



Research Center Borstel
Leibniz Lung Center

Human Resources Strategy for Researchers (HRS4R)

Implementation of the European
Charter for Researchers and the
Code of Conduct for the
Recruitment of Researchers

Leibniz
Leibniz
Gemeinschaft



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Introduction

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers are documents of the European Union that set out guidelines to enable universities and research institutions in Europe to improve the working and employment conditions for researchers and offer them more attractive career paths in Europe.

The Borstel Research Centre recognises that maintaining and enhancing its attractiveness to the best researchers from around the world is essential for the success of research and research-based teaching. It has therefore decided to pool its activities in the field of human resources for researchers within the framework of the European "Human Resources Strategy for Researchers" (HRS4R). This takes into account the "European Charter for Researchers" and the "Code of Conduct for the Recruitment of Researchers".

On the basis of a comprehensive internal gap analysis conducted in 2018, the FZB's Governing Board has adopted an "action plan" developed by the internal working group.

The action plan is presented on the following pages. If you have any questions, please contact Human Resources Management tschroeter@fz-borstel.de

Borstel 2020-04-01, Stefan Ehlers, CEO

ACTION PLAN

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	*128
Of whom are international (i.e. foreign nationality)	*26
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*69
Of whom are women	*65
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*7/ 27 incl. Group leader
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	*66
Of whom are stage R1 = in most organisations corresponding with doctoral level	*28
Total number of students (if relevant)	
Total number of staff (including management, administrative, teaching and research staff)	*351
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	29.1 million
Annual organisational direct government funding (designated for research)	19 million
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	7.4 million
Annual funding from private, non-government sources, designated for research	2.7 million
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
The Research Center Borstel, Leibniz Lung Center (RCB), deals with chronic inflammatory lung diseases and fulfils its scientific and socio-political task through intrinsically translational disease-oriented research. RCB stands for cooperative excellence with relevance for lung health. RCB provides training and promotion of young scientists and laboratory technicians as well as expert service in the field of pneumology. Gender equality and work-life balance are a top priority within RCB's culture of transparency, communication, participation and career support.	

2. Strengths and weaknesses of the current practice

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

THEMATIC HEADING of the CHARTER and CODE	STRENGTHS and WEAKNESSES
ETHICAL and PROFESSIONAL ASPECTS	<p>STRENGTHS</p> <p>As publicly supported research institute, laws and regulations of the Federal Republic of Germany and the federal state of Schleswig-Holstein apply to the RCB. For example, the constitution (<i>Grundgesetz</i>), General Equal Treatment Act (<i>Allgemeines Gleichbehandlungsgesetz, AGG</i>), Equal Treatment Act (<i>Gleichstellungsgesetz</i>), animal protection law (<i>Tierschutzgesetz</i>), General Data Protection Regulation, Working Conditions Act (<i>Arbeitsschutzgesetz</i>), genetic engineering law (<i>Gentechnikgesetz</i>), and genetic engineering safety regulation (<i>Gentechnik-Sicherheitsverordnung, GenTSV</i>) are strictly followed. Where necessary, e.g. in the implementation of genetic engineering law resp. the genetic engineering safety regulation and in the context of the biological substance regulation (<i>Biostoffverordnung</i>), there is close collaboration with the state and local regulatory authorities. Concerning Labour Law, all legal regulations of German public service and its tariff laws apply to the RCB. Additionally, as a member of the Leibniz Association, the statutes of the Leibniz Association apply to the RCB. National budgetary rules and, in the case of third-party funds, funding agreements regulate the use of research funds. The administrative implementation takes place in the Finance Department of RCB. Regulatory authorities are the Federal and State Audit Office (<i>Bundesrechnungshof, Landesrechnungshof</i>). RCB undergoes an annual financial audit commissioned by the Federal Republic of Germany and the federal state Schleswig-Holstein as public stakeholders. According to the statutes of the Leibniz Association, the Leibniz Senate evaluates RCB at least every seven years in terms of scientific performance and compliance with Leibniz statutes.</p> <p>The evaluation focusses on strategic and structural development of the centre in the past and the assessment of the respective future concepts. The last audit of the scientific advisory board (centre-wide assessment) took place in 2016, the last evaluation by the Leibniz Senate at the end of February 2019.</p> <p>RCB regularly organises seminars and retreats that enable scientists to exchange and discuss their relevant research topics. The Leibniz Association supports publication of scientific results under the terms of open access. RCB covers publication fees in open-access procedures via a centre-wide publication fund. RCB uses a self-monitoring system to ensure good scientific practice (GSP). Outside of the implementation of recommendations by the German Research Foundation (<i>Deutsche Forschungsgemeinschaft, DFG</i>) for ensuring good scientific practice, the so-called “Borstel Model” was developed. During a series of workshops led by an external psychologist and held during 2010 to 2012 all employees involved in science were trained to develop GSP awareness and a culture of “learning from errors”. Two voluntary GSP coordinators ensure the sustainability of this programme in every laboratory group. Additionally, a works agreement regarding self-monitoring in science was concluded. The “Borstel Model” has already served as an example model for other Leibniz institutes. Information materials are available in the form of a brochure and a bilingual German/English flyer. RCB</p>

supports research-oriented standards of the German Research Foundation (DFG) for gender equality. RCB supports gender parity through target ratios, among others.

Additionally, there are diverse points of contact such as a works council, a complaints office according to the General Equal Treatment Act (*Allgemeines Gleichbehandlungsgesetz AGG*), an Equal Opportunities Officer, a Representative for Employees with Disabilities, Social Affairs Office etc.

There is a clearly communicated anti-corruption guideline at RCB.

An internal technology transfer representative as well as an external consultancy (Ascenion) ensure technology transfer.

Compatibility topics are assessed in the context of the Audit "Work and Family" (*Audit Beruf + Familie*). RCB has been certified by Work and Family (*BerufundFamilie*) since 2010 and is going to enter into the so-called "VIP status/dialogue model" in 2019.

The scientific performance of employees is documented in a research information system (Pure). Here it is possible to create a complete bibliography of scientific publications, a project and expert registry, and a registry of funding bodies, among others. It is used to generate overviews, calculate statistics and generate a bibliometry (citations from Web of Science, journal ratings).

The structured PhD programme at RCB, BBRS (Borstel Biomedical Research School), offers a training and research programme in English, comprising GSP, soft skills and a job orientation module.

Young scientists at RCB are organised internally via the so-called postdoc-initiative, structuring a training programme tailored towards their career plans and are represented nationwide through the "Leibniz Postdoc Network".

