

TEMPLATE 2: HR STRATEGY - ACTION PLAN

Name Organisation under review: Leibniz-Institut für Polymerforschung e.V. (IPF)

Organisation's contact details: Hohe Straße 6, 01069 Dresden, Tel. +49 351 46580

Web link to published version of organisation's HR Strategy and Action Plan:

<https://www.ipfdd.de/en/people/certificates/hr-excellence-in-research/>

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1. ORGANISATIONAL INFORMATION

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*233
Of whom are international (i.e. foreign nationality)	*106
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*50 (e.g. DAAD, AvH)
Of whom are women	*82
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*17
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*44
Of whom are stage R1 = in most organisations corresponding with doctoral level	*78
Total number of students (if relevant)	42 (student assistants)
Total number of staff (including management, administrative, teaching and research staff)	457
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	34m
Annual organisational direct government funding (designated for research)	3.2m
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	6.9m
Annual funding from private, non-government sources, designated for research	1.8m
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Leibniz-Institut für Polymerforschung Dresden e.V. (IPF) is one of the largest polymer research facilities in Germany. As a member of the Leibniz Association, the IPF is committed to carrying out application-oriented basic research and receives its base funding in equal parts from the federal and state governments. The focus of activities at the IPF is directed towards the advancement of basic scientific knowledge for the development of functional polymer materials and polymer materials with new or improved characteristics. In addition, emphasis is placed upon combining material development with innovative and sustainable production and processing technologies.</p>	

2. NARRATIVE (MAX. 2 PAGES)

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

The IPF is aware of the fact that maintaining and increasing its attractiveness for the best researchers from around the world is essential for its success and has therefore decided to pool its human resources activities for researchers within the framework of the European “Human Resources Strategy for Researchers” (HRS4R). Structures, regulations, and procedures (SRP) of the IPF meet the requirements of the Charter and Code. Researchers interested in working at IPF must adhere to these requirements. Strengths and weaknesses with regard to SRP are described below.

SRP of the IPF with regard to Ethical and Professional Aspects

Strengths: The IPF is well-positioned with regard to its ethical and professional aspects. There are several guidelines that the board of directors enacted, such as the [“Code of Practice 1/2002 - Regulations to ensure good scientific practice at the Institute and procedures for handling scientific misconduct”](#) and the “Publication order” that ensure good scientific practice in the areas of research, professional responsibility and research freedom. These issues also form part of the working contract (Article 7) and the Doctoral Agreement every employee or PhD student has to sign. Several representatives are in charge such as a Representative for Occupational Safety, a Representative for Occupational Medicine and First-Aiders, a Representative of Employees with disabilities, an Equal Opportunities Commissioner and an Ombudsperson, all watching out for renewals or misconduct within their field. IPF supports the popularization and dissemination of research results in a generally accessible manner. The Public Relations department regularly informs the public via its website of news relating to research and projects.

Weaknesses: Not all researchers, to certain extent newly recruited ones, meet these requirements. In order to familiarize the researchers with the national, international and institutional regulations, the IPF offers training courses giving inside into the institute’s culture, leadership and German laws. Currently, these courses are offered only at management level. IPF is aware that young or new employees need to be initiated concerning these matters. By offering intercultural workshops IPF will try to raise the awareness of one's own cultural conditioning and improve people’s ability to reflect on and interpret other cultures, their rules and way of life.

SRP of the IPF with regard to Recruitment and Selection

Strengths: Under the heading of Recruitment, the IPF is committed to Open, Transparent and Merit-based Recruitment (OTM-R) and selection processes. The Equal Opportunities Officer and the Representative of Employees with Disabilities are involved in the recruitment processes. Variations in the chronological order of CVs and career breaks are regarded as a career development. Selection committees generally take relevant international and intersectoral experience into account. Only qualifications, experience and professional development is focused to fill a vacancy at IPF. For postdoctoral appointments IPF has stated “Principles Underlying Support for Young Researchers at the Leibniz-Institut für Polymerforschung Dresden e. V.”. For IPF, a public institution, the Law on [Part-Time and Fixed-Term Employment](#) and the [Law on Fixed-Term Employment Contracts in Science](#) apply. Entry and admission standards, as well as pay issues, are defined therein. The scope of actions is therefore limited.

