



Research Center Borstel
Leibniz Lung Center

Internal Review 2022
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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HR EXCELLENCE IN RESEARCH



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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 setting 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.

The Research Center Borstel Leibniz Lung Center (RCB) recognizes that maintaining and enhancing its attractiveness to the best scientists from around the world is essential for successful research and research-based teaching. The RCB 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) considering the "European Charter for Researchers" and the "Code of Conduct for the Recruitment of Researchers".

Based on a comprehensive internal gap analysis conducted in 2018, the RCB's Governing Board has adopted an "action plan" which has been developed by the internal working group.

The internal review of the action plan and the evaluation of strengths and weaknesses is presented on the following pages.

The award "HR Excellence in Research" was granted in December 2020. The next interim assessment will be in December 2022.

If you have any questions, please contact Human Resources Management tschroeter@fz-borstel.de

Borstel 2022-12-14

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Action Plan

1. Organisational Information

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	*125
Of whom are international (i.e. foreign nationality)	*42
Of whom are externally funded (i.e. for whom the organisation is host organisation)	*71
Of whom are women	*69
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	*23 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	*31
Total number of students (if relevant)	4
Total number of staff (including management, administrative, teaching and research staff)	*379
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	2910000
Annual organisational direct government funding (designated for research)	1900000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	7400000
Annual funding from private, non-government sources, designated for research	2700000
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The RCB, focuses on infections and chronic inflammatory lung diseases and fulfils its scientific and socio-political tasks through intrinsically translational disease-oriented research. RCB stands for cooperative excellence with relevance for lung health. The 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 top priorities within RCB's culture of transparency, communication, participation, and career support.</p>	

2. Review of strengths and weaknesses of the current practice

Ethical and professional aspects

Strengths

As a 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 (Grundgesetz), General Equal Treatment Act (Allgemeines Gleichbehandlungsgesetz, AGG), Equal Treatment Act (Gleichstellungsgesetz), animal protection law (Tierschutzgesetz), General Data Protection Regulation, Working Conditions Act (Arbeitsschutzgesetz), genetic engineering law (Gentechnikgesetz), and genetic engineering safety regulation (Gentechnik-Sicherheitsverordnung, GenTSV) 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 (Biostoffverordnung), the close collaboration takes place with the state and municipal 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 (Bundesrechnungshof, Landesrechnungshof).

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 the scientific performance and compliance with Leibniz statutes.

The evaluation focusses on the past strategic and structural developments of the centre as well as 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.

The RCB regularly organises seminars and retreats that enable scientists to exchange and discuss their respective 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 has established a self-monitoring system to ensure that good scientific practice (GSP) is followed. Beyond the implementation of recommendations by the German Research Foundation (Deutsche Forschungsgesellschaft DFG) for ensuring GSP, the so-called “Borstel Model” was developed. During a series of workshops moderated 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.

The RCB 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 bibliometrics (citations from Web of Science, journal ratings).

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

Postdoctoral scientists at RCB are organised internally via the so-called postdoc-initiative, structuring a training programme that is tailored towards their individual career plans. They are actively participating 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”, which ensure that data are “Findable, Accessible, Interoperable and Re-usable”, awaits implementation.

Some communication structures are worth 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.

While regular appraisal interviews between employees and the supervisor have been successfully implemented for all employees of the RCB on an annual basis, 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.

Strengths and Weaknesses (Interim Assessment)

The overall assessment of ethical and professional aspects shows that the RCB complies with all laws and regulations of the Federal Republic of Germany and the federal state of Schleswig-Holstein regarding financial and safety aspects and undergoes financial and scientific audits and evaluations by the pertinent authorities at defined regular intervals. The RCB has realized comprehensive measures to ensure GSP such that the centre has become an example of how to establish best possible adherence to GSP rules for other Leibniz institutes. This includes the implementation of a central archive for storage of primary research data such that published data can firstly be reliably traced back and are secondly

closed against any later modification. In addition, electronic lab books have been installed and are mandatory for the entire scientific personnel facilitating traceable documentation of experimental methods applied and primary research data. To safeguard that data are “Findable, Accessible, Interoperable and Re-usable” (“FAIR Data Principles”), the corresponding guidelines are currently in preparation including an open science statement. Communication interfaces still need improvement to promote transparency as well as participation. First steps into this direction include 1) the instalment of a coordinator of regular meetings with representatives each from the technical service, digital technology and administration. The coordinator has direct access to meetings of the board of directors and their deputies to secure timely bidirectional exchange of relevant information. 2) So-called “Kommunikationslotsen” have been installed in all units at the RCB. These are persons responsible to facilitate contact to the social affairs office (“Sozialreferat”). 3) the RCB plans to install a position to bridge communication between scientists and administration among other tasks. Finally, personnel in leadership positions at all hierarchical levels and functions has been intensively trained over 12 months in several full-day training modules by professional external coaches to train communication skills, “self-leading self” and other leadership abilities (see also section “Training and Development”). Within these training modules shared values regarding 1) participation and cooperation, 2) respectfulness and appreciation, 3) innovation and creativity as well as 4) promoting potential were developed and agreed on. For these quantifiable parameters are currently being developed as behavioural anchors in the individual groups according to their respective situations. At present, these topics are addressed in annual structured appraisal interviews and further within the PhD training program BBRS (Borstel Biomedical Research School), and the PostDoc initiative. The latter is however self-organized by interested postdoctoral employees and may require a more structured and centrally offered program. Given the high proportion of international PostDocs the program should be offered in English and German. Last but not least important, the Diversity Charter has been signed.

