

1 ACTION PLAN

Case number:

Name Organisation under review:

Leibniz Institute for Plasma Science and Technology e.V. (INP)

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SUBMISSION DATE:

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	118,8
Of whom are international (i.e. foreign nationality)	23,3
Of whom are externally funded (i.e. for whom the organisation is host organisation)	0,0
Of whom are women	42,0
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	26,0
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	52,1
Of whom are stage R1 = in most organisations corresponding with doctoral level	15,9
Total number of students (if relevant)	5,5
Total number of staff (including management, administrative, teaching and research staff)	153,9
RESEARCH FUNDING (figures for 2019)	€
Total annual organisational budget	19.912.783,78
Annual organisational direct government funding (designated for research)	10.258.000,00
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	8.654.583,66
Annual funding from private, non-government sources, designated for research	1.000.200,12
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>The Leibniz Institute for Plasma Science and Technology (INP) is the largest non-university institute in the field of low temperature plasmas, their basics and technical applications in Europe and is a member of the Leibniz Association (www.leibniz-gemeinschaft.de). The institute carries out research and development from idea to prototype. In addition, INP promotes development of plasma-assisted processes and products. The topics focus on the needs of the market. At present, plasmas for materials and energy as well as for environment and health are the focus of interest. Innovative product ideas developed in lab will be picked up and are transferred by spin-offs of the institute.</p>	

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>Freedom of research, non-discrimination as well as contractual and legal obligations have a strong background in German laws within the German Constitution, the constitutions of the federal states and the Articles of Association. Furthermore, recognized recommendations and position papers of the German Research Foundation (Deutsche Forschungsgemeinschaft, DFG) and the Leibniz Association ensure safeguarding good scientific practice and help handling complaints concerning scientific misconduct. This multitude of guidelines is interpreted for our institute with the institutes’ mission statement as well as our “Rules of Procedure” clearly stated for all employees. An experienced senior scientist elected by all INP scientists serves as Ombudsperson for Good Scientific Practice. With installation of a gender equality officer, a works council and a complaint body for violations in terms of the German Equal Treatment Act, we have powerful tools at hand facing any challenges safeguarding non-discrimination. Moreover, the INP appointed a data protection commissioner to ensure responsible handling of data and provides consultancy on the management of scientific data. Although we issued aforementioned guideline, developed workflows and rules of procedure and clarified on in-house responsibilities, we have to raise more awareness for data safety and communication among our employees implying also the need for an improved IT security and IT concept.</p> <p>To date the scientists working on interdisciplinary research questions have their work approved by regional authorities, but they wish for a regular exchange with other researchers on ethical principles and recent topics. This clearly stated wish we will meet by using our intense cooperation with both universities in Mecklenburg-Vorpommern.</p> <p>With our institutes’ “Rules of Procedure”, established workflows and audition processes we meet the requirements stated for Professional responsibility, Professional attitude, Contractual and Legal Obligations and Accountability. As a publicly funded institute, the INP is bound to regulations of German public service. The use of research funding is governed by national budget regulations and third-party funding contracts. The INPs’ Finance department, the German Federal Court of Auditors and auditing firms contracted by the Federal Republic of Germany and Land Mecklenburg-Vorpommern continuously monitors the use of our funding.</p> <p>The evaluation and appraisal system at the INP is two-fold. The Senate of the Leibniz Association regularly evaluates the INP scientifically minimum every seven years. The next evaluation will take place in June 2021. Furthermore, the scientific advisory board evaluates the institutes’ scientific work in biannual meetings. The board of trustees and the general assembly as decision bodies of the institute also meet biannually and audit the institute in general but also in scientific terms.</p>