Weaknesses: Currently, there are no written guidelines to ensure admission standards and to make it visible for researchers. To guarantee transparency, non-discrimination, and openness a “Guideline for recruitment” will be developed. IPF is committed to an open, merit-based and transparent recruitment, and selection processes. Internal job vacancies should be published in the Intranet. The Principles of Charter & Code will be published on the homepage. So far, an OTM-R policy does not exist in writing. It is intended that we pursue this in the near future.

SRP of the IPF with regard to Working Conditions

Strengths: IPF offers a stimulating research environment with appropriate equipment, facilities and opportunities. IPF has an institute commissioner for occupational health and safety as well as a company doctor. The funding and salary is regulated within the Collective Agreement for the public sector. Every employee has the opportunity to attend further education, e.g. in order to broaden their know-how with regard to the use of laboratory equipment (hard and software). Since 1995 IPF has a company agreement on the promotion of continuing vocational training. This agreement applies to training activities within and outside the institute. IPF offers good working conditions and was awarded the certificate for the workandfamily audit. Besides flexible working hours, part-time models and accessibility IPF provides further training courses with regard to presentation techniques, teamwork or design thinking, and support in the field of childcare. Regardless of their classification researchers are recognised as professionals and treated accordingly. Every employee has the opportunity to participate in decision-making bodies as well as to receive support from their supervisor or the HR department when needing career advice or job placement assistance. Co-authorship is viewed positively when evaluating staff. IPF enacted a rule of procedure "Code of Practice 1/2002 - Regulations to ensure good scientific practice at the Institute and procedures for handling scientific misconduct", according to the recommendations of the [German Research Foundation - Deutsche Forschungsgemeinschaft \(DFG\)](#). Besides the leading scientist, that must perform the lecturing work, researchers of all stages are involved in teaching. In cases of complaints/appeals an ombudsperson and a complaints office have been empowered to handle any cases that may arise.

Weaknesses: Improvements are necessary in relation to the internal publication of job advertisements. So far they can only be seen on the bulletin board. They should be published in the Intranet alongside the external job advertisements to guarantee transparency and openness for every employee. To expand the strategic personnel development and to provide guidance and motivation for researchers at all stages, we intend to perform annual appraisal interviews.

SRP of the IPF with regard to Training and Development

Strengths: The IPF doesn't stipulate basic and advanced training courses. The researcher decides independently about his/her continuing development. The education and training commission is responsible for all training applications. Via a travel authorization request the researcher can apply for any training. All researchers at any stage of their career, regardless of their contractual situation, have the opportunity to attend and present themselves on conferences/colloquiums. Researchers at all stages apply constantly for training courses and workshops. IPF has been offering a "Transfer Day" for the past 3 years. Everybody at the institute can take part. It's divided in two sessions, a comprehensive overview of "National funding programs and current notices" and a practical workshop. The topic changes every year and aims to strengthen people's soft skills with regard to personal time & project management. Senior researchers at IPF are aware of their multi-faced role as supervisors, mentors, leaders and managers. The IPF encourages their researchers to participate in workshops and to establish a structured and regular relationship with their supervisors and faculty/department. To record working processes as well as the individual's professional development in order to provide feedback and working with agreed milestones a career development plan for every researcher shall be created in the future as well as a template for employee interviews for disciplinary supervisors. Within the "Principles Underlying Support for Doctoral Students" and the "Principles Underlying Support for Young Researchers" it is stated, that researchers are supported by experienced mentors.

Weaknesses: To ensure that researchers adhere to the requirements, establish a structured and regular relationship with their supervisors, and keep records of all work progress a template for employee interviews for disciplinary supervisors will be developed. Furthermore, IPF will offer

German language courses (basic and advanced) to support foreign researchers regarding their relationship with supervisors and colleagues, as language is a key factor in integration.

3. ACTIONS

Please provide a list of all actions to be undertaken in this HR strategy. The list must be accompanied by an extended version in which the actions are described in more detail. The overview must contain at least the following headings: Title action – timing – Responsible Unit – Indicator(s) / Target(s).