WEAKNESSES

There is currently no central repository and archive for primary research data. An electronic lab notebook and guidelines according to "FAIR Data Principles" ensuring that data are "Findable, Accessible, Interoperable and Re-usable" await implementation.

Some communications structures are worthy of improvement, as administrative procedures are only implemented with a certain delay. Increased participation in the creation of such regulations could further improve transparency to accelerate acceptance and implementation. It shall be ensured that all hierarchy levels are informed consistently.

Regarding the topic of anti-discrimination policies, the signature of the Diversity Charter should be included in the action plan.

There is currently no central and structured career or personnel development process at RCB that includes elements of structured mentoring, regular career development interviews, reliable tenure track guidelines, as well as leadership skill training programmes.

Even though publishing in open access procedures is already actively supported, an official statement from RCB regarding Open Science is currently lacking.

<p>RECRUITMENT and SELECTION</p>	<p>STRENGTHS</p> <p>Recruitment at RCB is centrally organized by the Human Resources department. All vacancies are usually published for at least 14 days, and for a maximum of 60 days. Generally, a distinction is made between internal and external job advertisements. Job advertisements are created cooperatively by the tendering party and Human Resources. In the case of external job advertisements, publication always takes place on several portals. Headhunter agencies are engaged in case of important management positions to specifically also invite female candidates to apply.</p> <p>Since RCB is a public institution, the Part-Time Work and Fixed-Term Employment Contracts Law (<i>Teilzeit- und Befristungsgesetz TzBfG</i>), the national law concerning temporary employment in scientific institutions (<i>Wissenschaftszeitvertragsgesetz</i>), the General Equal Treatment Act (<i>Allgemeines Gleichbehandlungsgesetz, AGG</i>), as well as the collective wage agreements for public service (<i>öffentlich-rechtliche Tarifverträge, TVöD-VKA</i>) are applicable. Therein conditions of access and admission as well as the wage and remuneration issues are defined for the advertised positions. This offers full transparency and equal treatment. However, this also limits the scope of action.</p> <p>Job advertisements are designed gender-sensitively (m/w/d: male, female, and diverse). The underrepresented gender and applicants with disabilities are preferentially hired in case of equal aptitude. Applications are requested without photographs to avoid discrimination. Additionally, RCB advocates gender parity in the recruiting process, which is observed across all qualification levels, and regularly evaluates data on this topic – for example through the annual survey of the Leibniz Association and the Annual Report Equal Opportunities.</p> <p>Equal treatment in selection and assessment committees, including in the scope of collaborations with universities, has been formalised (Equal opportunities plan, statutes of the appointment committee [<i>Gleichstellungsplan, Satzung zur Berufungskommission</i>] e.g. https://www.berufungen.uni-kiel.de/de/dateien/oeffentl.-dateien/berufungsverfahrensatzung-stand-2013).</p> <p>RCB has implemented the electronic application software Concludis, unsolicited applications are possible via the RCB homepage, and a pool of applicants is created accordingly.</p> <p>The Equal Opportunities Officer, the Works Council and the Representative for Employees with Disabilities are integrated into the recruitment process. The selection committees, usually with equal representation, consider relevant international and interdisciplinary experiences. Irregularities in the chronological order of CVs and breaks in the professional career are positively viewed as opportunities for career development. Stays abroad are positively acknowledged, as evidenced by the international makeup of the scientific “community” at RCB. Qualification targets for scientists are specified upon recruitment according to national law concerning temporary employment in scientific institutions (<i>Wissenschaftszeitvertragsgesetz</i>).</p> <p>In the case of PhD student applications, master or bachelor degrees obtained abroad are assessed for acknowledgement resp. equivalency to a German university degree after submission of the appropriate certificates. The applied rules are publicly accessible through the ANABIN database.</p>
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	<p>The principles of the Charter and Code are published on the RCB homepage.</p> <p>WEAKNESSES</p> <p>RCB is striving for an optimisation of the recruitment process. To this end, the internal recruitment guideline shall be revised and harmonised with the OTM-R guidelines. One aim shall be early contract extension. This could be feasible by incorporating the contract extension process in Concludis.</p> <p>Notwithstanding the above, management shall be regularly trained regarding the legal provisions or changes in the recruitment process by means of further training programmes or information events.</p> <p>Moreover, RCB is working towards automated publication of job advertisements in English on Euraxess for scientist vacancies.</p> <p>Active recruiting through recruiters and/or search platforms shall be used with higher intensity and more frequently.</p> <p>RCB commits to an open, merit-based and transparent recruiting and selection process. There are currently no targeted processes for re-introduction of scientists after breaks in their careers.</p> <p>The employment contract preparation and personnel file management are currently done manually; a digital personnel file is a long-term goal.</p>
<p>WORKING CONDITIONS & SOCIAL SECURITY</p>	<p>STRENGTHS</p> <p>RCB is required by its federal and state sponsors to maintain a membership in the local employers' association (<i>Kommunaler Arbeitgeberverband KAV</i>). Accordingly, the collective wage agreements for public service (<i>TVöD-VKA</i>) are applicable and provide a comprehensive social security cover as prescribed by law (unemployment insurance, health insurance, pension insurance). Moreover, additional services are offered (employer's pension fund for public service). This applies for all employees. The duration of employment contracts is defined in the national law concerning temporary employment in scientific institutions (<i>Wissenschaftszeitvertragsgesetz</i>), the assessment criteria of the Leibniz Association and the sponsorship conditions of third-party grants (federal government, state government, <i>DFG</i>, <i>DZL</i>, <i>DZIF</i>, etc.) and is handled accordingly.</p> <p>Scholarships are awarded to guest scientists from abroad and MD candidates to promote science and scientific training. In these cases the scholarships are usually tax-exempt and social security contribution-free (see § 3, number 11 and 44 <i>Einkommenssteuergesetz</i>[German income tax law]). The RCB has guidelines which define the allocation of scholarships for students and visiting scientists from abroad.</p> <p>RCB has well-equipped research laboratories available, a culture characterised by transparency and participation, workplace health promotion, its own biology lab assistant training programme, a structured PhD programme (BBS), internal training, seminars and retreats. To stay state-of-the-art and fulfil legal requirements, there are substantial building construction efforts currently under way (e.g. new construction of a central lab building).</p> <p>IT infrastructure and data repositories, as well as a biobank are available. There is a specialised lung clinic connected to the research centre that allows for translational research.</p>