	<p>Dissemination and exploitation of results as well as public engagement are fields of activity mainly carried out and closely monitored by the Management Support and Communication department. Still we face low awareness among the employees towards the institutes’ public engagement and therefore, we plan to optimize our in-house communication strategy to get our scientist on board for these actions, to motivate and to train them to start activities by themselves, and raise the awareness and the acceptance of our public engagement among all employees.</p>
<p>Recruitment and selection</p>	<p>The recruitment process (Recruitment, Selection, Transparency, Judging merit, Variations in the chronological order of CVs, Variations in the chronological order of CVs, Recognition of mobility experience, Recognition of qualifications, Seniority and Postdoctoral appointments; Code, 12 – 21) at the INP follows standardised, transparent guidelines and a clear procedure meeting the recommendations for an open, transparent and merit-based recruitment in general. Selection criteria, the expected length of contract as well as the salary scope are listed in the formalised job advertisements for which a bilingual template is used. From determining the need of personnel until the final decision for a candidate, the process is supported by a personnel management software. For monitoring the interviews, a so-called recruitment matrix is mandatory. Here the responsible recruiting person notes the candidates’ performance according to the selection criteria set in the job advertisement. Regarding the Judging of merit and Recognition of qualifications, the institute applies the regulations set out in the Collective Agreement for the Public Service of Federal States (Tarifvertrag der Länder, TV-L) giving different levels of qualification and experiences or the ‘W’ pay scale for civil servants. The strong German legal background and comprehensive guidelines developed and provided by the Leibniz Association are specified for our institute with the aforementioned guidelines for the recruitment process but also in strategies that are more fundamental like the equal opportunities plan and the personnel development plan.</p> <p>This recruitment procedure applies for the recruitment of all types of employees from doctoral students to staff except the appointment of professorships. For the joint appointment of professorships, we have to follow appointment procedures laid down in the corresponding cooperation contract and the respective universities’ guidelines. The institutes’ personnel recruitment strategy as well as internal agreements on working time, teleworking and vocational training all address the recognition and judgment of merit in case of variations to the normal chronological order in CVs or in the recognition of mobility.</p> <p>An in-house equal opportunities plan updated by the Board of Directors and gender equality officer every 4 years addresses gender equality and its further promotion also in regard to increasing the number of female scientists. A short summary of our work on gender equality plus the label of the Total E-Quality certificate illustrates on the institutes’ website our commitment.</p> <p>That being said, we still experience during the recruitment process partly too selective or too open criteria in job adverts, selection panel members partly too</p>

	<p>subjectively and lacking proper training on recruitment procedures and the set guidelines as well as the legal background. In addition, we experienced a lack of matching high potential candidates applying to our job offers.</p> <p>During the gap analysis, the recruitment procedure was examined regarding the principles of the Charter and Code as well as the recommendations of an Open, Transparent and Merit-Based Recruitment (OTM-R) and we figured need for improvement. We deduce a number of actions ranging from developing an institutes' personnel recruitment strategy, refining the OTM-R policy and its monitoring to regular training of selection panel members.</p>
<p>Working conditions</p>	<p>Every effort is made to ensure a highly motivating research environment at the relatively small INP (200 employees) with full support for research projects and fundraising, institutional funding, funding for trips to conferences and meetings and many more, unlimited access to required literature and information, up-to-date equipment, access to and support of national and international cooperation. The INP strongly fosters international mobility among its scientific staff. Working language in most research groups is English facilitating the participation and integration of new international colleagues.</p> <p>Internationalisation strategy for the INP includes the generous provision of funds for international research stays, a strong welcome culture and no limitations for inviting international partners.</p> <p>Regarding the stability and permanence of employment, salaries and social security provisions, the INP is bound to the national legislation, especially to the Collective Agreement for the Public Service Sector of the Länder (TV-L) and the Academic Fixed-Term Contract Law (WissZeitVG). Our ambition is to provide stable conditions with long-term contracts despite the difficult legal situation (Fixed Term Research Contracts Act – WissZeitVG). We try to draft long-term perspectives to motivate our employees. No legally binding status for doctoral candidates in Germany exists but at the INP, the doctoral candidates are obliged by their supervisors to enrol at a university since they require the supervision of a university professor to receive the PhD degree. In addition, numerous legal requirements addressing the working conditions support a pleasant working atmosphere for both scientists and non-scientific staff. A compulsory semi-annual feedback for all employees builds the basis for an individual career development. Regular trainings for technical development and on soft skills are planned for all employees during these feedback meetings.</p> <p>The INP shapes a family-friendly working environment to supports its employees in achieving a work-life balance. That is one of the key fields of action tackled with the regularly updated gender equality plan. Here, the family-friendly measures are often mutually interconnected with more general labour guidelines and activities of the works council, which take into account the personal situation of the employees. Included in the measures are flexible working hours and various part-time work models, an internal agreement on working hours and home office. The institute also assists in the job searches of the partners of new employees.</p> <p>To have a more detailed view into the working environment of the scientists</p>