Recruitment and selection

Strengths

All vacancies are generally advertised publicly for a duration of at least 14 days and a maximum of 60 days. A distinction is made between internal and external job advertisements which are created jointly by the party issuing the advertisement and the HR department several portals of external advertisements. Headhunter agencies are engaged for important management positions to specifically also invite female candidates to apply. Since RCB is a public institution, the Part-Time Work and Fixed-Term Employment Contracts Law (Teilzeit- und Befristungsgesetz TzBfG), the national law concerning temporary employment in scientific institutions (Wissenschaftszeitvertragsgesetz), the General Equal Treatment Act (Allgemeines Gleichbehandlungsgesetz, AGG), as well as the collective wage agreements for public service (öffentlich-rechtliche Tarifverträge, TVÖD-VKA) are applicable. These set out the conditions of access and admission as well as salary and remuneration issues for the advertised positions thereby providing full transparency and equal treatment. However, this also severely limits the scope for action, for example, in individual salary negotiations to recruit rare skilled personnel.

Job advertisements are designed gender-sensitively (m/w/d: male, female, and diverse). 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. 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 [Gleichstellungsplan, Satzung zur Berufungskommission] e.g. <https://www.berufungen.uni-kiel.de/de/dateien/oeffentl.-dateien/satzung-zur-durchfuehrung-von-berufungsverfahren-1>

The RCB has implemented an electronic application management software (“Concludis”). Unsolicited applications are possible via the RCB homepage, and a pool of applicants is created accordingly.

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 the RCB. Qualification targets for scientists are specified upon recruitment according to national law concerning temporary employment in scientific institutions (Wissenschaftszeitvertragsgesetz).

In the case of PhD student applications, master or bachelor degrees obtained abroad are assessed for their acknowledgement resp. equivalency to a German university degree after submission of the appropriate certificates. The applied rules are publicly accessible through the ANABIN database.

The principles of the Charter and Code are published on the RCB homepage.

Weaknesses

The RCB is striving for an optimisation of the recruitment process. To this end, the internal recruitment guidelines will be revised and harmonised with the OTM-R guidelines. One aim will be timely contract extension. This could be feasible by incorporating the contract extension process in Concludis. Notwithstanding the above, Leaders shall be regularly trained regarding the legal provisions or changes in the recruitment process by means of further training programmes or information events.

Moreover, the RCB aims to develop an automated publication of job advertisements in English on Euraxess for scientist vacancies. Active recruitment through recruiters and/or search platforms should be used with higher intensity and more frequently.

The RCB is committed to an open, merit-based and transparent recruiting and selection process. There are currently no targeted processes for reintegration of scientists after breaks in their careers.

The employment contract preparation and personnel file management are currently done manually; a digital personnel file is a long-term goal.

Strengths and Weaknesses (Interim Assessment)

The internal recruitment guide and the associated process have been revised together with HR management and experienced scientists. A document management system including a process modelling tool (Consense) was tested as a pilot in HR management and should generate more transparency also for the scientists involved in the recruitment process in the future. No optimisation of the process has yet been achieved for existing contracts that have been extended. A digital extension via the application software Concludis was tested without success. In the meantime, HR management has identified several digital tools that allow a comprehensive HR process and has also tested some of them. A final decision on the acquisition and implementation has not yet been made. All Leaders who want to advertise vacancies already receive the relevant documents with the job advertisement template. A colleague from HR Management supports the managers in carrying out a transparent application procedure in accordance with the OTM guideline. Scientific job advertisements are now routinely published on the Euraxess platform. A structured procedure for the involvement of recruitment agencies has not yet been implemented. Although regular training for Leaders on the application process is not currently offered, individual personal support is provided by HR management. A routine process for new Leaders and for the monthly management meetings still needs to be established; a first meeting will be held in Q1/2023.

Information and use for head hunter agencies or service providers have not yet been written down. At present, the RCB is able to fill qualified positions with scientists without having to commission external service providers.

The internal Euraxess working group did not identify any further needs for re-entry after a career break as the RCB already has various guidelines, e.g. for interruption due to illness or parental leave. Other exceptional cases are regulated with individual solutions, e.g. interruption through work in non-scientific areas. Service providers have also been consulted for the preparation of digital personnel files.

Working Conditions

Strengths

The RCB is obligated by its federal and governmental funders to maintain a membership in the local employers' association (Kommunaler Arbeitgeberverband KAV). Accordingly, the collective salary agreements for public service (TVöD-VKA) are applicable which cover a legally required comprehensive social security (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 (Wissenschaftszeitvertragsgesetz), the assessment criteria of the Leibniz Association and the sponsorship conditions of third-party grants (federal government, state government, DFG, DZL, DZIF, etc.) and is handled accordingly.

Scholarships are awarded to guest scientists from abroad and MD candidates to promote scientific exchange, internationality and scientific training. In these cases, the scholarships are usually tax-exempt and social security contribution-free (see § 3, number 11 and 44 Einkommenssteuergesetz [German income tax law]). The RCB has guidelines which define the allocation of scholarships for students and visiting scientists from abroad.

The RCB has well-equipped research laboratories, a culture characterised by transparency and participation, workplace health promotion, its own biology lab assistant training programme, a structured PhD programme (BBRS), internal training, seminars and retreats. To remain state-of-the-art at the technology level and meet legal requirements, there are substantial building construction efforts currently under way (e.g. new construction of a central lab building).