	<p>Observance of legal requirements regarding work safety, biosafety, genetic engineering safety, and data protection are monitored by specifically qualified officers. The legal and tariff requirements regarding employees with disabilities, working hour regulations, health and safety in the workplace etc. are observed. Additionally, the employees are supported by the Social Affairs Office in questions regarding family matters. RCB was certified in 2010 in the context of the audit “Compatibility of Work and Family” (<i>Vereinbarkeit von Beruf und Familie</i>). RCB has an on-site occupational physician service and measures of occupational health promotion available. Works agreements regarding working from home (<i>Betriebsvereinbarung zur alternierenden Heimarbeit (Homeoffice)</i>) and flexible working hours including a trust-based working hour model for scientists are implemented.</p> <p>There is a flexibly utilisable parent-child office at RCB, as well as a campus day-care centre allowing for up to 10 children from 9 weeks and older to be looked after.</p> <p>RCB has regulations regarding employee inventions in place and engages an external consultancy with technology transfer (currently Ascension). Additionally, there is an internal technology transfer representative to advise employees.</p> <p>A collaboration with specialised companies (currently Eurice and LINQ) enables support for the preparation of collaborative grant applications in EU Framework Programmes. Additionally, there is an internal office for contract review.</p> <p>RCB has a works agreement in place regarding good scientific practise, ombudspersons for science, a works council and a social affairs office where employees can file complaints and objections. Additionally, RCB has a complaints office according to the General Equal Treatment Act (<i>Allgemeines Gleichbehandlungsgesetz, AGG</i>) as well as an Equal Opportunities Officer and a Representative for Employees with Disabilities. Every employee is entitled to mediation or coaching to improve labour capacity. The research group leaders and their deputies (postdocs) are integrated in the information and decision-making committees and are invited to participate, e.g. in the research group leadership sessions, or sessions of priority areas. The PhD candidates are represented by two spokespersons in the Borstel Biomedical Research School (BBRS) advisory board.</p> <p>WEAKNESSES</p> <p>In order to offer an even more advanced research environment, there is continuing need for renovation and new construction on the campus. This is currently implemented stepwise and already supported by state and federal government.</p> <p>The wording for levels from R1 is not clearly defined at RCB. PhD candidates are often still called (graduate) students, despite being assigned to level R1, there is no distinction being made in the form of junior and senior researcher.</p>
<p>TRAINING and DEVELOPMENT</p>	<p>STRENGTHS</p> <p>Experienced researchers take on their role as supervisor for scientific offspring. Research group leaders have diverse tasks, whereas subareas are delegated to postdocs, giving them the opportunity for development and teaching experience. Experienced researchers support junior scientists in applying for third-party funding and the extension of their contracts. In weekly seminars the data of junior scientists are presented and discussed.</p>

Review processes and feedback mechanisms are present in the form of regular team meetings. Appraisal interviews offer the opportunity to utilise the research group leaders' professional network, in addition to serving as a chance for research group employees and superiors to discuss career development. Furthermore, RCB's Postdoc Initiative offers a network for internal and external exchange regarding career planning and organises training courses for postdocs. RCB offers a structured training programme for PhD candidates (BBRS) with biannual progress interviews in dual supervision by experienced researchers. In this context, soft skill trainings to promote career development are offered. Additionally, management trainings and career supervision are offered in various third-party funded programmes are offered, e.g. EvoLUNG (a Leibniz research campus jointly organised with the University of Kiel).

All researchers at any stage of their career have the opportunity to participate in conferences/colloquia and present themselves, independently of their contract situation. There is a separate budget for training and further education, and travel grants can be applied for at RCB. In general, there is the possibility to be exempt from work for further education measures. RCB covers part of childcare costs for researchers on multiday business trips and offers childcare in the campus daycare for evening events.

RCB values mobility for professional development in research careers. International and national collaborations enable RCB researchers to work at different institutes to promote their career and gain work experience.

Teaching activities at RCB (seminars, laboratory courses, instructions on independent scientific work, BBRS, etc.) are listed in the course catalogues of the partner universities (University Lübeck, University Kiel) and can therefore be used for professional qualifications (e.g. habilitation, private lecturer or instructor).

RCB trains biology lab technicians (3.5 year, structured theoretical and practical training with final examination before the Chamber of Industry and Commerce (*Industrie- und Handelskammer*)) and offers pupil experiments in the form of a school lab open for grades 9 through 13.

WEAKNESSES

The structured feedback instruments between researchers in training and their supervisors need to be expanded and codified. Strategic personnel development is currently not overarching and centralised, but remains rather specific to individual research groups or priority areas.

Personnel management at RCB currently offers no unified, inter-divisional career development. Administrative support for training and promotion of young researchers could be ensured with a central budget and staff. Especially for junior research groups a binding career development programme with structured mentoring and reliable perspectives (guidelines for performance evaluation or tenure track process) needs to be codified.

It should be assessed to which extent individual target agreements regarding training and career development can already be reached upon conclusion of the employment contract.

Issuing of employer references is in need of further centralisation and coordination regarding a unified form.

In the area of habilitation, structured guidelines (other than, but in harmony with those available through universities) and mentoring for interested

	<p>researchers are lacking. Teaching activities should be acknowledged in the distribution of funding, e.g. in the form of a bonus system, to avoid creating disadvantages for researchers resulting from the associated time expenditure.</p> <p>Execution of the annual appraisal interviews should be monitored and information regarding e.g. need for training transferred to Human Resources in an anonymous form. Additionally, a process for centre-wide registration of the need for additional training should be devised.</p>
OTM-R SYSTEM	<p>STRENGTHS</p> <p>RCB offers an open, efficient and transparent recruiting process. Job advertisements contain a comprehensive description of the required knowledge, competences and job experience without barring less specialised candidates from applying.</p> <p>We have an internal recruitment guideline detailing all process sequences from publishing the job advertisement to employment including responsibilities. For the selection of candidates, the selection committees have an assessment matrix at their disposal as well as a guideline for conducting job interviews.</p> <p>In the area of scientific vacancies, RCB employs external and internationally published recruiting tools in 100% of cases. Every external job advertisement is also published on the Leibniz Association’s homepage.</p> <p>The number of incoming applications for scientific positions is satisfactory. The same applies for applications from abroad.</p> <p>As the national language is generally not a prerequisite for employment German courses during the employment are offered to overcome language barriers.</p> <p>Job advertisements are designed gender-sensitively (m/w/d; male, female, and diverse). The underrepresented gender and applicants with disabilities are preferentially hired in case of equal aptitude. Applications are requested without photographs to avoid discrimination.</p> <p>RCB promotes young scientists, among others, through a structured PhD graduate programme, individual coaching, career development modules initiated by postdocs and externally moderated, as well as a tenure track process.</p> <p>WEAKNESSES</p> <p>RCB does not have a generally applicable and available external OTM-R guideline (recruitment guideline) yet that comprehensively defines the composition and role of the selection committee, the job advertisement and the selection process in a way that is transparent for candidates.</p> <p>Active search for candidates through the advertising parties in e-recruiting tools (e.g. Research Gate) shall be supported by listing available tools in an information leaflet and covering associated costs.</p>
ADVERTISING and APPLICATION PHASE	<p>STRENGTHS</p> <p>The entire applicant management is done centrally by Human Resources through the software “Concludis”. Job advertisements are on file in a standardised and lawful format that needs to be used by default, ensuring observance of all legal requirements (information about equal treatment</p>