	<p>and the other employees at the INP, a comprehensive survey was made in 2017. All employees were invited to answer questions regarding their field and type of work, the working structure, social network at work and working environment. In follow-up workshops, all participants were grouped into their stakeholder group among the workforce and formulated detailed answers to the surveys parts. In addition to a complete problems description, the working groups added several options to tackle the recognized challenges. The results were presented to all employees in a works meeting and were included in the HRS4R gap analysis.</p> <p>The gap analysis made it evident that we require better structures in career development and career advice starting with a more specified personnel development concept and an appropriate advanced training for the executives. Besides the non-binding legal status for doctoral candidates, we have no in-house or cross-community agreement within the Leibniz Association for the postdoctoral status. Here, the career development requires additional specification on career stages and suitable suggestions for next steps. In addition, we have to clear up structures in remuneration, responsibilities and tasks in gender equality work as well as the installed complaint/appeals system at the institute.</p>
<p>Training and development</p>	<p>The promotion of young scientists – especially the training of doctoral candidates but also bachelor and master students as well as supporting post-doctoral researchers to start their habilitation or specialists’ career – is one of the main tasks of the INP. The institute is involved in the social task of training young academics in the field of plasma physics and application-oriented research, which is not limited to the institute’s own requirements.</p> <p>Graduating at the INP is aimed at high-quality scientific training. With the latest equipment, the doctoral candidates work on future-oriented research topics at highest international level. Among other things, the doctoral students submit the results of their work to refereed journals in parallel to the preparation of their dissertations. They also participate in courses at those universities with which the INP has cooperation agreements. The doctoral students are intensively supported in preparing and submitting papers for publication in specialist journals or for papers delivered at refereed international conferences, as well as for taking part in summer schools and further training courses. Our doctoral candidates benefit from the institutes’ embedding in national and international networks for e.g. research stays in partner institutes abroad. Although no compulsory enrolment for doctoral candidates exists, we commit them to enrol at a university since they require the supervision of a university professor to receive a PhD degree.</p> <p>Although a small institute, five professors at the INP are jointly appointed with the University of Greifswald and the University of</p>

	<p>Rostock.</p> <p>Therefore, we are closely linked to both universities in the federal state of Mecklenburg-Vorpommern. Consequently, the supervision of doctoral candidates at our institute is two-fold: the supervisor is one of our university professors and accounts for the dissertation and the work done during the doctorate. Regular contact to the doctoral candidate is ensured by the daily presence of their supervisor at the institute. In addition, a mentor from the research staff is assigned as a further contact person to the doctoral candidate.</p> <p>The supervision agreement or enrolment between the doctoral student and the supervisor includes the definition of milestones, the monitoring of progress and regular meetings with supervisors, and is fixed at an early stage of the doctorate and is meant as a step towards the further improvement of the already excellent support for the doctoral candidates.</p> <p>Trainings for supervisors on their managerial duties and implied issues for supervising and caring for bachelor, master and PhD students to complete successfully the respective thesis are lacking and will be offered in future to further support supervisors in their considerable work with students.</p>
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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: www.leibniz-inp.de/karriere

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	Indicator(s) / Target(s)
Ethical and Professional Aspects				
ACTION 1 Establish regular meetings to discuss ethical aspects in (physical) science in cooperation with local university for scientists of all career levels.	Ethical principles (2)	Q2/2021	Executive team (heads of research programmes and scientific departments)	High attendance share, feedback form for evaluation of acceptance,
ACTION 2 Aim: Raising awareness for safety of data and communication and towards public engagement among employees. Action: Major information campaign on communication at the INP including - Kick-off event, - Update of IT concept and its prominent	Good practice in research (7), Public engagement (9)	Q4/2020 – Q4/2022	Communication dept., Head of IT, executive team.	- High attendance (75 percent of all INP employees) at kick-off event and filled evaluation forms showing the acceptance of activities in public engagement and safety of data and communication, - Adoption of updated IT concept, communication, implementation and its evaluation, - Overall evaluation of