3.1. Overview

Ser. No.	Title action	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1	Training courses for all researchers regarding national, sectoral and institutional regulations; the courses will be offered according to the level of research career (R1, ... etc.) and respective target group	Continuous from Q1/2019	Diversity Officer	<u>Indicator:</u> Number of workshops (2 per year with 15 participants) <u>Target:</u> Comprehensive information about the institute principles
2	German language courses (basic and advanced)	5 times a year from Q3/2018	HR department	<u>Indicator:</u> Number of courses (5 per year with 5 participants) <u>Target:</u> Integration of foreign researchers
3	Written information about training and career opportunities for scientists (among others doctoral students, postdoc, ...)	every six month from Q1/2019	HR department	<u>Indicator:</u> / <u>Target:</u> web-based information
4	Intercultural workshops	Continuous from Q2/2018	Diversity Officer	<u>Indicator:</u> twice a year with minimum of seven participants per course <u>Target:</u> Raising awareness of one's own cultural conditioning and improving the ability to reflect on and interpret other cultures
5	Annual appraisal interviews with every researcher	At least once a year Q3/2019 Q3/2020 Q3/2021	Responsible supervisor	<u>Indicator:</u> Year end statistics of interviews with scientists (number compared to total employees) <u>Target:</u> Strategic personnel development and researcher motivation

6	Publish internal job advertisements also in the intranet	Continuous from Q4/2018	HR department IT department	<u>Indicator:</u> intranet publications of job vacancies <u>Target:</u> Overview for all employees of all internal job vacancies at anytime, anywhere
7	Guidelines for recruitment	Q4/2018	HR department Equal Opportunities Commissioner	<u>Indicator:</u> intranet/webpage publications <u>Target:</u> To secure transparency, non-discrimination; basis to compare applicants
8	Publish Charter & Code on homepage	Q4/2018	HR department IT department	<u>Indicator:</u> webpage publication of Endorsement Letter, Charter & Code <u>Target:</u> Visibility of Endorsement Letter, Charter & Code for interested people/researchers
9	Develop and publish an OTM-R policy on website in German and English	Q4/2019	HR department IT department	<u>Indicator:</u> Policy document & dissemination of document internally <u>Target:</u> Public commitment to adhere to OTM-R
10	Template for employee interviews for disciplinary supervisors	Q4/2019 – Q1/2020	HR department	<u>Indicator:</u> Document & dissemination of document internally <u>Target:</u> Support and help for supervisors, record for milestones and agreed schedules
11	Development of quality system for OTM-R	Q4/2020	HR department	<u>Indicator:</u> Definition of quality system criteria <u>Target:</u> To monitor and assess the extent to which the OTM-R system is being implemented

12	Developing a system for assessing the attainment of OTM-R	Q4/2021	HR department	<p><u>Indicator:</u> publication of OTM-R document internally</p> <p><u>Target:</u> To assess whether OTM-R reaches its objectives</p>
13	Translate internal documents into english	Q3/2019	HR department	<p><u>Indicator:</u> provide documents internally</p> <p><u>Target:</u> Faster understanding of the content of the documents</p>

3.2 Action list – extended version

Beside the self-explanatory actions please find below an extended version in which the actions are described in more detail.

Continuous actions

Section Ethical and Professional Aspects

Training courses for all researchers regarding national, sectoral and institutional regulations

In order to familiarise the researchers with the national, international and institutional regulations, the IPF offers training courses. Currently, these courses are offered only at management level. IPF is aware that young or new employees need to be introduced in that area. Currently, these courses are only offered at a management level. The course is offered twice a year and takes place within the institute. The course is compulsory. The new researcher is informed about the course and time right at the beginning of his/her start at IPF by the Diversity Officer.

Training and career development

In addition, the IPF will provide researchers with more information about continuing education opportunities, such as biannual e-mail and intranet. Content should also be what exists for further training providers and which training topics are currently offered. The IPF uses the "Researcher Career Development Scheme" from Euraxess Reflex.

Doctoral students:

"Principles Underlying Support for Doctoral Students at the Leibniz-Institut für Polymerforschung Dresden e.V." was introduced at 01.10.2013 at the institute. It is agreed that at the beginning of the doctorate a "doctoral agreement" between the doctoral student and the professor will be concluded with the respective individual objectives. In addition, the time of submission of a report on the work, preparation of work reports, submission of the dissertation as well as further conditions of the doctoral students are agreed.