	<p>policy, General Equal Treatment Act (AGG)). Additionally, the job advertisements contain individual, detailed information regarding job title, date of entry, the expected professional experience, number of vacant positions, type of contract as well as tariff basis for wage classification. Job advertisements can be published in the national language and/or in English.</p> <p>All external job advertisements must be published on the RCB intranet, RCB homepage, employment agency (<i>Agentur für Arbeit</i>), and in case of scientific vacancies also on the Leibniz Association's homepage. Otherwise tendering parties are free to choose which e-recruiting tools or print media shall be used in addition, including the possibility to publish advertisements internationally. The costs of job advertisements are covered by RCB's budget.</p> <p>The system informs the applicant regarding the progress of the application in several languages. Confirmations of receipt, intermediate feedback, invitations and rejections are generated automatically. The required effort during the process is consequently low for applicants. Certificates and documents as originals are only required after the process. Furthermore, a translation of documents is usually not necessary.</p> <p>WEAKNESSES</p> <p>In the context of preparing job advertisements, RCB observes all legal requirements, nevertheless a comprehensive written and internally available guideline is lacking.</p> <p>Additionally, scientific job advertisements could be supplemented with links to further information sources in order to enable applicants to inform themselves more comprehensively, e.g. about organisational units, the organisation as a whole or the recruitment process.</p> <p>Furthermore, applicants currently do not receive information about selection criteria and their respective impact, further training opportunities, career perspectives, actual remuneration or the possibility to acknowledge our OTM-R policy. All information could be provided in the form of links within the job advertisement or via e-mail by Concludis. Within this context, additional information should be provided about the recruitment process, the next steps and the preliminary schedule.</p>
<p>SELECTION and EVALUATION PHASE</p>	<p>STRENGTHS</p> <p>The selection process is headed by the advertising party. The selection of candidates invited for an interview is made by the selection committee in conjunction with the Equal Opportunities Officer and the Representative for Employees with Disabilities.</p> <p>Selection committees are made up of different areas of expertise and skills. Moreover, all selection committees invite the Equal Opportunities Officer, the Representative for Employees with Disabilities and the Works Council by default to function as independent entities. The advertising party can elect further persons for the selection committee and decide on their weighting at their discretion. In concert with the Equal Opportunities Officer, gender parity within the selection committee is striven for. The Equal Opportunities Officer further monitors gender parity among invited candidates. The interviews take place in German or English language. The selection committee decides as a group. It is ensured that applicants have sufficient time to make any necessary travel arrangements and prepare for the interview itself.</p> <p>WEAKNESSES</p>

	<p>The structured procedure for the selection of applicants has proven very useful at RCB. In order to continue and monitor this practise, RCB is working towards codifying the practise for internal and external use. Content of the document shall be, among others, the composition of selection committees, assessment criteria, as well as voting rights and weighting.</p>
<p>APPOINTMENT PHASE</p>	<p>STRENGTHS</p> <p>All applicants receive electronic confirmations of receipt for their applications. Applicants are regularly notified about the status of their application procedure. Invitations for interviews are extended personally or in electronic form.</p> <p>Applicants with disabilities and internal applicants with equivalent skills, experience and suitability are always invited for an interview. The same applies to the underrepresented gender.</p> <p>Applicants that participated in an interview receive feedback either personally or by email.</p> <p>At the latest with the end of the recruitment process all other applicants are informed about the outcome of the procedure.</p> <p>The entire application- and recruitment process is supported electronically by the software Concludis.</p> <p>All new employments require the assent of the Works council.</p> <p>WEAKNESSES</p> <p>The internal recruiting guidelines prescribe feedback at the latest 14 days after an interview. To improve external image, RCB strives towards a fast response time. Additionally, personalised and detailed feedback shall be given. To improve transparency of the application process, applicants should be informed about the process and the selection criteria before selection.</p>
<p>OVERALL ASSESSMENT</p>	<p>STRENGTHS</p> <p>In the context of the equal opportunities policy, the number of applicants is evaluated annually with regards to gender and origin. Furthermore, application processes are monitored by the Equal Opportunities Officer, the Representative for Employees with Disabilities and the Works council as neutral entities. All have the opportunity to participate in interviews.</p> <p>WEAKNESSES</p> <p>Currently there is no feedback option for applicants. One possibility for review of the recruitment process is compulsory feedback from applicants regarding form and quality of the process.</p>

3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: <https://fz-borstel.de/index.php/de/sitemap/ausbildung-jobs-karriere/arbeitsbedingungen-karrierefoerderung>

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicators(s) / Target(s)
Free text -100 words max	Retrieved from the GAP Analysis			
GENERAL ADMINISTRATIVE PROCESSES				
Review of a working group resp. buddy system between administration and research	Communication between research and administration is insufficient. How is information across all hierarchy levels ensured?	06/2020-06/2021	Head of Administration	<u>Target:</u> Potential communication and Information Spreading channels are reviewed and evaluated <u>Indicators:</u> Until 09/2020 Evaluation of the

				<p>Status quo of communication and information routes between Administration and Scientists (via round table sessions)</p> <p>Until 12/2020 Representative of stakeholders Scientists and Administration form a review board</p> <p>Until 03/2021 Review board reflects upon the status quo and develops new strategy</p> <p>In 04/2021 New strategy is presented in the RCB at different places e.g team meetings, retreats, Intranet</p> <p>Feedback will be collected and the improved process will be tested starting in 06/21</p>
Sign Diversity Charter	Make a further statement for non-discrimination	03/2020-10/2020	Board of Directors	<p><u>Target:</u></p> <p>The Charter is signed</p> <p><u>Indicators:</u></p> <p>Until 06/20 The CEO will collect the informations about the process and requirements for the diversity charta</p>

