilities of the researcher and developing the long-term career plans for the researchers.

Lastly, KU Research, Project Development and Technology Transfer Directorate is already offering consultancy services to all R1-R4 researchers about fellowship and funding opportunities, technology transfer issues, establishment of start-ups and ways to collaborate with industry.

Initiatives undertaken/new proposals

Currently, KU document “Procedure for Post-Doctoral Researcher Support Program” governs the support services regime for R2 researchers (https://my.ku.edu.tr/wp-content/uploads/2018/08/P03-RAG-002_PROCEDURE-for-POST-DOCTORAL_RESEARCHER_SUPPORT_PROGRAM.pdf). The planned initiative for the HRS4R implementation period is to restructure the R2 support regime entirely and to revise the procedure accordingly. The action that relates to closing the gap under Principle 30 will first aim to retool the KU Career Development Center for supporting the career prospects of post-doctoral researchers. Secondly, R2 researchers will be invited to join the “Collaborative Institutional Training Initiative (CITI Programme, <https://about.citiprogram.org/en/homepage/>)” which KU already subscribes to, and be able to receive the “Trusted Standard in Research, Ethics, and Compliance Training”.

31. Intellectual Property Rights (fully implemented)

Initiatives undertaken/new proposals

The technology transfer unit of KU Research, Project Development and Technology Transfer Directorate (RPDTTD) provides full support at all stages for patent applications, licencing and commercialization of research outputs. RPDTTD is responsible for assessments of the commercial potentials of KU technologies. RPDTTD analyses the most appropriate method for IPR protection for each specific case. The technology transfer unit communicates with inventors, conducts preliminary patent searches, manages patent processes, and ensures that KU technologies are protected in the most comprehensive way within Turkey’s IPR framework (<https://tto.ku.edu.tr/en/technology-transfer/>). In summary, the unit offers services under three main pillars: Invention Disclosure Process, Patent Application Process and Licensing Process (<https://tto.ku.edu.tr/en/technology-transfer/for-inventors/>).

In Turkey, KU is subject to certain regulations concerning IPR: "Industrial Property Law No. 6769" (<https://www.mevzuat.gov.tr/MevzuatMetin/1.5.6769.pdf>), "Regulation Regarding Employee Inventions, Inventions Carried Out In Higher Education Institutions, And

Inventions Arising In Public Supported Projects"

(<https://www.resmigazete.gov.tr/eskiler/2017/09/20170929-6.htm>), "Employee Inventions Practice Manual" (<https://www.turkpatent.gov.tr/TURKPATENT/resources/temp/91C9FBB3-FC93-478A-96DE-AFDB24324A5B.pdf;jsessionid=EB767D4721EF60BA71EF601584>), "Regulation on Tenders for Foundation Universities " (<https://www.resmigazete.gov.tr/eskiler/2018/11/20181116-3.htm>).

Patents are protected according to the laws of the country where the application is submitted. KU works with patent attorney companies which in turn cooperate with local representatives of the country where the patent is submitted.

32. Co-authorship (fully implemented)

Initiatives undertaken/new proposals

As can be seen in section 4-research policy statements of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>), KU encourages all researchers for university-business collaborations, interdisciplinary collaborations between colleges and externally supported research projects. Many co-authored papers and patents are submitted each year as a result of these collaborations. KU's Visiting Scholar Program (explained above) is another indicator that the institution values scientific collaborations.

On the websites of some graduate schools, R1 publications and outputs are also promoted. High-impact R1 (as well as R2-R4) academic work with collaborations is also promoted in KU annual reports (e.g., <https://gsssh.ku.edu.tr/en/about/annual-reports/>, <https://gshs.ku.edu.tr/en/selected-publications/all-publications/>). R1 researchers are especially encouraged to be part of multi-author publications.

KU subscribes to the tool SciVal in order to easily and quickly analyze the research performance of the university. According to data received from SciVal, only 9.2% of the scholarly outputs of Koç University has single author in the total 4136 outputs of last 5 years (2015-2019). 90.8% of all scholarly outputs are co-authored and covers the international collaboration with a ratio of 41.3%, national collaboration with 31.5% and institutional collaboration with 17.9%.