<p><i>communication at the biannual works meeting,</i></p> <ul style="list-style-type: none"> - <i>Annual in-house seminar on the institutes' public engagement and safety of data and communication,</i> - <i>Revised in-house journal and an article on the INPs public engagement,</i> - <i>Established feedback loop on the reception of the article, social media post or else activity,</i> - <i>Overall evaluation survey after 24 months.</i> 				<p><i>information campaign through comprehensive survey.</i></p>
<p>ACTION 3</p> <p><i>Training for IT safety</i> based on updated IT concept and data management concept for all employees at the INP, establish training routine for training on IT safety every two years with updated content and revised course format.</p>	<p><i>Good practice in research (7)</i></p>	<p><i>Q1/2021, Q1/2022</i></p>	<p><i>Communication dept., Head of IT, executive team.</i></p>	<p><i>Documentation of training, revision of course format to meet interests of different groups of participants.</i></p>
<p>ACTION 4</p> <p><i>Aim: Improve the personnel recruitment process.</i></p> <p><i>Action: Annual one-day mandatory training on personnel recruitment and implied issues for all</i></p>	<p><i>Recruitment (Code, 13)</i></p>	<p><i>Q1/2021, Q1/2022</i></p>	<p><i>HR dept., Board of Directors.</i></p>	<p><i>Date of workshop and agenda, no. of attendees.</i></p>

<i>executive personnel and selection board members (e.g. on recruitment, selection, issuing vacancies, legal background).</i>				
ACTION 5 Update of the INP personnel recruitment strategy	<i>Recruitment (Code, 13)</i>	<i>Q3/2020 – Q4/2022</i>	<i>HR dept., Board of Directors.</i>	<i>Adoption of updated personnel recruitment strategy. Implementation and Evaluation.</i>
ACTION 6 Revision of the recruitment and selection workflows.	<i>Recruitment (Code, 13), Selection (Code, 14), Transparency (Code, 15)</i>	<i>Q3/2021 - Q4/2022</i>	<i>HR dept., Board of Directors.</i>	<i>Revision or update of recruitment and selection workflows, Implementation and evaluation.</i>
ACTION 7 Development of practical guidance for writing feedback for interested candidates.	<i>Transparency (Code, 15)</i>	<i>Q2/2022</i>	<i>HR dept.</i>	<i>Text modules established.</i>
ACTION 8 <i>Aim: Improve knowledge and awareness on guidelines for classification of employees and payscales in accordance with Tarifvertrag der Länder (TV-L, collective agreement for Federal states).</i> <i>Action: Regular training every two years on "Tarifvertrag der</i>	<i>Judging merit (Code, 16), Variations in the chronological order of CVs (Code, 17), Recognition of qualifications (Code, 19), Funding and salaries (26)</i>	<i>Q4/2021 – Q4/2022</i>	<i>HR dept.</i>	<i>Documentation of trainings including feedback form, revision of course format and content to meet the requirements of different groups of participants.</i>

<p><i>Länder" for staff of Human Resources Department, all executive personnel and selection board members, and subsequently for all other issuing employees at the INP.</i></p>				
<p>ACTION 9</p> <p><i>Aim: Knowledge sharing with universities on procedures for recognition of qualifications in cooperation with local university.</i></p> <p><i>Action: Establish regular meeting of Human resources representatives of both institutions for collegial advice.</i></p>	<p><i>Recognition of qualifications (Code, 19)</i></p>	<p><i>Q1/2021, Q2/2022</i></p>	<p><i>HR dept., Board of Directors</i></p>	<p><i>Documentation of meetings, feedback form on outcome of meetings. Clear statements on qualification recognition options on INPs career website.</i></p> <p><i>Indicator: lower number of cases with issues recognizing the qualifications, faster handling of qualifications recognition.</i></p>
<p>ACTION 10</p> <p><i>Aim: Support inquiries to acknowledging authorities and universities, learning internal regulations on recognition of qualifications to facilitate recognition of degrees of graduates wishing to finish their PhD degree at our institute.</i></p> <p><i>Action: Defining a responsible contact person and communicating it to the academic staff at</i></p>	<p><i>Recognition of qualifications (Code, 19), Recognition of the profession (22), Complains/ appeals (34)</i></p>	<p><i>Q2/2021</i></p>	<p><i>Board of Directors</i></p>	<p><i>Person defined incl. task spectrum and communicated to academic staff at INP.</i></p>

