

1 ACTION PLAN

Case number: 2019DE401011

Name Organisation under review:

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

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SUBMISSION DATE: 16 APRIL 2023

1. ORGANISATIONAL INFORMATION

| STAFF & STUDENTS | FTE |
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| Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research | 99,93 |
| Of whom are international (i.e. foreign nationality) | 35,06 |
| Of whom are externally funded (i.e. for whom the organisation is host organisation) | 0 |
| Of whom are women | 33,83 |
| Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. | 24,75 |
| Of whom are stage R2 = in most organisations corresponding with postdoctoral level | 59,29 |
| Of whom are stage R1 = in most organisations corresponding with doctoral level | 15,23 |
| Total number of students (if relevant) | 7,24 |
| Total number of staff (including management, administrative, teaching and research staff) | 174,85 |
| RESEARCH FUNDING (figures for 2022) | € |
| Total annual organisational budget | 18.479.482 |
| Annual organisational direct government funding (designated for research) | 8.226.500 |
| Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) | 10.095.403 |
| Annual funding from private, non-government sources, designated for research | 157.580 |
| 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. The INP promotes development of plasma-assisted processes and products. The topics reflect the needs of the market: plasmas for materials & energy, environment & bioeconomy and for hygiene & health are the focus of interest. Innovative product ideas developed in lab will be picked up and transferred</p> | |

by spin-offs of the institute.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

| Thematic heading of the Charter and Code | STRENGTHS and WEAKNESSES |
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| Ethical and professional aspects | <p>(Initial Phase) 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</p> |

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| | <p>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>(Interim Assessment)</p> <p>A multitude of rules and regulations are in place to secure and promote the working environment for researchers in Germany. And although we are a small institute with only 200 employees, we are eager to go the extra mile to give our researchers an attractive place to carry out their scientific work. A part of the actions described in the first action plan considered the principles for ethical and professional aspects. The Gap Analysis revealed no major gap with the implementation status of those principles but a high interest in addressing them for three aims which were i) higher awareness towards data safety and safe communication, ii) higher awareness for the institutes’ public engagement and iii) a regular exchange on ethical principles and recent topics.</p> <p>All of those actions within the action plan were started and carried out successful. With the help of the pre-defined indicators and the close and regular exchange with the institutes’ researchers and employees within administration and technical support we figured the weaknesses within the actions. In a small institute like the INP we work in an environment of collegial advice and support on a regular basis with the option for informal interaction to receive always a quick and detailed answer. Therefore, we were able to request regular feedback on all actions kicked off during the last 24 months. Feedback loops were used in management meetings, group meetings and on informal meetings within target groups e.g., doctoral students, postdoctoral scientists and international colleagues in general. Already established meeting structures and schedules were of great assistance in collecting feedback for the interim’s evaluation on the Action Plan for the HR Excellence in Research Award.</p> <p>In summer 2021 the INP underwent its regular evaluation which is done minimum every seven years. An international consortium evaluates the research carried out and its relevance for current societal challenges. The consortium assesses the institutes’ structure, the strategic orientation of the institute, its promotional work for the junior researchers, gender equality policy and many more aspects. The resulting report of the consortium is crucial for the institute and its financing through the state. The results of the last evaluation in summer 2021 were completely positive. The consortium recognized the efforts undertaken for the institutes research strategy. The accompanying measures within human resources under the roof of the HR Excellence in Research Award had been emphasized.</p> <p>The annual meeting of all executive personnel including their deputies,</p> |