				<p>In 07/20 The CEO informs the board of directors</p> <p>The board of directors discusses the advantages and disadvantages and takes a decision on whether the charter should be signed</p> <p>In 08/20 The Equal opportunity officer will be informed about the result</p> <p>Until 09/20 The Equal Opportunity commissioner will submit the necessary documents etc. together with the HR unit</p> <p>Once a positive response to the submission has been received, the CEO will inform all employees at appropriate points about the content and receipt of the charter of diversity</p>
<p>Review possibility of centralised preparation of employer's references</p>	<p>Timely and competent preparation of employer's reference letter / appraisal is not yet centrally organised at RCB</p>	<p>03/2020-03/2021</p>	<p>HR Unit</p>	<p><u>Target:</u></p> <p>A process is developed</p> <p><u>Indicators:</u></p> <p>Until 06/2020 Existing documents and implementations will be compiled</p> <p>Until 10/20</p>

				<p>Status quo, requirements and how the process should be run included in discussions with stakeholder groups</p> <p>Until 12/20</p> <p>Review by HR Unit of the results with a view to whether centralized creation would generate a faster process for participants</p> <p>Until 03/2021</p> <p>a process of drafting appraisal / reference document is modeled</p> <p>Documents are revised and possible Online Tools/ Reference Generator are a subsequent step in the Revised Action Plan</p>
<p>Review if contract extensions can be displayed in the Concludis system</p>	<p>Contract extensions are often applied for too late. Results in planning uncertainty for employees and administrative burden is increased</p>	<p>03/2020-03/2021</p>	<p>Head of HR</p>	<p><u>Target:</u></p> <p>Workflow contract extension (currently a checklist) is automated in Concludis</p> <p><u>Indicators:</u></p> <p>Until 09/20</p> <p>Current process and documents of contract extensions are recorded</p> <p>Until 12/20</p>

				<p>The feasibility is discussed with the provider of the Concludis software</p> <p>Until 03/2021 The possibilities are discussed and weighed up with the HR unit. The further procedure, possibly also for other alternatives, is determined.</p> <p>The following consequences will be initiated and documented in the Revised Action Plan e.g.the bodies required for implementation will be involved and necessary steps will be listed both formally and in the IT area.</p>
<p>Definition of wording R1-R4 in the research area</p>	<p>PhD candidates are referred to as students, there is no clear wording / no assignment for R1-R4 levels</p> <p>According to Leibniz Recommendation PhD candidates from now on tp be called doctoral researchers</p>	<p>09/2020-09/2021</p>	<p>Board of Directors</p>	<p><u>Target:</u></p> <p>Catalogue of criteria / description available on RCB intranet/ internet</p> <p><u>Indicators:</u></p> <p>Until 03/21 Working Group works out adaptation of R1-R4 definition to RCB requirements</p> <p>Until 06/21 HR Unit reviews the guideline and converts it into an official form template</p>

				It will be published on the homepage and will be adapted for job advertisements
Prepare guideline for re-entry after career interruption	No targeted procedure for re-entry of scientists R1-R4 after career interruption available	01/2021-12/2021	HR Unit	<p><u>Target:</u> Guideline is available on RCB homepage and intranet</p> <p><u>Indicators:</u> Until 03/2021 Existing documents and implementations will be compiled</p> <p>Until 06/21 Status quo, requirements and how the process should be run included in discussions with stakeholder group and employees concerned</p> <p>Until 08/21 Review by HR Unit of the results</p> <p>Until 11/21 A Guideline will be prepared</p> <p>In 12/2021 The Guideline will be available in the intranet and internet</p> <p>A long-term goal is the introduction of a QM system with document</p>

				control for employees to ensure that documents are easy to find and up-to-date. If approved by the Board of Directors, this measure would be included in the revised action plan from 2022.
GOOD SCIENTIFIC PRACTICE				
Ensure centralised backup of primary research data	Centralised backup of primary research data is lacking	06/2020-12/2022	Board of Directors	<p><u>Target:</u> A Central backup system for scientific data is installed</p> <p><u>Indicators:</u> Until 06/21 Status Quo and Possibilities are reviewed</p> <p>Until 12/21 Resources for centralised storage are available</p> <p>Implementation starting from 06/22 as a part of the revised action plan</p>
Elect a person to develop implementation processes for FAIR Data guidelines at RCB	FAIR Data guidelines have not yet been implemented. There are guidelines from the Leibniz Association.	05/2020-12/2020	Board of Directors	<p><u>Target:</u> Person has been elected, process is started</p> <p><u>Indicators:</u> Until 10/2020 The Board of Directors are knowledgeable about the content</p>

				<p>of the FAIR Data guidelines</p> <p>Until 12/2020</p> <p>The Board of Directors appoints representative for FAIR Data implementation</p> <p>Longtime Goal for the following steps will be included in the Revised Action Plan:</p> <p>Scientists have been informed about Information FAIR data principles by the FAIR Data representative</p> <p>Platforms for data sharing are identified and advertised</p>
<p>Review possibilities of Open Science Practice discussion paper from the EU</p>	<p>Statement from RCB regarding Open Science is lacking</p>	<p>06/2020-12/2020</p>	<p>Board of Directors</p>	<p><u>Target:</u></p> <p>Board of directors has agreed bindingly on the further procedure</p> <p><u>Indicators:</u></p> <p>Until 09/2020</p> <p>Paper has been reviewed by the Board of Directors</p> <p>New Targets will be included in the Revised Action Plan</p>
<p>The introduction of an electronic lab notebook (ELN) in all of</p>	<p>No uniform electronic documentation of research data is established at RCB</p>	<p>01/2021-12/2022</p>	<p>Good Scientific Practice Officer</p>	<p><u>Target:</u></p>

<p>RCB's groups is aimed for and shall be tested in a few groups beforehand.</p>				<p>Pilot lab groups have tested the ELN</p> <p><u>Indicators:</u></p> <p>Until 06/2021 An ELN system has been selected</p> <p>Until 12/2021. ELN usage is rolled out in research groups</p> <p>Until 06/2022 Feedback is gathered from all stakeholder groups</p>
<p>New construction and renovation measures are underway</p>	<p>Need for renovation and construction on the campus</p> <p>- central laboratory building and National Reference Center</p>	<p>ongoing</p>	<p>Board of Directors</p>	<p><u>Target:</u></p> <p>Modern research environment is continually improved</p> <p><u>Indicators:</u></p> <p>Until 12/2021 National Reference Center completed</p> <p>Until 12/2022 Central laboratory building completed</p>
<p>APPLICATION AND RECRUITMENT PROCESS</p>				
<p>Routinely publish job advertisements in English on Euraxess</p>	<p>Currently the Euraxess portal is not routinely used to publish job advertisements.</p> <p>All scientists have been made aware of the possibilities offered by Euraxess.</p> <p>According to Point 4 and 13 OTM-R Checklist</p>	<p>06/2020-12/2020</p>	<p>Head of HR</p>	<p><u>Target:</u></p> <p>All job advertisements for scientific personnel are available in English and are published via Euraxess</p> <p><u>Indicators:</u></p>