IT infrastructure and data repositories, as well as a biobank are available. The RCB runs an outpatient Medical Care Center ("Medizinisches Versorgungszentrum") for Pneumology that facilitates patient recruitment for translational research.

Based on a signed letter of intent, a cooperation contract with the UKSH (University Hospital Schleswig-Holstein) for a Leibniz Lung Clinic jointly operated in Kiel is currently under way. 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” (Vereinbarkeit von Beruf und Familie).

RCB has an on-site company doctor service and measures to maintain and promote occupational health available. Works agreements regarding working from home (Betriebsvereinbarung zur alternierenden Heimarbeit (Homeoffice) and flexible working hours including a trust-based working hour model for scientists are implemented.

There is a flexibly utilisable parent-child office at RCB e.g. for breast-feeding, as well as a campus day-care centre allowing for up to 10 children from 9 weeks and older to be looked after.

The RCB has regulations regarding employee inventions in place and engages an external consultancy with technology transfer (currently Ascenion). Additionally, there is an internal technology transfer representative to advise employees.

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.

The 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 (Allgemeines Gleichbehandlungsgesetz, AGG) 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 meetings, or meetings of the scientific priority areas. The PhD candidates are represented by two spokespersons in the Borstel Biomedical Research School (BBRS) advisory board. The RCB has also initiated a process of mandatory leadership training which resulted in an institute’s wide discussion about shared values and measures to implement these into everyday life on all levels.

Weaknesses

In order to offer an even more advanced research environment, there is continuing need for building renovations and new constructions on the campus. This is currently implemented stepwise and already supported by state and federal government.

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. Despite having many international employees at the RCB not all forms and processes are translated into the English language. This restricts participation of the international employees that do not speak German.

Strengths and Weaknesses (Interim Assessment)

The RCB has successfully implemented all legal requirements regarding working conditions in laboratories. In addition, it offers a wide range of measures to enable and facilitate the compatibility of work and family. With the recent leadership training efforts and the shared value discussions, the institute aims at a bottom-up driven process to establish a trustful, participative, and respectful working atmosphere that fosters innovation and creativity on all levels. Participation of employees into administrative, scientific and strategic processes can still be improved. All forms and information should be available in English, language courses (German and English) need to be easily accessible by all employees. Early career researchers are currently not involved in strategic scientific decisions or administrative processes that aim at an increased participation of scientists on all levels.

As mentioned above, there is currently no central and structured career or personnel development process at the RCB that would include elements of structured mentoring, regular career development interviews, and reliable tenure track guidelines. Together with the legal regulations concerning temporal employments of the Wissenschaftszeitgesetz, these circumstances make career development and combining family and work difficult for researchers, which leads to considerable migration of these employees to occupations outside academia.

Training and Development

Strengths

Experienced researchers take on their role as supervisors 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. 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, 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 educational measures. RCB covers part of childcare costs for researchers on multiday business trips and offers childcare in the campus day care for evening events.

RCB recognises the importance of 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 years of 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 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.

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.

Strengths and Weaknesses (Interim Assessment)


A centralised human resources development is not yet established as the pertinent guidelines still need be finalised by the Directorate, HR Management, the travel cost centre and the works council. The Post Doc initiative (PDI) represents the interest's scientists at this

career stage whether or not permanently employed. Its tasks such as structured feedback instruments and possibilities for centralized training are defined in the PDI bylaws which were adopted by the RCB in 2021. The PDI is provided with an annual budget of 15.000 EUR to be used for networking within the Leibniz Association and training activities. The PDI has a cooperation agreement with the Christian Albrecht University Kiel (CAU) to participate in the CAU's training events. The CAU via:mento specifically supports female researchers within a 2-years mentoring program. A cooperation agreement was signed between the RCB and the CAU such that up to two women from the RCB can participate in via:mento, the necessary budget being provided by the RCB .


To strengthen communication also to society, the PDI participates in various podcast formats (Leibniz Postdoc Network, Leibniz Infections Podcast). The PDI is committed to providing lay people access to scientific topics and recognizes that this is an essential component of communication. In 2021, the PDI conducted a survey on abuse of power as part of the "Good scientific practice" day at the RCB and presented the results anonymously alongside with critical discussion. Based on the results of this survey, specific improvements are currently in development (e.g. mentoring program, code of conduct).


All leaders have undergone a mandatory multi-day training on the fields of action, self-care, team leadership, change management and cultural leadership. This training also covered the topics of healthy leadership, work-life balance and the importance of transparent processes and communication.


A positive example of cooperation and, the involvement of scientists in the administrative processes was the development of the guidelines for habilitation and for support during pregnancy and parental leave. The implementation of the Zeugnisgenerator from Haufe was another step towards a digital HR department with transparent processes. The form of the annual appraisal interviews will be evaluated and updated in 2023, also the regularly monitoring of the interview is implemented.



Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/ semester)	Responsible Unit	Indicators(s) / Target(s)	State of Affair 15.12.2022
GENERAL ADMINISTRATIVE PROCESSES					
<p>Review of a working group resp. buddy system between administration and research</p> 	<p>Communication between research and administration is insufficient. How is information across all hierarchy levels ensured?</p>	<p>06/2020-06/2021</p>	<p>Head of Administration / Board of directors</p>	<p><u>Target:</u> Potential communication and Information Spreading channels are reviewed and evaluated</p> <p><u>Indicators:</u> Until 09/2020 Evaluation of the Status quo of communication and information routes between Administration and Scientists (via round table sessions)</p> <p>Until 12/2020 03/2021 Representative of stakeholders Scientists and Administration form a review board</p> <p>Until 03/2021 06/2021 Review board reflects upon the status quo and develops new strategy</p> <p>In 04 06/2021 → shift to 10/2022 New strategy is presented in the RCB at different places e.g., team meetings, retreats, Intranet</p>	<p>The head of administration was informed of his task. There is currently a half-yearly round table between science and administration, which is attended more by scientists from R3 level onwards.</p> <p>In October 2020, a job advertisement was placed looking for an interface/project manager. This person should also take care of improving communication.</p> <p>By the end of 2020, a few ideas had already been developed and were to be presented to the house at the beginning of 2021. The first milestone has thus been reached. The second will also be pushed a little further and adapted due to corona situation.</p> <p>It has proven to be good practice to involve scientific colleagues in all administrative projects from the beginning. This significantly increases acceptance if the innovations have already been tested by an academic colleague and "found to be good".</p> <p>The early involvement of the Board of Directors is also seen as good practice and is implemented.</p> <p>The administration made use of its slot in the department heads' meeting in a binding manner and provide regular information on the processes and topics of the administration. In turn, there must be a greater commitment among the department heads to distribute the information</p>


				<p>Feedback will be collected, and the improved process will be tested starting in 06/21 → shift to 10/22</p>	<p>from this meeting throughout the working groups.</p> <p>Other ideas that were considered include reactivating the Borstel Wiki, possibly implementing a video newsletter or appointing a permanent contact person from the administration if queries arise.</p> <p>The Leadership training was identified as a good opportunity for networking between administration and research. As a result, collegial case consultation was also introduced as a fixed appointment in some groups. Following on from the leadership training, a leadership model/ catalogue of values is to be developed together with everyone.</p> <p>Due to the closure of the clinic, a reorientation of the research centre must also be worked on together with everyone.</p> <p>Presenting and improvement was rescheduled to 10/2022 due to the closure of the clinic. In that month the leadership training group worked on the leadership model and the communication channels was discussed in that round.</p> <p>Communication guides were established in each working group, who regularly receive information from the social department. Likewise, during the corona pandemic and the clinic closure, a regular bulletin from the centre director was established to inform all employees about various topics. A new meeting room for general exchange was also established.</p>
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<p>Sign Diversity Charter</p> 	<p>Make a further statement for non-discrimination</p>	<p>03/2020-10/2020</p>	<p>Board of Directors</p>	<p><u>Target:</u></p> <p>The Charter is signed</p> <p><u>Indicators:</u></p> <p>Until 06/20 The CEO will collect information about the process and requirements for the diversity charter</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</p>	<p>The charter was signed.</p> <p>The in-house communication was published at the end of November 2020 on the intranet, internet and presented at a research group leaders' meeting.</p> <p>In cooperation with the Leibniz Association and the newly implemented diversity officers there, this topic will also be pursued further in 2021 and will also be backed up with practical examples.</p> <p>The Equal Opportunities Officer works proactively on the topic in the core group on diversity within the Leibniz Association and has, among other things, helped organize the first Leibniz Diversity Conference in September 2021.</p> <p>A press release was also published</p> <p>(https://fz-borstel.de/index.php/de/site-map/mediaservices/pressemitteilungen/2021/868-forschungszentrum-borstel-leibniz-lungenzentrum-unterzeichnet-charta-der-vielfalt)</p> <p>The reference to diversity and the Diversity Charter was also firmly anchored as a sub-theme on the homepage.</p>
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				points about the content and receipt of the charter of diversity	
<p>Review possibility of centralised preparation of employer's references</p> 	Timely and competent preparation of employer's reference letter / appraisal is not yet centrally organised at RCB	03/2020-03/2021	HR Unit	<p><u>Target:</u> A process is developed</p> <p><u>Indicators:</u> Until 06/2020 Existing documents and implementations will be compiled</p> <p>Until 10/20 Status quo, requirements and how the process should be run included in discussions with stakeholder groups</p> <p>Until 12/20 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 a process of drafting appraisal / reference document is modeled. Documents are revised and possible Online Tools/ Reference Generator are a subsequent step</p>	<p>For corona reasons, this point was dealt with somewhat delayed.</p> <p>A project group of the HR Unit has looked at various systems, which are currently undergoing a 4-week test phase in the HR Unit</p> <p>After that 2-3 users from science and clinics will be introduced to the system and test the system.</p> <p>This test phase has been running since 01.03.2021.</p> <p>Program is selected (Haufe Zeugnisgenerator) and is already in standard use.</p> <p>It will be evaluated in 2023 as a new topic in the revised action plan.</p>


				in the Revised Action Plan	
<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> Workflow contract extension (currently a checklist) is automated in Concludis</p> <p><u>Indicators:</u> Until 09/20 Current process and documents of contract extensions are recorded</p> <p>Until 12/20 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</p>	<p>The possibilities of mapping via the Concludis system were evaluated with the service provider and some employees of the FZB.</p> <p>Unfortunately, the system does not offer a functioning possibility to map contract extensions.</p> <p>Two other possibilities were looked at by the end of 2020 and will be pursued further in 2022, when it will hopefully be possible to map the extension digitally.</p> <p>The implementation of an alternative will then be as a further/new goal in the Action Plan.</p>