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| | <p>representatives of the works council, the human resources department, gender equality officer, spokespersons of the doctoral students and the management support at the INP in a retreat is an appropriate setting to reflect on the actions done within the Action Plan for our HR Excellence in Research Award.</p> <p>Survey follow-up on general acceptance from 2017 to get reliable numbers among the employees will applied in 2024. For the recent state and targeted development of the action plan towards the requirements among the scientists at the INP we</p> <p>Privacy rights: idea of survey - Lack of clarification about data usage Consideration Privacy rights vs Necessity of the public presentation of the INP (Website and social media) partly institutionalized.</p> |
| | <p>(Remarks)</p> <p>In summer 2021 the INP underwent its regular evaluation which is done minimum every seven years. An international consortium evaluates the research carried out and its relevance for current societal challenges. The consortium assesses the institutes’ structure, the strategic orientation of the institute, its promotional work for the junior researchers, gender equality policy and many more aspects. The positive outcome of the evaluation was followed by structural changes within the research groups at the institute. Since end 2021, the organisational structure within the research division is three-fold, each division with two research programmes and two or three research groups. The updated structure will meet the societal challenges of the next decade and addresses the Sustainable Development Goals postulated by the United Nations.</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</p> |

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| | <p>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 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>(Interim Assessment)</p> <p>The shortage of skilled professionals in the research field for low temperature plasma physics and its application is a well-known issue for the INP. For a small institute of about only 200 employees of which are about 100 FTE researchers it is decisive to recruit and retain qualified researchers to work on scientific challenges.</p> <p>With several actions within the further action plan we wanted to address the gaps revealed with the gap analysis done at the beginning of the application process. In addition, the actions described in the action plan were carried out in a way to better implement the OTM-R principles.</p> <p>All actions we defined to tackle the analysed gaps for recruitment and selection started as planned and were partly successful completed. In particular the activities to set up inhouse trainings on recruitment and selection by employees for employees was very well received. Nearly 50 percent of the executive personnel completed the training, all of the participants gave positive feedback via small query and in person during an open discussion at the end of the training session. They also brought up more steps and documents of the</p> |

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| | <p>workflows to be discussed in the next training meetings.</p> <p>Since we experience challenges in recruiting skilled professionals, the current staff came more in focus and their potential and competencies must be recognized. In order to do so, a strategic personnel planning process kicked off during the annual retreat in 2023 taking into account the recommendations of the institute’s evaluation in 2021 and the age structure among the employed researchers. Facing many researchers and executive personnel to retire in the next 7 to 8 years including several professorship positions and position of institutes director. A task force was set up in January 2023 with the institutes CFO, one research coordinator and the assistant to the CFO. Having the strategy of the institute clarified in regard of the personal planning, they start to analyse the actual state of staffing and their competencies until end of 2023.</p> <p>Still, the INPs personnel recruitment strategy is lacking a statement and guideline for active recruitment. To date this option is carried out by exploiting personal networks. Only for particular positions, e.g., positions with special knowledge or executive positions the support of professional recruiters is acquired.</p> <p>Another part of the human resources management has got too little attention to date. The open feedback and discussion round subsequent to our inhouse trainings revealed that in contrast to our onboarding the exit of employees leaves little to no room for exit interviews. To become a better employer, exit interviews can help you understand your reasons for leaving. Here a new action will focus on this particular option.</p> <p>Furthermore, the reliable assessment of the recruitment and selection process and acknowledgement of the OTM-R principles requires further development in the next months.</p> |
| | <p>(Remarks)</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</p> |

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| | <p>(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. 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 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 survey’s 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>(Interim Assessment)</p> <p>The main framework of working conditions at the INP consists of several legal regulations but nevertheless we strive for a highly motivating research environment at the relatively small institute of about 200 employees. The gap analysis showed us the aspects within the principles of Charter and Code which were not fully implemented and required action. The activities targeted at the</p> |