				<p>Until 08/2020</p> <p>The internal recruiting guidelines are supplemented so that scientific job advertisements are published in German and English.</p> <p>Until 10/2020</p> <p>Applicants will be informed via the research group leader meeting that scientific job advertisements are to be written in German and English.</p> <p>Employees of the personnel department will be instructed.</p> <p>Until 12/2020</p> <p>All job advertisements for scientific staff are available in English and are published via Euraxess.</p> <p>All scientists will be informed about Euraxess Furthermore, Euraxess will be presented at the meeting of the research group leaders, the BBRS and the postdoc initiative and a reference to the job opportunities will be made on the intranet (all job offers to be published on the website)</p>
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<p>Prepare external application guideline according to OTM-R criteria (OTM-R policy) and publish them on the homepage</p>	<p>OTM-R conforming recruitment process is not externally codified</p> <p>According to Point 1 Checklist OTM-R Checklist</p>	<p>06/2020-12/2020</p>	<p>Head of HR</p>	<p><u>Target:</u></p> <p>The guideline is available on RCB's homepage and intranet</p> <p><u>Indicators:</u></p> <p>Until 08/2020</p> <p>Prepare the OTM-R policy</p> <p>Until 11/2020</p> <p>Presentation to the Board of Directors and Works Council, requests for changes are inserted and presented again to the same committees for final approval</p>
<p>Update internal recruitment guideline and job advertisement guidelines according to OTM-R and Toolkit</p>	<p>Administrative process from publishing of job advertisements to employment contract need to be revised</p> <p>The administrative process from the creation of job advertisements to the employment contract needs to be updated, including</p> <p>Guidelines for recruitment processes (e.g. guidelines for the advertisement of positions),</p> <p>the composition of the selection committee, the duration of the procedure and references and links to the elements contained in each section of the toolkit. Letter templates should also be provided to help improve feedback after interviews.</p> <p>According to Point 2, 11, 12, 21 OTM-R Checklist</p>	<p>01/2021-12/2021</p>	<p>Head of HR</p>	<p><u>Target:</u></p> <p>Guideline is updated</p> <p><u>Indicators:</u></p> <p>Until 04/2021</p> <p>Revision of the internal recruiting guidelines corresponds to the OTM-R specification and the presentation of the administrative process. Taking into account the prerequisites of the OTM-R procedure, the guide should reflect the start of the process from the invitation to tender to the</p>

				<p>conclusion of the employment contract</p> <p>Until 05/2021 Presentation to the Working Group and subsequent incorporation of any change requests.</p> <p>Until 09/2021 Following approval of Board of Directors, guideline available via RCB intranet. Innovations in the process will be presented at the research group leaders' meeting.</p>
<p>Prepare information regarding engagement of headhunter agencies for active recruiting</p>	<p>Active recruiting is used insufficiently</p> <p>According Point 4 OTM-R-Checklist</p>	<p>06/2021-12/2021</p>	<p>Head of HR</p>	<p><u>Target:</u> Guideline available on RCB intranet, fee coverage is detailed within</p> <p><u>Indicators:</u> Until 09/2021 Put together a selection of possible platforms</p> <p>Until 11/2021 Preparation of an information sheet</p> <p>Until 12/2021 Presentation to the Board of Directors and to the meeting of research group leaders.</p>

<p>Regular training of advertising parties regarding recruiting process according to OTM-R</p>	<p>Advertising parties are insufficiently trained with regards to OTM-R conforming recruiting processes</p> <p>Point 3 OTM-R Checklist</p>	<p>02/2020-12/2022</p>	<p>Head of HR</p>	<p><u>Target:</u> Training is implemented</p> <p><u>Indicators:</u> Until 04/2020 Planning training contents and organizing training courses (e.g. in management training modules)</p> <p>Until 10/2020 Implementation of the first training run. Plan recurring training sessions afterwards.</p>
<p>Codification of criteria for the employment in the research division</p>	<p>Currently only a checklist in the context of qualification goals for national law concerning temporary employment in scientific institutions (<i>Wissenschaftszeitvertragsgesetz</i>) is available, further criteria need to be registered and codified.</p> <p>For doctoral students, comprehensive qualification measures are taken by the BBRS.</p> <p>According to Point 21 of the GAP Analysis</p>	<p>01/2021-12/2021</p>	<p>Head of HR, CEO</p>	<p><u>Target:</u> Guideline available via RCB homepage and intranet</p> <p><u>Indicators:</u> Until 09/2021 Guidelines for qualification targets for scientists will be developed and integrated into the recruitment process</p> <p>Until 10/2021 Information of the new guideline is given to the scientists at their meeting of the research group leaders.</p>
<p>Initiate preparative measures for the introduction of</p>	<p>Personnel files and contracts in Human Resources are currently still managed by hand</p>	<p>06/2021-12/2022</p>	<p>Head of HR</p>	<p><u>Target:</u> Preparatory</p>

<p>digital personnel files including contract management</p>	<p>According to Point 15 OTM-R Checklist</p>			<p>measures have been completed</p> <p><u>Indicators:</u></p> <p>Until 12/2021 Attend training course on "Implementation of a digital personnel file" (at least 2 employees of the personnel department)</p> <p>Until 06/2022 View systems for the digital personnel file and make a preselection</p> <p>Until 12/2022 Conclude company agreement with Works Council for digital personnel file.</p>
<p>Review possible feedback instruments for applicants after recruitment process</p>	<p>Currently there is no formal way how feedback from applicants comes back to the HR Office</p> <p>According to Point 22 OTM-R Checklist</p>	<p>06/2022-12/2022</p>	<p>Head of HR</p>	<p><u>Target:</u></p> <p>Feedback System is implemented</p> <p><u>Indicators:</u></p> <p>Until 08/2022 Possible feedback instruments for applicants are analysed (feedback via the Concludis system or other online-based tool or personal feedback)</p> <p>Until 09/2022 Committees e.g. Board of Directors, works council are</p>