INP.				
<p>ACTION 11</p> <p><i>Aim: Developing a clear (in-house) definition for postdoctoral status and schedule including career stages and best practices.</i></p> <p><i>Action: Produce internal guidelines for postdocs. Communication to academic staff at INP. Evaluation of awareness and implementation after 24 months.</i></p>	<p><i>Postdoctoral appointments (Code, 21)</i></p>	<p><i>Q4/2020</i></p>	<p><i>Board of Directors</i></p>	<p><i>Adoption of internal guidelines for postdocs. Communication of the guidelines to academic staff at INP. Implementation and Evaluation through survey.</i></p>
<p>ACTION 12</p> <p>Revision and update of the Personal Development Concept at the INP including specific guidance for graduating at the INP. Communication of Personal Development Concept to wider public at INPs website.</p>	<p><i>Stability and permanence of employment (25), Continuing Professional Development (38), Access to research training and continuous development (39)</i></p>	<p><i>Q1/2022</i></p>	<p><i>Board of Directors</i></p>	<p><i>Adoption of the updated Personnel Development Concept, prominent communication via e-mail to all INPs executives and made available for all employees at INP via intranet. Implementation of.</i></p>
<p>ACTION 13</p> <p><i>Aim: Intensified and transparent reporting on in-house gender equality work.</i></p> <p><i>Action: Set up website to make in-house gender equality work transparent to INPs employees and wider</i></p>	<p><i>Gender balance (27)</i></p>	<p><i>Q1/2021 - Q4/2022</i></p>	<p><i>Gender equality officer & communication dept.</i></p>	<p><i>Website with updated content</i></p>

<p>society.</p>				
<p>ACTION 14</p> <p><i>Aim: Improve personnel management by establish a compulsory management training for all executives with special focus on young leaders.</i></p> <p><i>Action: Annual one-day mandatory training for (young) executives on leadership, management skills and implied issues for academic staff in executive positions and (e.g. personnel development, career planning, diversity and gender equality, yearly feedback meetings) to be chosen from a catalogue of in-house and/or external seminars.</i></p>	<p><i>Career development (28), Access to career advice (30), Complains/appeals (34), 39. Access to research training and continuous development (39), Supervision (40)</i></p>	<p>Q1/2021-Q4/2022</p>	<p>HR dept., Board of Directors</p>	<p><i>Continuous documentation of seminars incl. feedback form, Revision of course format and offered content to better suit the different groups of participants, Starting from Q2/2021 Introduction of obligatory participation for all newly appointed executives.</i></p>
<p>ACTION 15</p> <p><i>Aim: Developing a conversation and support culture (INP buddies).</i></p> <p><i>Action: Establish a Working Group on Career Support tasked with drafting a concept on how to set up a conversation culture on career development and</i></p>	<p><i>Career development (28), Value of mobility (29), 30. Access to career advice (30), Relation with supervisors (36).</i></p>	<p>Q3/2021</p>	<p>Board of Directors, Dept. Communication</p>	<p><i>Adoption of concept for conversation and support.</i></p>

<i>advice at the INP.</i>				
<p>ACTION 16</p> <p><i>Aim: Support teaching staff (newly appointed professors, teaching post-docs) to refine their abilities to teach.</i></p> <p><i>Action: Offer didactical training programme in cooperation with appointing universities.</i></p>	<p><i>Teaching (33), Continuing Professional Development (38)</i></p>	<p><i>Q3/2022</i></p>	<p><i>HR dept.</i></p>	<p><i>Documentation of seminar attendance, Indicator: improved teaching abilities evaluation via university students rating.</i></p>
<p>ACTION 17</p> <p><i>Aim: Improved supervision at INP.</i></p> <p><i>Action: Annual trainings for scientists in leadership roles: for beginners and experienced persons on supervision of bachelor, master and PhD theses, the managerial duties and implied issues.</i></p>	<p><i>Relation with supervisors (36), Supervision and managerial duties (37), Continuing Professional Development (38), Supervision (40)</i></p>	<p><i>Q1/2021-Q4/2022</i></p>	<p><i>HR dept., Board of Directors</i></p>	<p><i>Continuous documentation of seminars incl. feedback form, Revision of course format and offered content to better suit the different groups of participants, Starting from Q2/2021 Introduction of obligatory participation for all newly appointed executives.</i></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.