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| | <p>working conditions were started during the last 24 months.</p> <p>Thanks to a cooperative and collegial working atmosphere with many options for informal exchange and a regular meeting schedule at the institute we were able to get timely and comprehensive feedback on the started actions over the duration of the current action plan.</p> <p>The researchers welcomed the installation of a permanent contact person for requests with focus on the onboarding phase particularly for international researchers. The position is supported by a group of employees within the administration and the Management Support to maintain an international working environment with language courses, onboarding seminars and informal international round table meetings. New ideas will be developed and will feed into a revised and updated internationalisation strategy at the INP complemented with an updated onboarding seminar with focus on international researchers. Both activities will be carried out in the frame of the new action plan for the upcoming months.</p> <p>Besides the target group of international researchers, we focused on the postdoctoral scientists at the institutes and their status. We adopted guidelines for their status within the INP which will be implemented within the new action plan. Connected with this action is the requirement for better structures for career development and career advice as stated in the gap analysis. The working group dedicated to this topic should address the gap with a comprehensive approach. The timeline of the action requires an extension to be established in an appropriate way. With that we are able to take up external changes and movements. Since postdoctoral scientific staff is one of our target groups defined in the initial phase, the results of the nationwide PostDoc survey for all postdoctoral scientists employed at research institutes of the Leibniz association gained our attention. The survey participants noted that career pathways seem rather unclear for postdocs at the Leibniz institutes. A comprehensive career planning also depends on the legal regulations which is for German research institutions mainly the Academic Fixed-Term Contract Act of 12 April 2007 (Wissenschaftszeitvertragsgesetz -WissZeitVG).</p> |
| | <p>(Remarks)</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</p> |

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| | <p>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 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> |
| | <p>(Interim Assessment)</p> <p>The current action plan had a major focus on the working conditions and the promotion of young scientists and young scientists in leading positions. At a rather small institute with only 200 employees, we prioritise the activities and establishing a convincing catalogue of suiting seminars gathering inhouse and external expertise as well as organizing the seminars themselves was challenging and took a great deal of time.</p> <p>In parallel we invited in 2021 the target group of doctoral students to an inhouse survey concerning the working conditions and supervision. The survey confirmed the well-established working conditions at the institute and the close and well-structured supervision for most of our doctoral students. Still, some mentioned unawareness for enrolment of doctoral candidates which comes with many benefits. Here a better communication is required and addressed during the next action plan duration. In 2023 a follow-up discussion at the annual retreat with the executive personal, board of directors, representatives of works council, administration, gender equality and management support took place. The spokespersons for the doctoral candidates and young scientists</p> |

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| | <p>showed concerns on the PhD students’ situation and the use of inhouse offers for scientific exchange and informal meetings. The participation in the offered meetings significantly decreased during the Corona pandemic. In reaction, a task force group was built consisting of 3 professors, the spokespersons for doctoral candidates, a representative of the management support and a technical employee. They will focus on the inhouse PhD seminars, their structure and aims as well as the establishment of further activities connecting the research activities of the INPs doctoral students and the Scientific Advisory Council plus the wider public. They will present the first results and measures at the next annual retreat in January 2024. This activity will go hand in hand with the information campaign for young scientists.</p> |
| | <p>(Remarks)</p> |
| <p>Have any of the priorities for the short- and medium term changed?</p> | <p>The priorities have not changed. The actions and aims within the HR Excellence in Research have high priority at the INP.</p> |
| <p>Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy?</p> | <p>The general circumstances in which the Leibniz institute operates, as an institute in the Leibniz association and as a research institution in Germany the status has not changed despite the world’s turmoil caused by the Russian aggression and the subsequent consequences. Energy crisis and inflation due to Russia's invasion of Ukraine in violation of international law and the subsequent raised prices for heating and electricity causes doubling of maintenance costs for the institute in general. Prolonged delivery times and disturbed supply chains leading to plannability only to limited extent. In addition, the institute rented further laboratory space resulting in even more maintenance and equipment costs. Therefore, the financial flexibility of the INP is limited.</p> <p>In reaction to the results of the Evaluation of the institute by the Leibniz evaluation the institutes’ structure was updated to the societal challenges of the next decade and to address the SDGs postulated by the United Nations.</p> |
| <p>Are any strategic decisions under way that may influence the action plan?</p> | <p>No. The strategic decisions supporting the activities within the HR Excellence in Research Award remain valid. The employees of the INP, its Board of Directors, the Scientific Advisory Council, the General Assembly and the Board of Trustees support the Actions and their intentions.</p> |

3. ACTIONS

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

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

*URL: 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:

Recommendations *

While creating actions in the Action Plan, make sure that they really reflect the gaps identified in the GAP analysis. Monitor the implementation of the action and consider their implementation while creating the AP for the next period.