				<p>informed about the options</p> <p>Until 12/2022</p> <p>Selection and implementation of the feedback system</p>
CAREER and CAREER DEVELOPMENT				
<p>Assessment and codifications of available feedback instruments between researchers in training and their mentors and revision resp. codification</p>	<p>Structured feedback instruments between researchers in training and their mentors need to be codified</p>	<p>06/2020-12/2021</p>	<p>Head of HR, Working Group</p>	<p><u>Target:</u></p> <p>Instruments are registered and revised</p> <p><u>Indicators:</u></p> <p>Regular feedback along structured guideline mandatory at RCB (PhD students: progress report every 6 months in front of two mentors with protocol delivered to supervisory committee of BBRS; Posdoctoral scientists: career mentoring once per year; career planning included in annual feedback discussion with supervisor)</p> <p>Until 12/2020 Guidelines in place</p> <p>Until 12/2021 Assessment of implementation by Working Group and Board of Directors</p>

<p>A leadership programme is currently being developed, further personnel groups are to follow</p>	<p>No central career development programme and personnel development programme available at RCB</p> <p>According to Point 3 of OTM-R Checklist</p>	<p>Starting 02/2020- Ongoing</p>	<p>Head of HR</p>	<p><u>Target 1:</u></p> <p>Junior Research Groups</p> <p>External leadership and science management training compulsory by 12/2020</p> <p><u>Target 2:</u></p> <p>Training for Heads of Divisions is implemented and running</p> <p><u>Indicators:</u></p> <p>Until 03/2020 selection of external science management provider to perform leadership program in four modules over a two-year period</p> <p>Until 07/2020: Concept workshop with stakeholder groups</p> <p>Until 10/2020 Demonstrator module developed and tested</p> <p>Until 01/2021 Modular training program for management skills started</p> <p>Until 12/2022 Final module (sustained leadership and</p>
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				RCB leadership culture) started Until 06/2023 programme completed, assessment by participants performed
Review adequacy of current staff and evaluate possibility of administrative position for training and junior development programmes	Currently there may be insufficient administrative support for training efforts and junior development programmes at RCB	03/2020-12/2020	Board of Directors	<u>Target:</u> Necessity has been assessed. If there is need, job advertisement is prepared and position filled. Alternatively, support is offered via already existing science administration
Elect persons that can offer information and support regarding habilitation at RCB – tandem administration + researcher	Currently no support and advice structure for scientists at RCB regarding habilitation	03/2020-06/2020 Target 2 until 12/2021	Board of Directors	<u>Target 1:</u> Member of extended Board of Directors named who will take charge of process <u>Target 2:</u> HR unit develop a guideline with this person describing the habilitation process and support structures offered by RCB
Review of acknowledgement of teaching activities in the context of performance-based fund distribution	Currently teaching activities are not in the scopes of performance-based fund distribution or bonus system	01/2021-12/2021	Board of Directors	<u>Target:</u> Need of acknowledgement in performance-oriented funding has been assessed and result has been communicated
Possibilities for the introduction of a centralised training and youth development	Currently, there is a structured centralized training course for PhD students at RCB (BBRS). However, there is no central registration of need for training	03/2020-03/2021	Board of Directors	<u>Target:</u> Possibilities are assessed

<p>programme shall be assessed (criteria for application, funding, feedback)</p>	<p>at RCB for other stakeholder groups. Process for communicating need for training and applying for funding must be formalized.</p>			<p><u>Indicators:</u></p> <p>Until 06/2020 Budget allocation by the Board of Directors</p> <p>Until 12/2020 Application form available in the intranet</p> <p>Until 03/2021 Deliverable 3: Feedback from stakeholders to Working Group</p>
<p>Increase access to career advice</p>	<p>According to Gap analysis point 30</p>	<p>06/2021-12/2022</p>	<p>HR Unit</p>	<p><u>Target:</u></p> <p>Career advice at RCB is further formalized and made compulsory</p> <p><u>Indicators:</u></p> <p>Until 06/2021 Decision is reached as to whether centralized career advice office is necessary at RCB. If so, to be implemented in the Revised Action Plan</p> <p>Until 11/2021 Participation in career advice programs by universities in Kiel and Lübeck is formalized in a written contract.</p> <p>Until 12/2021 Participation in external career development</p>

				<p>programs is facilitated and regularly advertised.</p> <p>Until 12/2022</p> <p>Individual career advice and support in working out career perspectives is established in the form of a voluntary mentoring programme.</p>
<p>Agreement on a multi-dimensional approach for the evaluation of performance and achievements of scientific personnel</p>	<p>Current evaluation guidelines focus primarily on numerical publication (impact factor) and funding parameters.</p> <p>According to gap analysis point 33</p>	<p>06/2021-12/2022</p>	<p>Board of Directors</p>	<p><u>Target:</u></p> <p>Internal RCB Evaluation parameters are defined</p> <p><u>Indicators:</u></p> <p>Until 12/2021</p> <p>Additional evaluation parameters are identified and agreed on. These could include teaching activities, information of public and society, translational activities, acceptance of central tasks at the RCB.</p> <p>Until 12/2022):</p> <p>Parameters are included in the evaluation scripts at different levels</p>

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 the case, please make the link between the OTM-R checklist and the overall action plan.

German laws already provide a general framework for open, transparent and merit-based recruiting and employment processes, to which RCB is committed. The openness of employment and applicant selection processes is based on the national constitution, article 3 (equality before the law) regarding the performance-based selection of civil servants. This law is supplemented by the General Equal Treatment Act (*Allgemeines Gleichbehandlungsgesetz, AGG*). The federal Equal Treatment Act (*Gleichstellungsgesetz*) and state Law Regarding Equal Treatment of Genders (*Landesgesetz über die Gleichstellung der Geschlechter*) contain numerous regulations to ensure equal treatment of genders, among which there are prioritising women in case of equal qualification and underrepresentation in the respective area. The access and admission conditions as well as wage matters are defined in the collective wage agreements for public service (*öffentlich-rechtliche Tarifverträge, TVöD-VKA*) and national law concerning temporary employment in scientific institutions (*Wissenschaftszeitvertragsgesetz*). RCB observes the General Equal Treatment Act (*AGG*) to prevent or stop discrimination due to race or ethnic origin, gender, religion or world view, disability, age or sexual orientation. The Social Security Act (*Sozialversicherungsgesetz*) prescribes numerous protective measures for persons with special needs or chronic illnesses. The Disabilities Act (*Schwerbehindertengesetz*) aims to abolish or prevent discrimination against persons with disabilities and to ensure equitable participation of persons with disabilities in social life and enable them to lead an independent life. RCB uses these provisions and laws as framework for recruitment and will continue developing its recruitment policy.