				both formally and in the IT area.	
<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 to be called doctoral researchers</p>	09/2020-09/2021	Board of Directors	<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> <p>It will be published on the homepage and will be adapted for job advertisements</p>	<p>The assignment of the EU requirements for the levels of scientists was defined and included as an annex in the OTM-R policy.</p> <p>The reference to the policy and the HR Excellence Award can be seen in the job advertisements.</p>
<p>Prepare guideline for re-entry after career interruption</p> 	No targeted procedure for re-entry of scientists R1-R4 after career interruption available	01/2021-12/2021	HR Unit	<p><u>Target:</u></p> <p>Guideline is available on RCB homepage and intranet</p> <p><u>Indicators:</u></p> <p>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</p>	<p>The Euraxess working group has sat down on this issue and first collect reasons for career breaks, which will then be captured and worked on.</p> <p>All existing documents and processes were checked and discussed by the working group. The outcome was that there is no need of preparing new guidelines since there are guidelines or processes in place for all interruption possibilities that were collected.</p> <p>At the RCB, individual solutions are also offered, e.g. flexible working time models for care cases, etc.</p> <p>The Implementation of a document management</p>


				<p>discussions with stakeholder group and employees concerned</p> <p>Until 08/21</p> <p>Review of the results by HR Unit</p> <p>Until 11/21</p> <p>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 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.</p>	<p>system already started in the administrative unit and will give a better overview of documents and processes in the future (Testing time until end of 2022, testing by a pilot group also in research areas).</p>
GOOD SCIENTIFIC PRACTICE					
<p>Ensure centralised backup of primary research data</p> 	<p>Centralised backup of primary research data is lacking</p>	<p>06/2020-12/2022</p>	<p>Board of Directors</p>	<p><u>Target:</u></p> <p>A Central backup system for scientific data is installed</p> <p><u>Indicators:</u></p> <p>Until 06/21 Status Quo and</p>	<p>The storage capacity on the part of IT has been made available. The next step is to migrate the current data storage sequentially from storage on NAS servers to storage in the new centralised storage area. The migration started already in 2021 and is finished.</p>


				<p>Possibilities are reviewed</p> <p>Until 12/21 Resources for centralised storage are available</p> <p>Implementation starting from 06/22</p>	
<p>Elect a person to develop implementation processes for FAIR Data guidelines at RCB</p> 	<p>FAIR Data guidelines have not yet been implemented. There are guidelines from the Leibniz Association.</p>	<p>05/2020-12/2020</p>	<p>Board of Directors</p>	<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 of the FAIR Data guidelines</p> <p>Until 12/2020 The Board of Directors appoints representative for FAIR Data implementation</p> <p>Long term goal for the following steps will be included in the Revised Action Plan: Scientists have been informed about FAIR data principles by the FAIR Data representative</p>	<p>Two people from the Board of Directors were appointed to work on the drafting. An update will be given in the meetings of the College, the working group will receive information accordingly.</p>


				Platforms for data sharing are identified and advertised	
Review possibilities of Open Science Practice discussion paper from the EU	Statement from RCB regarding Open Science is lacking	06/2020-12/2020	Board of Directors	<p><u>Target:</u> Board of directors has agreed bindingly on the further procedure</p> <p><u>Indicators:</u> Until 09/2020 Paper has been reviewed by the Board of Directors</p> <p>New Targets will be included in the Revised Action Plan</p>	<p>Two people from the Board of Directors were appointed to work on the drafting. An update will be given in the meetings of the College, the working group will receive information accordingly.</p> <p>So far, there are no guidelines for dealing with the topic of FAIR data and open science, even among our major cooperation partners. In 2022, those responsible at the FZB will work out the next steps to be taken in this area.</p>
<p>The introduction of an electronic lab notebook (ELN) in all of RCB's groups is aimed for and shall be tested in a few groups beforehand.</p> 	No uniform electronic documentation of research data is established at RCB	01/2021-12/2022	Good Scientific Practice Officer	<p><u>Target:</u> Pilot lab groups have tested the ELN</p> <p><u>Indicators:</u> 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>Two responsible persons from the board of directors have been appointed and are drawing up a roadmap for the introduction of the ELN. The working group receives appropriate information updates.</p> <p>The ELN test phase in a few research groups started.</p> <p>The ELN Onboarding starts in February 2022. Now it is already in standard use.</p>
New construction and renovation measures are underway	Need for renovation and construction on the campus - central laboratory building and National Reference Center	ongoing	Board of Directors	<p><u>Target:</u> Modern research environment is continually improved</p>	The topping-out ceremony for the two new laboratory buildings was celebrated in 2020.


				<p><u>Indicators:</u></p> <p>Until 12/2021 National Reference Center completed</p> <p>Until 12/2022 Central laboratory building completed</p>	<p>Completion of these buildings is currently planned for 2022.</p> <p>There is a minor delay in the building plan at the moment.</p> <p>The new building of the national reference center for mycobacteriology can be used in 2022. The board of directors and Head of administration are currently working on a draft for a masterplan for the use, renovation and new buildings in the whole RCB.</p>
APPLICATION AND RECRUITMENT PROCESS					
<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>	06/2020-12/2020	Head of HR	<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>Advertisers will be informed via the research group leader meeting that scientific job advertisements are to be written in German and English.</p>	<p>The scientific job advertisements are routinely published on Euraxess. The Human Resources Department requests the English text from the from the advertisers. Publication on the Euraxess site has been included in the external recruitment guide OTM-R Policy.</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</p> <p>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>	
<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>	06/2020-12/2020	Head of HR	<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</p>	<p>The OTM-R policy was developed with the help of some scientists and is already available on both the intranet and the internet.</p> <p>The OTM-R Policy and the internal guidelines for application processes will be presented accordingly and staff trained by the human resources management.</p>


				presented again to the same committees for final approval	
<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.</p> <p>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>	01/2021-12/2021	Head of HR	<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. Considering the prerequisites of the OTM-R procedure, the guide should reflect the start of the process from the invitation to tender to the conclusion of the employment contract</p> <p>Until 05/2021</p> <p>Presentation to the Working Group and subsequent incorporation of any change requests.</p> <p>Until 09/2021</p> <p>Following approval of Board of Directors, guideline available via RCB intranet.</p>	<p>A team from HR Unit and the Equal Opportunities Officer already evaluated and revised existing internal documents by the end of 2020.</p> <p>These documents were tested for “functionality” by some scientists.</p> <p>The new guidelines are ready and will replace the existing guidelines and will be published and staff trained accordingly.</p>