33. Teaching (fully implemented)

Initiatives undertaken/new proposals

In order to fulfill its educational mission, KU depends on its researchers who are dedicated to excellence in teaching. The office of the VPAA keeps in mind that teaching responsibilities should not be excessive and should not prevent researchers from carrying out their research activities. Therefore, the normal teaching load of research track faculty consists of four courses per academic year and it is written clearly in Section 5 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook>). Office of the VPAA also ensures that all course assignments for the university are within national regulations, while each school and each department are responsible for determining that the content of their classes is appropriate to each course.

Koç University Office of Learning and Teaching (KOLT), which aims to improve learning and teaching at KU by promoting a student-centered learning environment, offers many programs and services for KU researchers. (https://kolt.ku.edu.tr/?page_id=63&lang=en).

These services consist of teaching workshops, one-to-one consultation sessions, course evaluations, teaching innovation grants, help for course design and redesign, effective integration of educational technologies into courses. These services are also introduced in Section 5 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>).

At KU every student who registers to the University shall be assigned a faculty member to act as academic advisor. Academic advisors provide guidance so that students can select courses that align with their interest and talents, take prerequisite courses on time, and be informed on issues relating to course add-and-drop, double majors, minors, specialization programs options, course repeats, summer school, course transfers from outside the university. The regulations regarding advising and coaching activities are included in the Regulation for Undergraduate and Associate Degree Teaching and Learning (<https://apdd.ku.edu.tr/wp-content/uploads/2019/05/Regulation-for-Undergraduate-and-Associate-Degree-Teaching-and-Learning.pdf>) and Regulation for Graduate Teaching and Learning (<https://vprd.ku.edu.tr/wp-content/uploads/2019/09/ENG-Lisan%C3%BCst%C3%BC-Y%C3%B6netmelik.pdf>)

At some graduate schools, there can be teaching opportunities for R1 researchers. For example, Graduate Schools of Social Sciences and Humanities offers their doctoral researchers a Teaching and Research Assistantship (<https://gsssh.ku.edu.tr/en/student-guidelines/teaching-research-assistantship/>) and teaching undergraduate courses (<https://gsssh.ku.edu.tr/en/student-guidelines/teaching-ph-d-students/>). Teaching Assistants (TA) and Research Assistants (RA) are integral parts of the teaching and research activities at the university and graduate students' participation in these activities contributes to their training as teachers and researchers. R1 researchers are required to perform TA-RA tasks, regardless of their funding source (e.g., Tubitak, project grant) or lack of it (i.e. tuition waiver) TA's and RA's can contribute to teaching and research in a variety of ways depending on the needs of particular courses and research projects. Advanced level R1 researchers of GSSSH can also teach a small section of a course to gain teaching experience in undergraduate courses. Only selected doctoral researchers are given this opportunity. The PhD candidate should pass the qualifying exam and have a good standing in the program to be able to teach a course. The course to be taught should be a small section of an undergraduate course, supervised by a faculty member.

34. Complains/ appeals (fully implemented)

Initiatives undertaken/new proposals

KU has an Academic Grievance Procedure in place which aims to help all researchers (R1-R4) find solutions to complaints on academic matters (<https://apdd.ku.edu.tr/en/academic-policies/academic-grievance-procedure/>). It is explained in also Section 4 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>)

For R1 researchers, according to the national "Regulation of Graduate Education" (<https://www.mevzuat.gov.tr/mevzuat?MevzuatNo=21510&MevzuatTur=7&MevzuatTertip=5>) , if the supervisor or PhD candidate has difficulty maintaining the supervision relationship, if the cooperation seems impossible to continue, the supervisor or the researcher should contact an impartial (ombudsman-type) person to clarify whether the consulting relationship should be terminated. This impartial person could be a program coordinator, and academic coordinator or the Director or Associate Director of the graduate school. The person listens to the party with complaints and decides. Usually at KU, Directors or Associate Directors

play the role of ombudsmanship; depending on the case, coordinators can be part of this process.

