

## 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/>

**SUBMISSION DATE:** 18.12.2017

### 1. ORGANISATIONAL INFORMATION

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

| <b>STAFF &amp; STUDENTS</b>  | <b>FTE</b>              |
|--|-------------------------|
| 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                     |
| <b>RESEARCH FUNDING (figures for most recent fiscal year)</b>  | <b>€</b>                |
| 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                    |
| <b>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</b>  |                         |
| <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 popularisation 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 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 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. 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 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 authorisation 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 undergo further training. 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. 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 training 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

| <b>Ser. No.</b> | <b>Title action</b>   | <b>Timing (at least by year's quarter/semester)</b> | <b>Responsible Unit</b>                           | <b>Indicator(s) / Target(s)</b>   |
|-----------------|---|---|---|---|
| 1               | Training courses for all researchers regarding national, sectoral and institutional regulations | Continuous  | HR department                                     | Comprehensive information about the institute principles  |
| 2               | German training courses (basic and advanced)  | Continuous  | HR department                                     | Integration for foreign researchers   |
| 3               | Intercultural workshops   | Continuous  | Diversity Officer                                 | Raising awareness of one's own cultural conditioning and improving the ability to reflect on and interpret other cultures |
| 4               | Annual appraisal interviews with every researcher   | Continuous  | Responsible supervisor                            | Strategic personnel development and motivation for researcher   |
| 5               | Publish internal job advertisements also in the intranet  | Continuous  | HR department<br>IT department                    | Overview for all employees of all internal job vacancies at anytime, anywhere   |
| 6               | Guidelines for recruitment  | Summer/Autumn 2018                                  | HR department<br>Equal Opportunities Commissioner | To secure transparency, non-discrimination; basis to compare applicants   |
| 7               | Publish Charter & Code on homepage  | Winter 2017/2018                                    | HR department<br>IT department                    | Written commitment to Charter & Code → Visibility for interested people/researchers                                       |
| 8               | Develop and publish an OTM-R policy on website in German and English                            | 2019  | HR department<br>IT department                    | Public commitment to adhere to OTM-R  |
| 9               | Template for employee interviews for disciplinary supervisors                                   | Winter 2019/20                                      | HR department                                     | Support and help for supervisors, record for milestones and agreed schedules  |
| 10              | Development of quality system for OTM-R   | 2020  | HR department                                     | To monitor and assess the extent to which the OTM-R system is being implemented   |
| 11              | Developing a system for assessing the attainment of OTM-R                                       | 2021  | HR department                                     | System to assess whether OTM-R delivers on its objectives   |

### 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.

###### 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**

### *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.

### *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.

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.*

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 the steering and working group will have meetings. An overview of the planned and fulfilled tasks will help to develop a strategy for further actions.