				Innovations in the process will be presented at the research group leaders' meeting.	
Prepare information regarding engagement of headhunter agencies for active recruiting	Active recruiting is used insufficiently According Point 4 OTM-R-Checklist	06/2021-12/2021	Head of HR	<u>Target:</u> Guideline available on RCB intranet, fee coverage is detailed within <u>Indicators:</u> Until 09/2021 Put together a selection of possible platforms → Shift to 06/2022 Until 11/2021 Preparation of an information sheet → Shift to 11/2022 Until 12/2021 Presentation to the Board of Directors and to the meeting of research group leaders. → Shift to 12/2022	HR Unit has this item on its agenda and will prepare a corresponding draft and circulate it with the working group. Delayed due to closure of the clinic. Will be rescheduled to 12/2022
Regular training of advertising parties regarding recruiting process according to OTM-R 	Advertising parties are insufficiently trained with regards to OTM-R conforming recruiting processes Point 3 OTM-R Checklist	02/2020-12/2022	Head of HR	<u>Target:</u> Training is implemented <u>Indicators:</u> Until 04/2020 Planning training contents and organizing training courses (e.g., in	The process is presented at the department head meeting. The regularity of the repetition still needs to be worked on. Also with new group leaders, it must be ensured that they are trained in the process e.g., through a personal approach by human resources unit. With a new document management system, such processes can be displayed as




				<p>management training modules)</p> <p>Until 10/2020</p> <p>Implementation of the first training run. Plan recurring training sessions afterwards.</p>	<p>relevant processes and marked as read with a click.</p> <p>The HR department provides individual support and training for new leaders.</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>	01/2021-12/2021	Head of HR, CEO	<p><u>Target:</u></p> <p>Guideline available via RCB homepage and intranet</p> <p><u>Indicators:</u></p> <p>Until 09/2021</p> <p>Guidelines for qualification targets for scientists will be developed and integrated into the recruitment process</p> <p>Until 10/2021</p> <p>Information of the new guideline is given to the scientists at their meeting of the research group leaders.</p>	<p>This point was discussed with the Euraxess Working Group. There are various legal or financial bases that need to be taken into account here.</p> <p>(Scientific Temporary Contracts Act as qualification goals in the case of in-house funding, third-party funding as the reason for the time limit).</p> <p>Career guidelines in preparation via the Post-docs Initiative under taking into account the Euraxess and Leibniz guidelines. When the first draft is ready, it will be reported back to the administration approx. Q2/2023</p>
<p>Initiate preparative measures for the introduction of digital personnel files including contract management</p> 	<p>Personnel files and contracts in Human Resources are currently still managed by hand</p> <p>According to Point 15 OTM-R Checklist</p>	06/2021-12/2022	Head of HR	<p><u>Target:</u></p> <p>Preparatory measures have been completed</p> <p><u>Indicators:</u></p> <p>Until 12/2021</p> <p>Attend training course on "Implementation of a digital personnel file" (at least 2 employees of the Human</p>	<p>In 2022, human resources management tried to receive external training on the topic.</p> <p>They have looked at different programmes or options. Full HR programmes from recruitment through onboarding and offboarding are available in digital form. But no decision has been made yet. However, a contract management system has been implemented separately from the personnel data, and it is now also being</p>


				<p>Resources 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>checked whether the corresponding contracts can be stored there.</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>	06/2022-12/2022	Head of HR	<p><u>Target:</u> Feedback System is implemented</p> <p><u>Indicators:</u> 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 informed about the options</p> <p>Until 12/2022 Selection and implementation of the feedback system</p>	<p>Applicants can give their feedback on the application process via standard email. Unfortunately, the current recruitment software does not allow direct integration of digital feedback tools, e.g. surveys.</p> <p>The questions in the email are coordinated in HR management and stored in the system. The sending and return of the email is controlled by a member of the HR management team.</p>

CAREER and CAREER DEVELOPMENT					
Assessment and codifications of available feedback instruments between researchers in training and their mentors and revision resp. codification	Structured feedback instruments between researchers in training and their mentors need to be codified	06/2020-12/2021	Head of HR, Working Group	<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; Postdoctoral 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>The Post Doc Initiative is draw up a bylaw and, in this context, it also wants to address career goals and binding communication channels between mentor and post doc.</p> <p>At the PHD Level instruments are already fixed in the Guidelines for structured doctoral studies at the BBRS.</p>
A leadership programme is currently being developed, further personnel groups are to follow	<p>No central career development programme and personnel development programme available at RCB</p> <p>According to Point 3 of OTM-R Checklist</p>	Starting 02/2020-Ongoing	Head of HR	<p><u>Target 1:</u></p> <p>Junior Research Groups</p> <p>External leadership and science management training</p>	<p>The programme has been prepared and contracted out. Due to Corona, the start was postponed. This was originally planned for 11/2020 and will now start in 03/2021.</p> <p>The program was finished in 05/2022.</p>