Young scientists:

The "Grundsätze einer Förderung von Nachwuchswissenschaftlern / Nachwuchswissenschaftlerinnen am Leibniz-Institut für Polymerforschung Dresden e.V." came into force on 23.12.2015. For the

better and more individual support of researchers at the IPF. According to this principle, scientists are specially promoted after graduation. Following the approval of the Executive Board, this grant agreement offers the scientist special training courses on project recruitment, project management and staff management in addition to the general options such as the use of modern infrastructure and work-life balance arrangements. Furthermore, the IPF supports the career of researchers with several funding programs.: e.g. "Academic Starter", "Junior Group Leader" and "Advanced".

Intercultural workshops

By offering intercultural workshops IPF will try to raise the awareness of one's own cultural conditioning and improve the ability to reflect on and interpret other cultures, their rules and way of life. The courses are voluntary and will be offered twice a year. The courses will be announced via the Diversity Officer (email or intranet) and take place with a minimum of seven participants.

Recruitment

Publish internal job advertisements also in the Intranet

At present internal job vacancies can only be seen on the bulletin board. By publishing the internal job vacancies in the Intranet, all employees have an overview at anytime and anywhere.

Section Training and Development

German training courses (basic and advanced)

To support foreign researchers regarding their relationship towards supervisors and colleagues, IPF will offer German training courses for beginners and advanced. As language is a key factor in integration, the courses encourage the researchers during their personnel and professional development. The courses will be offered during the whole year and take place outside the institute, provided by selected cooperation partners. Interested researchers can apply for such a course at the education and training commission. The courses are voluntary, as every researcher comes with a different education, qualification and background.

Section Working Conditions and Social Security

Annual appraisal interviews with every researcher

Annual appraisal interviews are an important step within the strategic personnel development and a motivational aspect for every researcher's career. The interview will be used as a guide for the professional and personnel development of the researcher and shall help to reflect the joint work, to share criticism and feedback, and to talk about targets and strategies for achieving objectives or a potentially date of delivery. A checklist (containing for instance preparation of the interview, communication techniques etc.) will help the interviewer during the conversation.

Summer 2018

Starting 2019, we intend to successively document, evaluate and archive the employee appraisal interviews in accordance with the General Data Protection Regulation. At the end of the year, it is statistics which department heads have held talks with their employees. The evaluation is carried out by a personnel officer.

Translation of internal documents into english

It is important that our researchers properly (fully) understand the documents, such as "Application to participate in a business trip," or quickly understand the contents of company agreements, and do not have to spend too much time translating the content. The IPF has many documents. It is planned to make these translations available to the employee by the third quarter of 2019.

Section Recruitment and Selection

Guidelines for Recruitment

In terms of the Guidelines for Recruitment, IPF wants to secure transparency and non-discrimination. It therefore intends to prepare a form for interviews in order to create a basis to compare the applicants. Within this form a question guide is intended in addition to free space for information about the candidate, the composition of the selection committee and free space for a statement as to why the candidate is/ is not suitable for the position. Besides the selection criteria the number of candidates broken down by gender, how the interview was conducted (by videoconference, telephone, face-to-face meeting, Skype, other) and the results of the selection process need to be filled out. In order to ensure a successful implementation, the working group comprises a personnel Officer, Head of Human Resources, Equal Opportunities Officer, Representative for Severely Disabled Employees, Works Council and at least 2 Leading Researchers (Researcher R4). The draft of the guidelines will then be submitted to the Steering Committee for consideration and adoption. These hiring policies will be communicated via e-mail and intranet for all employees.

Section Training and Development

Template for employee interviews for disciplinary supervisors

To ensure that researchers adhere to the requirements, establish a structured and regular relationship with their supervisors, and keep records of all work progress a template for employee interviews for disciplinary supervisors will be created. The form shall also support and help supervisors regarding agreements and the dissemination of information. Moreover, the form helps to record milestones and agreed schedules. The working group consists of a personnel officer and researchers from each researcher group (R1-R4) and drafts, e.g. template for employee interview to be adopted by the steering group.

Detailed actions regarding OTM-R are considered in detail on the next page.