We can only realize our vision of becoming the most important competence centre for plasma technology in Europe with motivated and high-performing employees. Open, transparent and merit-based recruitment (OTM-R) logically follows our aim to attract and recruit the most highly qualified researchers.

The OTM-R checklist revealed some gaps we have to tackle in the upcoming months:

First, an **OTM-R policy** was already established and published online both in English and in German.

Nevertheless, we plan on regular trainings like workshops and seminars for all employees involved in

the recruitment procedures and processes (see task 5, 6, 17, 21 and 23 in action plan). The agenda and an excerpt of the seminars' content will be available for all employees on our internal database. With the knowledge gained and raised awareness, the EURAXESS Working Group together with the HR department will revise the published OTM-R policy until end of next year (3rd quarter 2021). In addition, the EURAXESS Working Group together with the HR department will develop an internal guide for OTM-R procedures and practices available for all employees involved in recruitment and selection processes (4th quarter 2021).

Second comprehensive task will be establishing an **overall assessment system for OTM-R** (2nd quarter 2022) and implied issues. To do so we already set up a regular meeting of members of the Board of Directors, the Management support and the Human Resources Department. In semi-annual meetings, the EURAXESS Working Group together with the HR department discusses the yearly monitoring, establishes the assessments' procedures and reports to the overseeing Steering Committee. The EURAXESS Working Group will also collect the feedback of recruiting managers considering the performance of the recruited candidate within the regular trainings on personnel management and implied issues for executive personnel and selection board members (e.g. on recruitment, selection, issuing vacancies, legal background) as mentioned in our action plan (Proposed Actions on Recruitment and Selection, task 5).

Third, minor actions will complement our OTM-R checklist-derived actions like offering our institute as **potential host organisation** until 2nd quarter 2020 in the profile options with EURAXESS of which did not make full use of up to now. In order to provide **adequate feedback to interviewees** we will develop as mentioned also in task 8 within our action plan text modules for a detailed and sufficient feedback.

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: www.inp-greifswald.de/karriere

4. IMPLEMENTATION

General overview of the expected implementation process:

The implementation of the proposed measures will take the next two years. Monitoring the implementation will assure a consistent, timely and smooth execution. The list with proposed actions indicates the responsible unit and the timing for each task clearly (see table in section 3). Thus, the Board of Directors bears the actions derived from the HRS4R gap analysis, which are part in the existing institutes' structures and policies. The implementation checklist defines responsibilities for monitoring and supervision of the overall process. The quality control during the implementation phase will be three-fold: 1) a EURAXESS Working group for the internal review, 2) monitoring by a Steering Committee representing the different levels of the institutes' structure and 3) supervision by the Board of Directors.

The **EURAXESS Working group** meets regularly, minimum once a month, and consists of 21 persons representing all stakeholder groups at the institute. The members of the working group assure the implementation and continuously record the progression of the action plan. At these meetings, previously requested written or oral statements from the departments responsible for implementation are evaluated. If there is a need for correction in the Action Plan and the implementation, this is discussed and documented with the persons concerned and the heads of department. The EURAXESS Working group also incorporates other proposed measures into the Action Plan. At least twice a year, the EURAXESS Working group reports to the Steering Committee the progress of all various measures.

Steering committee: meets *every four to six months* and monitors the overall progress. The committee consists in sum of eight persons with all members of the Board of Directors, representatives of the researchers' career stages, a representative of the Administration, the head of the Management support and the gender equality officer.