KU's Human Resources Directorate organizes trainings for R2-R4 researchers to raise awareness about mobbing in academic workplaces. These trainings are in compliance with the Labour Act of Turkey which aims to regulate the working conditions and work-related rights and obligations of employers and employees working under an employment contract (<https://www.mevzuat.gov.tr/mevzuat?MevzuatNo=4857&MevzuatTur=1&MevzuatTertip=5> ; <https://www.ilo.org/dyn/natlex/docs/ELECTRONIC/64083/77276/%20F75317864/TUR64083%20English.pdf>).

35. Participation in decision-making bodies (fully implemented)

Initiatives undertaken/new proposals

R1 researchers participate in decision-making through the KU Student Council. The Student Council (<https://dos.ku.edu.tr/ders-disi-etkinlikler/>; <https://www.facebook.com/kustudentcouncil/>) consists of representatives of undergraduate and graduate students. It is established to protect the rights of students enrolled at KU and to support their educational, health, sports and cultural needs. The Council provides an effective communication between KU governing bodies and students, communicating the expectations and requests of students to the governing bodies, and ensuring the participation of students in educational decisions.

In the colleges, weekly faculty meetings are held to provide (R2-R4 researchers) a venue for communication of issues, problems or suggestions to the KU administration. Deans and Associate Deans in turn are expected to address these issues or bring larger matters before the monthly meetings of the Academic Council.

36. Relation with supervisors (fully implemented)

Initiatives undertaken/new proposals

For R1 researchers, Koç University has published its Regulation for Graduate Teaching and Learning (<https://vprd.ku.edu.tr/wp-content/uploads/2019/09/ENG-Lisan%C3%BCst%C3%BC-Y%C3%B6netmelik.pdf>) in accordance with Turkish Higher Educational Council's Regulations on Graduate Studies (<https://gsssh.ku.edu.tr/wp-content/uploads/2016/02/YOK-Regulations-Graduate-Studies-April-202016.pdf>). The aim of this Regulation is to organize admission and registration procedures for graduate degree programs (including the programs for R1 researchers) offered at Koç University, and to organize the procedures and principles concerning all teaching and learning activities and examinations conducted in these programs. An advisor is appointed to an R1 researcher by the Executive Board of each graduate school. Dissertation topics are negotiated between the R1 researchers and their advisors. Agreed topics are communicated to the graduate school.

Almost 90% of post-doctoral researchers (R2) at KU are funded through external grants run by R3-R4 researchers. There is always a project-bound supervision relationship, structured through the specific rules of the funding programme, between the R2 researcher and the PI. R2 researchers get career counselling and other forms of support from their PIs, and also are able to conduct their independent research. R2 researchers, as part of running projects,

have to work within an established project timeline, following milestones and deliverables under their PIs' guidance.

37. Supervision and managerial duties (fully implemented)

Initiatives undertaken/new proposals

Academic advising of students is part of R3-R4 researchers' annual evaluation and is addressed in Section 2 of the Faculty Handbook (<https://facultyguide.ku.edu.tr/online-faculty-handbook/>). R3-R4 researchers are also presented with opportunities to advise students in club activities, student organizations such as conferences and other initiatives aiming for students' career development.

Some colleges are aware of how challenging it is to steer young researchers' careers. For example, KU School of Medicine operates two career committees: The Committee of Careers in Medicine (CCIM), and Counseling Group for Faculty Advancement (CGFA) (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/Career-SOM.pdf>). The members of CCIM are full-time senior faculty members of KUSOM with different educational backgrounds from various international programs who are individually dedicated to guide students on their career paths through mentor-mentee relation and operates that process. CGFA consists of 1) junior researchers who may have academic interests but have not yet completed their orientation (like PhD students, post-doctoral researchers, junior faculty members) 2) Senior researchers who wishes to mentor. CFGA provides support to young researchers on deciding their plans for next steps in academic careers with a mentor-mentee relation.