Other modifications

Show clear evidence that all stakeholders were involved in the whole process, especially GAP analysis. Show how all stakeholders will be involved in the implementation and monitoring.

Consider surveys among employees to get feedback on the implementation.

Consider reducing the number of actions and prepare one big information and communication campaign to raise awareness for safety of data, communication and public engagement.

Consider removing action 14 regarding minor constructional changes or provide details and add targets/ indicators.

Check suggestions of principle 39 and 40 in the GAP analysis - they are identical, but the AP refers only to principle no 40.

Is the Action Plan coherent with the Gap Analysis? *PARTLY*

The following principles are not FULLY IMPLEMENTED according to GAP analysis: 13,14,15,16,17,19,25,26,27,28,29,30,36,37,39,40 but the in the AP there are also actions planned referring to fully implemented C&C principles eg.AP1 (P2 Ethics), AP2 (P7&9 - good practice and public engagement), AP3 (P7 good practice), AP11 (P21)

| Proposed ACTIONS | GAP Principle(s) | Timing (at least by year’s quarter/ semester) | Responsible Unit | Indicator(s) / Target(s) |
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| Ethical and Professional Aspects | | | | |
| ACTION 1 <i>Establish regular meetings to discuss</i> | <i>Ethical</i> | <i>Q2/2021</i> | <i>Executive team (heads of</i> | <i>High attendance share, feedback form for</i> |

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| <p>ethical aspects in (physical) science in cooperation with local university for scientists of all career levels.</p> | <p>principles (2)</p> | | <p>research programmes and scientific departments)</p> | <p>evaluation of acceptance</p> |
| <p>Current status: ONGOING</p> | <p>Remarks:</p> <p><i>As planned, one event each was held in cooperation with the institutes' research organisation Leibniz Association and with the Greifswald-based Alfried-Krupp-Kolleg, an academically independent institution sponsored by the Stiftung Alfried Krupp Kolleg Greifswald. The event with the research organisation was online with 20 participants, the one at the local institution Alfried-Krupp-Kolleg as a hybrid event with a total of 40 participants. The attendance among the INP staff was low. The events were attended by 3 and 5 members of the INP staff. Individual feedback from participants requested within a personal interview was consistently positive and included constructive suggestions for further activities in the field.</i></p> <p><i>Still, we did not reach the target we had set ourselves. So, we propose to continue the action covering more aspects and make employees aware of the usefulness of that topic. Due to the low attendance individual feedback requested as a personal interview gave more qualified insights of acceptance and further ideas to evolve the action.</i></p> <p><i>We plan to address the employees directly and frequently with articles in the inhouse journal on Freedom of research: comparison of European and international status as well as a short talk on the current situation regarding research freedom and ethical implications with the aim to learn to question their scientific activity. In addition, we will tour the research group meeting with a short note to kick off dealing with that topic of freedom of research, ethical aspects in research and differentiation and definition in German Constitution to be explained in particular for international researchers. Furthermore, the events we held will be continued at the local institution Alfried-Krupp-Kolleg (Nov 1st 2023) and again together with the Leibniz Association and its Commission for ethics in security-related research.</i></p> <p>NEW ASPECTS:</p> <p>Information campaign on ethical aspects in (physical) sciences and its implications for the research at the INP.</p> <p><i>Time line: Q3/2023 – Q2/2025</i></p> | | | |
| <p>ACTION 2</p> <p><i>Aim: Raising awareness for safety of data and communication and towards public engagement among</i></p> | <p><i>Good practice in research (7), Public engagement (9)</i></p> | <p><i>Q4/2020 – Q4/2022</i></p> | <p><i>Communication dept., Head of IT, executive team.</i></p> | <p><i>- High attendance (75 percent of all INP employees) at kick-off event and filled evaluation forms showing the</i></p> |