After the implementation of the measures, written assessments and individual discussions with the persons involved in the processes, as well as representatives of doctoral candidates and research staff, are used to evaluate whether the objectives set out in the Action Plan have been achieved and whether there is still potential for improvement.

As a **long-term strategy**, the yearly held internal and external audits in the departments will be used to examine the effectiveness of the measures implemented based on the targets and indicators in the Action plan. Moreover, the INP continuously seeks to identify further potential for improvement, which may have arisen. Therefore, also the audits will be used as well as the results of official feedback talks with all employees.

For the internal review, the **Scientific Advisory Council** of the Institute will be involved as an external body in the process. Prior to this, the Board of Directors will inform the Council regarding the planning and progress in the implementation of the Code and Charter at its meetings. In addition, the Institute will inform the Evaluation Committee of the Senate of the Leibniz Association that will conduct its standard evaluation of the institute in June 2021 with regard to the

participation of the institute in EURAXESS and the status of the implementation of the requirements of Code and Charter.

For the preparation of the external review, the Steering committee will once again include all stakeholders and will receive the support of the Scientific Advisory Council.

Checklist	*Detailed description and duly justification
How will the implementation committee and/or steering group regularly oversee progress?	The INP installed the EURAXESS Working group responsible for the internal review of the complete HRS4R process and future audits and the Steering Committee to oversee the implementation and its progress. The members of the Working group assure the implementation and contact the units responsible to initiate and monitor progress. All developments are continuously documented. The Working group will report in regular meetings (biannual) on the progress and potential adjustments of the action plan to the Steering Committee. The committee consists of representatives of all researchers’ career stages from R1 to R4, a member of the Board of Directors, representatives of the Administration, the technical staff, the works council, and the gender equality officer.
How do you intend to involve the research community, your main stakeholders, in the implementation process?	The process of the HRS4R has been and will continue to be monitored by the Steering Committee. At least twice per year the committee will receive a detailed status report by the EURAXESS working group. The oversight function of that committee assures that the process suits the needs of the research community as the main stakeholder. The Working group itself is mainly composed of researchers of all career stages. That ensures a strong involvement of the main stakeholders within that process. Two times per year, we will invite all employees to a meeting, where we will inform them about all recent developments and upcoming actions. Here, we will give room for questions and an open discussion for potential adjustments.
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	The Action Plan is published at the institutes’ website and is accessible to all stakeholders, all employees as well as the research community. It is the point of reference for all planned actions. Key policies for HRS4R are the personnel recruitment strategy and the personnel development

HR policy.	concept. Both policies focus on human resources management and are therefore basis to be aligned with HRS4R. The Board of Directors mainly work on these documents. Both are a major task for the next two years to be updated and refined. Working closely together with the Board of Directors and the HR department assures that the updated key policies recognize HRS4R and both Code and Charter.
How will you ensure that the proposed actions are implemented?	In the Steering Committee and EURAXESS Working group members of all units and stages are represented to make sure all groups of stakeholders among the institute are in focus and on board for the upcoming tasks. The Board of Directors affirms their full commitment and supervises the implementation of the action plan within the Steering committee. At least twice a year the Steering Committee will receive a detailed status report by the EURAXESS working group. The implementation of several actions fall under responsibility of the Scientific Directors and the Board of Directors and they will be embedded into a central management tool: The Board of Directors defines target agreements for the semi-annual feedback for executive personnel, which are evaluated every year and include clearly defined goals and indicators related to the HRS4R actions.
How will you monitor progress (timeline)?	The installed EURAXESS Working group closely monitors the implementation of all actions throughout the implementation phase. It informs the Steering Committee and the Board of Directors on the progress in view of the planned timeline in regular meetings. Delays must be duly justified to the Steering Committee and the Board of Directors.
How will you measure progress (indicators) in view of the next assessment?	The installed EURAXESS Working group collects data and documents regarding the indicators of the action plan. It reviews in regular intervals whether the indicators remain valid to achieve the respective goal. Potential adjustments towards the indicators are documented. The documentation and revisions will feed into the next assessment of the HRS4R to assure best long-term results. After 24 months, a comprehensive survey will be conducted to receive the feedback of the employees on the implementation and impacts for their working

Action Plan – INP

	environment.
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Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)