The College of Engineering at Koç University has also a similar Mentoring Program for Faculty Members (<https://hrs4r.ku.edu.tr/wp-content/uploads/2020/10/Mentoring-CE.pdf>). College of Engineering Faculty Mentoring Program is designed to support the junior faculty members (Assistant Professors) in their early academic careers by the guidance of senior faculty members, mentors. The mentors are preferably selected from the department of the junior faculty member. Mentors share experiences and advice on research, teaching, and other professional concerns of the less experienced colleagues. Early-stage researchers work with their mentors to create a regular meeting schedule, preferably face-to-face meetings. These meetings allow discussions about the current research/teaching/service responsibilities of the researcher and developing the long-term career plans for the researchers.

Also, RPDTTD (<https://tto.ku.edu.tr/en/research-support-services/>) provides pre-submission administrative support, pre-submission budget design support and post-contract project implementation support for all national and international grants of researchers (R2-R4). RPDTTD staff aid researchers on external funding opportunities. Through its experienced support staff, RPDTTD helps the researchers out with application procedures, comments on draft proposal forms, offers suggestions about how to find partners or what to do to search for research consortia. Since 2004, KU hosted 7 FP6, 59 FP7 and 41 H2020 projects under EC programs and 565 projects under the programs of The Scientific and Technological Research Council of Turkey (TUBITAK). This rich portfolio means that KU has many PIs with managerial experience, running small- or large-scale research groups (commonly managing other R1 and R2 researchers). As of October 2020, KU has hosted 37 Marie Curie grants under FP7 and 15 MSCA grants under H2020, an experience which brought in valuable R2 supervision experience to all KU's schools.

38. Continuing Professional Development (almost but not fully implemented)

GAP / Implementation impediments

As also previously mentioned under other Principles in this Gap Analysis, KU has incorporated several services that allows researchers to update their skills and competencies during their tenure at the institution. Based on what has been mentioned under Principle 28, 30, 31, 33, 37, researchers are provided with opportunities to improve skills in teaching, technology transfer, grant writing, ethics, and career plans. All these services also support “continuing professional development”. Additional professional development services provided by the main KU library, Suna Kıraç Library, that are open to all researchers should also be mentioned here: The Library provides trainings on predatory publishing, management of open access and open science issues, data management, utilization of citation organizer tools, trainings on databases, trainings related to successful scientific publishing (<https://library.ku.edu.tr/en/services/open-acces-scholarly-communication/>).

Nevertheless, the Working Group believes that as discussed under Principle 30, a gap exists for servicing the professional development of R2 researchers. On the positive side, with KU having hosted 37 Marie Curie projects under FP7 and 15 MSCA Individual Fellowships under H2020, there is an institutional accumulation of experience on preparing and implementing Career Development Plans for R2 researchers. In all these actions, Plans were devised with relevant milestones and deliverables and implemented: All such MSCA-related plans include KU-based trainings and workshops that the R2 researcher will complete to advance in their career.

Specifically, KU requires a coordinated effort for providing guidance to R2 researchers, both in terms of a central digital hub for information about available services to post-doctoral researchers, and in terms of developing new services for them.

Initiatives undertaken/new proposals

Currently, KU document “Procedure for Post-Doctoral Researcher Support Program” governs the support services regime for R2 researchers (https://my.ku.edu.tr/wp-content/uploads/2018/08/P03-RAG-002_PROCEDURE-for-POST-DOCTORAL_RESEARCHER_SUPPORT_PROGRAM.pdf). The planned initiative for the HRS4R implementation period is to restructure the R2 support regime entirely and to revise the procedure accordingly. The action that relates to closing the gap under Principle 38 will first aim to retool the KU Career Development Center for supporting the career prospects of post-doctoral researchers. There will be web pages under the Center dedicated to professional development supports for R2 researchers.