Recruitment and Selection

As the establishment of an Open Recruitment Policy is a key element in the HRS4R strategy, please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please also list the web link where this strategy can be found.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

In Germany national laws already provide a general framework for open, transparent and merit-based recruitment and selection processes that IPF is committed to. The openness of recruitment and merit-based selection of candidates is based on the Basic Law for the Federal Republic of Germany, Article 33 II on merit-based selection of civil servants and civil service employees. This law is amended by the General Act on Equal Treatment (AGG). The Federal Equality Law and the State Law on Gender Equality contain numerous regulations regarding gender equality, including the priority of women in recruitment if equally qualified and underrepresented in the respective area. Entry and admission standards, as well as pay issues, are defined in the collective agreement for the public sector and the Law on Fixed-Term Employment in Science. IPF observes the General Act on Equal Treatment (AGG) to prevent or to stop discrimination on the grounds of race or ethnic origin, gender, religion or belief, disability, age or sexual orientation. The Social Security Statute Book enshrines numerous protective measures for people with special needs or who are chronically ill. The Equality for the Disabled Act aims to eliminate or prevent discrimination against people with disabilities and to ensure the equal participation of people with disabilities in social life and to enable them to live independently. IPF uses these regulations and laws as a framework for recruitment and will develop its own recruitment policy.

IPF will use the toolkit as a step-by-step guide to revise the current und further procedure. IPF already fulfils most of the points named within the toolkit, as can be seen in the Gap Analysis. Only a policy in written form is absent. As already described under point three, IPF will initiate the following:

In detail this means:

1. Review the current recruitment policy of IPF and revise it
2. Develop a checklist tailored for IPF
3. Develop an OTM-R policy
4. Publish the OTM-R policy in an easily accessible place on the website/intranet in German and English
5. Develop a quality control system for OTM-R

4. IMPLEMENTATION (MAX. 1 PAGE)

Please provide an overview of the expected implementation process.

Web presentation:

The Leibniz-Institut für Polymerforschung Dresden e.V. has improved the visibility of the Action Plan for the HRS4R certificate on the website. The logo at the bottom of the homepage serves as a quick access to important information with regard to HR Strategy for Researcher, e.g. a link to the "European Charter for Researchers" or the "Endorsement Letter".

Working group and steering committee (see Annex "Overview of meetings):

The working group consists of 11 employees. Of these, the individual levels of scientists are represented by one person each. Since the beginning of 2018, for example, there is a doctoral student representation from each institute. The speakers were Mr. Yannick Brasse and Mr. Martin Wengenmayr as Deputy Speaker. Mr Brasse will be transferred to the working group for R1 / PhD for Mr Alladin Sallat. The group includes 7 female employees and 4 male employees. There will be a quarterly panel discussion, at least one employee survey (German and English) and to monitor the results of the implementation process with regard to the goals of the working group and steering committee. It is intended to report benchmark results in our internal IPF magazine.

Involvement of scientist:

The researchers are involved through the Scientific-Technical Council (WTR). This elected WTR consists of currently 9 scientists from the IPF. In the "Business Division at the Leibniz-Institut für Polymerforschung Dresden e.V., it is regulated in accordance with § 12 (2) that the WTR advises the Management Board on fundamental questions concerning the organization of the scientific work. Consequently, all researchers are fully involved in the process. They are kept up to date with information and thus receive feedback in their work.

A personnel officer oversees the whole progress and coordinates all activities and implementations foreseen with the responsible person/group/department. The personnel officer works hand in hand with the working and steering group and reports on the current status, delays, impediments or emergent circumstances. Meetings take place as required. The progress of the action plan will be made public on the HRS4R website as well as in our internal IPF magazine.

The research community is involved via the intranet, meetings and our own in-house journal (IPF intern). The representatives of each researcher group (R1-R4) also participate in meetings of the working group and are in touch with the personnel officer on a regular basis.

The executive board, the highest decision making body of the IPF is part of the steering group and oversees all actions. To ensure that the proposed actions are also implemented, a responsible person will be designated for each action. Regular exchanges and reviews will take place. Due to the fact the action plan is visible for the public audience IPF is under pressure to fulfil the planned tasks. The personnel officer is in a regular dialogue with all responsible people. A timeline helps to oversee all actions and determine when the steps should be implemented.

Before the internal review (mid-term interview at the end of 2020) the steering and working group will have at least 4 meetings. The researchers at IPF will be actively involved into the mid-term review of the HRS4R through a survey or focus group meeting. An overview of the planned and fulfilled tasks will help to develop a strategy for further actions.