			<p>compulsory by 12/2020</p> <p><u>Target 2:</u> Training for Heads of Divisions is implemented and running</p> <p><u>Indicators:</u> 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>	<p>All leaders had to go through a total of 8 days of workshops with the contents of lead self, team leadership, change management and leadership of the centre culture.</p> <p>The doctoral students go through a programme via the BBRS, the post-docs have various offers, but there is still a lack of a proper structure here.</p>
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				RCB leadership culture) started	
				Until 06/2023 programme completed, assessment by participants performed, implementing of “Guideline of Values for leadership” in the institute	
<p>Review adequacy of current staff and evaluate possibility of administrative position for training and junior development programmes</p> 	Currently there may be insufficient administrative support for training efforts and junior development programmes at RCB	03/2020-12/2020	Board of Directors	<p><u>Target:</u></p> <p>Necessity has been assessed. If there is need, job advertisement is prepared, and position filled. Alternatively, support is offered via already existing science administration</p>	<p>Outside the BBRS there is no administrative support such as a special ‘office’ for promotion of young researchers and training (e.g., for PostDocs). So far, such an office in Borstel was not necessary, since the circle of interested parties is not large enough to set up such an office. PostDocs can make use of offers from Kiel, Lübeck and in the future also Hamburg.</p> <p>A bridge to these offers could be the PostDoc Initiative, which can also continue to make its own suggestions, which are financed by the centre.</p> <p>A colleague who organises the measures in the BBRS has now also been given more working hours and forms the bridge to the Post Do initiative and now also plans and organises measures there.</p> <p>Unfortunately, there is still not enough working time in this area to develop a structured, comprehensive training and development programme.</p>
<p>Elect persons that can offer information and support regarding habilitation at RCB – tandem</p>	Currently no support and advice structure for scientists at RCB regarding habilitation	03/2020-06/2020	Board of Directors	<p><u>Target 1:</u></p> <p>Member of extended Board of Directors named who will</p>	<p>Contact persons have been appointed by the College.</p> <p>The HR Unit will then meet with these persons and draw up a procedure.</p>

<p>administration + researcher</p> 		<p>Target 2 until 12/2021</p>		<p>take charge of process</p> <p><u>Target 2:</u> HR unit develop a guideline with this person describing the habilitation process and support structures offered by RCB</p> <p>→ Shift to 06/2022</p>	<p>The guideline is already designed and available in the intranet.</p>
<p>Review of acknowledgement of teaching activities in the context of performance-based fund distribution</p> 	<p>Currently teaching activities are not in the scopes of performance-based fund distribution or bonus system</p>	<p>01/2021-12/2021</p>	<p>Board of Directors</p>	<p><u>Target:</u> Need of acknowledgement in performance-oriented funding has been assessed and result has been communicated</p>	<p>Need of acknowledgement in performance-oriented funding has been assessed. It will not enter the criteria catalogue of performance-based fund distribution.</p>
<p>Possibilities for the introduction of a centralised training and youth development programme shall be assessed (criteria for application, funding, feedback)</p> 	<p>Currently, there is a structured centralized training course for PhD students at RCB (BBRS). However, there is no central registration of need for training at RCB for other stakeholder groups. Process for communicating need for training and applying for funding must be formalized.</p>	<p>03/2020-03/2021</p>	<p>Board of Directors</p>	<p><u>Target:</u> Possibilities are assessed</p> <p><u>Indicators:</u> Until 06/2020 Budget allocation by the Board of Directors</p> <p>Until 12/2020 Application form available in the intranet</p>	<p>While there is no centralized training offered at the RCB; PostDocs can participate in courses in Kiel and Lübeck, and in the future also in Hamburg .</p> <p>A bridge to these offers could be the PostDoc Initiative, which can also continue to make own suggestions, which are then funded by the RCB.</p> <p>The Post-Doc Initiative was reorganizing and giving itself new statutes. There will be also further exchange of information with the working group.</p>

				<p>Until 03/2021 Deliverable 3:</p> <p>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 programs is facilitated and regularly advertised.</p> <p>Until 12/2022 Individual career advice and support in working out career perspectives is established in the</p>	<p>This To Do is duplicated in the procedure. In principle, the Post-Doc Initiative and the BBRS must be consulted on the extent to which career support can be increased or formalized.</p>

				form of a voluntary mentoring programme.	
Agreement on a multi-dimensional approach for the evaluation of performance and achievements of scientific personnel	<p>Current evaluation guidelines focus primarily on numerical publication (impact factor) and funding parameters.</p> <p>According to gap analysis point 33</p>	06/2021-12/2022	Board of Directors	<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>	No activities started yet, the board of directors and the Euraxess working group will consider ideas on how to do this.
New Goal	Exit interviews			<p>Target</p> <p>Exit interviews are implemented</p> <p><u>Indicators:</u></p> <p>Until 12/2022</p> <p>Form is adapted and send to the board of directors</p> <p>Until 03/2023</p> <p>Process is starting</p>	Form was submitted to the director. The form and the process must be adapted by the human resources management.