Secondly, new training schemes will be developed and made available to R2 researchers: 1) They will be invited to join the “Collaborative Institutional Training Initiative (CITI Programme, <https://about.citiprogram.org/en/homepage/>)” which KU already subscribes to, and be able to receive the “Trusted Standard in Research, Ethics, and Compliance Training”. 2) KU Research, Project Development and Technology Transfer Directorate will offer a series of training webinars on Horizon Europe, grant writing, technology transfer, university-industry collaborations, and incubations programs at KU (in collaboration with KWORKS, <https://kworks.ku.edu.tr/en/>). 3) Existing Career Development Center services (currently limited to R1 researchers) will be reorganized for R2 researcher access: Job interview

trainings, one-on-one meetings with career consultants, “career readiness” trainings, and “advance your profession” trainings. For a current full calendar of such trainings, see <https://career.ku.edu.tr/en/employers/event-calendar/>.

39. Access to research training and continuous development (almost but not fully implemented)

GAP / Implementation impediments

Upon re-evaluation of the initial KU HRS4R application based on EC feedback, the Working Group concluded that the implementation of Principle 39 (therefore, the gap identified) is entirely similar to that of Principle 38 at the institution. In addition to the already mentioned good practice and gaps, it should be emphasized that research training for all R1-R4 researchers is conducted according to the needs of specific research infrastructures. For especially the School of Medicine, College of Engineering and College of Sciences, where most of the research equipment and devices are located and operated, research training is commonplace. Laboratory, center or project group directors make sure all staff utilizing the infrastructure are trained, and oftentimes, these trainings are already in the external grant budgets.

To repeat the identified gap (discussed under Principle 30 and 38): Measures will be take as discussed below to develop trainings targeting the R2 community.

Initiatives undertaken/new proposals

Partially repeating the action proposed under Principle 38: After the revision of post-doctoral researcher support procedures, there will be a dedicated portal (linking to proper Career Development Center, department, RPDTTD, etc. pages) for R2 researchers. A section of this portal will also include fresh fellowship calls (like the MSCA-IF) and publicize open R2 positions across the university. Invitations for trainings available under different labs and groups will be repeated here.

Secondly, new training schemes will be developed and made available to R2 researchers: 1) They will be invited to join the “Collaborative Institutional Training Initiative (CITI Programme, <https://about.citiprogram.org/en/homepage/>)” which KU already subscribes to, and be able to receive the “Trusted Standard in Research, Ethics, and Compliance Training”. 2) KU Research, Project Development and Technology Transfer Directorate will offer a series of training webinars on Horizon Europe, grant writing, technology transfer, university-industry collaborations, and incubations programs at KU (in collaboration with KWORKS, <https://kworks.ku.edu.tr/en/>).

40. Supervision (fully implemented)

Initiatives undertaken/new proposals

For R1 researchers, all Graduate Schools have guidelines, including information about application procedures, travel grants, registration processes to programs, and teaching opportunities (<https://gsssh.ku.edu.tr/en/>; <https://gsse.ku.edu.tr/en/>; <https://gshs.ku.edu.tr/en/>; <https://gsb.ku.edu.tr/>). A PhD dissertation manual to aid researchers for their writing is also available (<https://vprd.ku.edu.tr/wp-content/uploads/2019/09/PhD.pdf>). R1 researchers have to comply with the Student Code of

Conduct of the University (<https://apdd.ku.edu.tr/en/academic-policies/student-code-of-conduct/>). The document provides a clear understanding of the rights and responsibilities for all students.

For the GSSSH, Student Handbook (https://gsssh.ku.edu.tr/wp-content/uploads/2017/11/GSSSH_Student_Handbook_Fall_2017-.pdf) includes New Comers' Student Orientation which is generally held one week before the beginning of the Fall Semester. Some events categorized as Registration, Moving to Graduate Student Housing, General Graduate Student Orientation, Graduate School Orientation, International Graduate Student Orientation, and mandatory KOLT Training are held during orientation week for all graduate students including R1 researchers of GSSHS.

If a R1 researcher has difficulty maintaining the consultancy relationship, if the cooperation seems impossible to continue, the researcher can contact an impartial (ombudsman-type) person to clarify whether the consulting relationship should be terminated. This impartial person could be 1. Program coordinator 2. Academic coordinator 3. Director or Associate Director of the Graduate School respectively. The person listens the complains of the researcher and the admission of related Graduate School can change his/her supervisor if needed.