RCB will use the Toolkit as a step-by-step guide to revise the current and future practises. RCB already fulfils most of the points named in the Toolkit as can be seen in the gap analysis. In most cases, only a written guideline describing the current practise is missing. RCB will arrange the following:

1. Review and revision of the current recruiting policy
2. Development of revised checklists
3. Development of a comprehensive OTM-R guideline (from existing regulations)
4. Publication of the OTM-R guideline in German and English in an easily accessible place on the homepage/ intranet

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL: not yet available/ planned link:

<https://fz-borstel.de/index.php/de/sitemap/ausbildung-jobs-karriere/arbeitsbedingungen-karrierefoerderung>

4. Implementation

General overview of the expected implementation process:

Personnel management took over the overall project management because most suggested activities belong there. The personnel management together with the Equal Opportunities Officer already prepared a draft gap analysis and OTM-R checklist, which were further revised and extended together with the Working Group.

The Working Group, consisting of Scientific Persons R1-R4 and the Deputy Head of Human Resources, was responsible for preparing the final gap analysis and the action plan. The Working Group will meet quarterly in the first year and as needed in the second and third, to monitor the progress of the various measures. In these meetings comments will be evaluated, which will be requested from those departments responsible for the implementation of individual measures. During the development of the action plan, departments or persons were identified which are responsible for each action, actively involved in design and timing of the action, and officially agreed to implement the measures. If there should be a need for correction or an amendment of the action plan or its implementation, this will be discussed and documented with those affected.

The Steering Committee, consisting of the Equal Opportunities Officer, the Board of Directors and the Head of Human Resources Management, will monitor the implementation of the proposed measures, envisaged to be completed within the next three years.

SUSTAINABILITY

After the implementation of the measures, all persons involved in the processes including representatives of all research levels (R1-R4) will discuss regularly to assess whether the objectives set out in the action plan have been achieved and whether there is potential for improvement. Regularly feedback will be collected by the stakeholder groups e.g. Postdoc Initiative/ BBRS/ Heads of Divisions in their respective meetings. Informations will be transported via Intranet and an introductory information event to encourage all stakeholders to provide feedback to the Working Group. During the implementation phase of the action plan, all documents prepared and processes defined will be presented in various information rounds of the stakeholder groups, ensuring their active participation in modifying or optimizing the measures. Necessary improvements and modifications shall be incorporated into the Revised Action Plan, to be completed by 2022. The rights of the works council are safeguarded in the planning and implementation of the measures. If relevant, the works council will be comprehensively involved

PUBLIC PRESENTATION

The RCB will publish the Action Plan on its homepage. The logo will be included on the homepage and contains a quick link to the actual page, which provides information such as a link to the "European Charter for Researchers" or the "Endorsement Letter".

Clarification: The current analysis shows that working conditions at RCB follow OTM-R principles extensively, but lack codification. Therefore, much of the action plan is dedicated to formalizing guidelines, feedback loops with stakeholders, and making current culture compulsory in order to guarantee sustainability. As a consequence, many responsibilities have been placed on the Unit of Human Resources and the Board of Directors. However, following half-term feedback by the Working Group, which will take into account participative input from all stakeholder groups (R1-R4), a Revised Action Plan will be drafted to define long term goals and modifications of the current Action Plan (to be completed by 2022).

Make sure you also cover all the aspects highlighted in the checklist below, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	Working Group and Steering Committee will meet quarterly to discuss the progress which has been made and if necessary adjust measures in agreement with affected parties
How do you intend to involve the research community, your main stakeholders, in the implementation process?	<p>The research community will be involved in the process through personal communication at monthly meetings of Research Group Leaders and Directors. Information will be distributed/disseminated also via intranet. Representatives of research groups (R1-to R4) are part of the Working Group and are thus in regular contact with the Project Leader. Important intersections are e.g. the BBRS and the PostDoc-Initiative which are also represented in the Working Group and can use their own networks to disseminate and collect informations and ideas.</p> <p>The development of directives and guidelines will involve the groups of researchers affected.</p>
How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.	<p>The budget, research and development plan of the RCB have been conceptually designed such that the majority of issues related to Charta+Code are also covered. In addition to scientific aspects, these documents also deal with reconciliation of work and family and gender equity. The RCB is proud of its corporate culture and a high corporate identification.</p> <p>Nevertheless, there is still room for improvement concerning the HR strategy. Yet, the implementation of changes is a complex process which will take time. The project will certainly benefit, if the perception by researchers is changed from "I have to" to "I want" from the very beginning.</p>
How will you ensure that the proposed actions are implemented?	<p>The majority of objectives defined in the action plan aim at improving the visibility of principles underlying HRS4R and to bindingly write them down taking into account all aspects relevant for practical use. The action plan has been endorsed by the Board of Directors.</p> <p>The fact that the RCB applies for the HRS4R certificate documents a clear commitment to include principles and guidelines of OTM-R into the directive.</p>
How will you monitor progress (timeline)?	<p>The Working Group in accordance with the Steering Committee will monitor progress and will supervise all corrective measures deemed necessary to achieve the final goal.</p> <p>Delays, hindrances or circumstances which require specific action will be brought to the attention of the Board of Directors by the Project Management.</p>
How will you measure progress (Indicators) in view of the next assessment?	Progress will be measured mostly by statistical analyses and/or feedback from the scientific community in

	<p>general. Directives and guidelines will be established which at least have to be made available by intranet. Additional measures will be determined during the initiation phase.</p>
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Additional remarks/comments about the proposed implementation process:

<p>The Board of Directors, the supreme decision-making body of the RCB, is part of the Steering Group and supervises all actions. To ensure that all suggested measures will be implemented, each will be assigned to an individual in charge. Exchange and revision will take place on a regular basis.</p>
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<p>The RCB feels obliged to implement the suggested actions in due course, since the action plan will be visible to the public. The Human Resource Management is in a regular dialogue with all in charge. The Working Group is highly motivated to find practical solutions. Furthermore, the certificate is regarded as a good opportunity to foster communication and cooperation between administration and scientific departments. The RCB feels that during this process Status Quo and fields of action can be critically reviewed in a transparent manner and framework conditions further improved. It bears mentioning that the RCB has been awarded since 2010 with the certificate "berufundfamilie" and already in this field plenty of very successful measures have been worked out and implemented.</p>