				Until 06/2023 Exit interviews are implemented and exit interviews are used routinely	
New Goal 	Probationary interviews			Target Probationary interviews are implemented Indicators: Until 02/2022 Form is adapted and send to the board of directors Until 03/2022 Process is starting Since 06/2022 interviews are implemented and are used routinely	Inventory between HR Unit and works council, the latter agrees with the form. Roll Out Process is running.
New Goal 	Support Guideline for parental leave or pregnancy			Target Guideline is available Indicators: Until 02/2021 Setting up the guideline together with the BBRS+ Post Doc Inative Until 04/2021 Board of directors agreed on the guideline since 04/2021 Guideline is available	Guideline was prepared by the HR Unit and was circulated to the BBRS and the board of directors. It is available in the intranet.

4. Comments on the implementation of the OTM-R principles (Initial Phase)

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 III 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

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

The preparation or revision of the guidelines as well as publication in various places could be carried out successfully. The implementation of the content or the execution of the binding processes has not yet been carried out satisfactorily. The processes and their implementation must be reminded again and again by the human resources management, and the active cooperation of all recruiters must be improved.

The FZB regularly succeeds in recruiting international and very well qualified and networked scientists. The FZB employs scientists from about 20 different nations. The gender ratio at R1-R2 level is balanced, only at the top management level is there still an imbalance.

5. General overview of the 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. Information 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).

How have you prepared the internal review?

Since the beginning of the process, we have had a To Do list with responsibilities and deadlines that is available to the working group. Regular meetings of the working group as well as annual reports in 2020 and 2021 have permanently accompanied the process and thus enabled a continuous update. For the internal review, the last annual report was initially divided among the various members of the working group and supplemented in the

recirculation process. This was then the basis for sitting down with the working group and putting together the internal review.

How have you involved the research community, your main stakeholders, in the implementation process?

All To Do's were either directly initiated by the scientists or, conversely, given to some test persons from science by the personnel management before implementation. For example, the guidelines for habilitation were developed by professors who have already habilitated, post docs who are aiming for habilitation and the personnel department. Calls for active participation in the working group, e.g. via internal e-mail distribution lists and the intranet, are somewhat difficult. Often, the only way to recruit new scientists for the working group or sub-projects is to be proactively approached directly by the project leaders.

Do you have an implementation committee and/or steering group regularly overseeing progress?

The permanent working group consists of academics from the various qualification levels, but also from the administration or human resources management, the social department, the equal opportunities officer and the directorate. Here, the progress of the individual To Do's was repeatedly discussed and advanced via internal networking, e.g. in the Post Doc Initiative, in the Directorate, etc. The group is made up of scientists from the various qualification levels, but also from the administration and human resources management, the social department, the equal opportunities officer and the directorate. In this way, the scientists and all those involved at the FZB were integrated via various channels. Intranet messages and presentations at the annual staff meeting in the regular group management meetings were also used.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy

The RCB's annual prospective budget plan states that the RCB stands for the promotion of employee participation in decision-making processes, the transparent presentation of decisions and the optimisation of leadership skills and behaviour. It is further laid down that the RCB is committed to enabling the compatibility of work and family, safeguards diversity and gender equality in academic leadership positions, as well as to providing predictable career paths and therefore aligns with the policies of the HRS4R. These policies are also accessible at the centre's home page and are laid down in the RCB's Gender Equality Plan. The RCB is audited within the framework compatibility of work and family, where these items are cross-referenced

How has your organisation ensured that the proposed actions would be also implemented?

Handouts or guidelines are actively distributed by human resources management and regularly presented in group management meetings. Some processes are not yet implemented in a binding and comprehensive manner; there is still an increased need for action here.

How are you monitoring progress (timeline)?

All To Do's were or are recorded in an Excel spreadsheet, in addition annual reports were prepared and regular meetings of the working group took place or are taking place. The original timeline is attached to the Action Plan on the homepage. The adapted timeline and the status of the To DOs can be seen in the annual plans. A new timeline has been created and attached to the annual report 2022, which will also be published on the homepage as an internal review.

How will you measure progress (indicators) in view of the next assessment?

To monitor progress, we will work to eliminate weaknesses as outlined in this document. Ideally, the relevant sections should become smaller over time. Open items in the excel spread sheet are also a good measure of progress as they need should also become closed stepwise. In addition, we strive to constantly evaluate established processes and

arrangements to further improve them where necessary, and to remain open to identifying emerging challenges and weaknesses.

How do you expect to prepare for the external review?

Already at the beginning of the process, we created an internal filing system where we can store documents on the To Do's and thus keep them for an external review. By the time of the external assessment, a document management system may also have been established in order to be able to transparently present processes including linked documents.

We would invite the working group to this day of the assessment and evaluate and work out the status and future To Do's together with the auditor.

Additional remarks/comments about the proposed implementation process:

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.

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.

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?

For many decades, the RCB has operated a lung clinic that had to be closed for economic reasons on 31 December 2021. A reconciliation of interests and social plan was agreed with the works council for the clinic's approximately 150 employees many of whom had been working at the RCB for many years. Apart from the organisational high effort, the process was very traumatic for all employees of the RCB and tied up a lot of personnel resources,

including those of the social department and the equal opportunities officer. The pathology department had to be closed at the end of 2022 as well due to the difficulty in recruiting specialized staff. As mentioned earlier, these circumstances tie up staff who would otherwise have had more time to implement the HR strategy.

Are any strategic decisions under way that may influence the action plan?

The current CEO of the RCB will retire in 2026. In preparation for the new leadership for the time thereafter, the RCB is currently developing a new governance structure together with the governmental and Schleswig-Holstein supervisory authorities. We do not expect changes in governance to have a negative impact on the Action Plan. On the contrary, it could open up opportunities for greater participation of mid-level and younger scientists.