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| <p>employees.</p> <p>Action: Major information campaign on communication at the INP including</p> <ul style="list-style-type: none"> - Kick-off event, - Update of IT concept and its prominent communication at the biannual works meeting, - Annual in-house seminar on the institutes' public engagement and safety of data and communication, - Revised in-house journal and an article on the INPs public engagement, - Established feedback loop on the reception of the article, social media post or else activity, - Overall evaluation survey after 24 months. | | | | <p>acceptance of activities in public engagement and safety of data and communication,</p> <ul style="list-style-type: none"> - Adoption of updated IT concept, communication, implementation and its evaluation, - Overall evaluation of information campaign through comprehensive survey. |
| <p>Current status: ONGOING</p> | <p>Remarks:</p> <p>All of the above activities were started and carried out in the last two years. The HR Excellence for Research Award kick-off event reached 66 employees (33 percent), which was a good figure given the high level of sick leave due to Corona pandemic. The updated IT concept was prominently presented at the semi-annual information events (mid-year and year-end info). The internal seminar could be held annually again from 2022 (May 23, 2022, next is planned for October 2023) and was able to reach around 100 employees (50 percent). The internal magazine was thoroughly revised and went back to print in February 2022 or is distributed on the intranet. The feedback loop regarding the reception and reach of press articles, entries on social media or further activities was established for the semi-annual information events and implemented at annual retreats in the form of a detailed presentation. The monitoring and analysis of the outreach of all articles and press activities is now</p> | | | |

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| | <p><i>reliably supported technologically with an analysis tool.</i></p> <p><i>A survey on the awareness of safety of data and safe communication as well as public engagement had to be shifted to another timepoint due to high workload at the communication department with organising scientific conferences combined with the Corona-caused complications (high number of sick-leave, family care obligations due to closed childcare facilities).</i></p> <p><i>NEW Time line: Q1 – Q4/2024</i></p> | | | |
| <p>ACTION 3</p> <p>Training for IT safety 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,</i></p> <p><i>revision of course format to meet interests of different groups of participants.</i></p> |
| <p>Current status:</p> <p>COMPLETED</p> | <p>Remarks: <i>The action has been successfully completed. Supported by a web-based program, a training system was institutionalized in which all employees must register and attend appropriate learning modules and successfully complete them with a number of tests. New modules are added on a regular basis that focus on individual aspects of IT security. The system works with reminder functions that are also mirrored in the management meetings. In parallel, test mailings are carried out, the click rate of which shows the success of the training. This regular training is flanked by annual seminars held by the IT department, where the latest developments are highlighted and awareness is raised for the training sessions. The last Workshop was on November 7, 2022 “Workshop of the IT department - practical IT security with the topics password management and certificates”. The combination described here has proven successful in the past two years and will be continued in this form.</i></p> <p><i>Management meetings and research group meetings are used to inquire about the acceptability of the teaching modules. A major disadvantage is currently the lack of an option to conduct the training courses in English. This aspect is being pursued by the IT department and should be resolved by the end of 2023.</i></p> | | | |
| <p>ACTION 4</p> <p><i>Aim: Improve the personnel recruitment process.</i></p> | <p><i>Recruitment (Code, 13)</i></p> <p><i>New: Selection</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> |

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| <p><i>Action: Annual one-day mandatory training on personnel recruitment and implied issues for all executive personnel and selection board members (e.g., on recruitment, selection, issuing vacancies, legal background).</i></p> | <p>(Code, 14),</p> | | | |
| <p>Current status: COMPLETED</p> | <p>Remarks: <i>The planned training was developed and conducted for the first time on November 23, 2022 (11 participants), with the follow-up date on March 15, 2023 (4 participants). A total of 15 people has already been trained. The feedback via anonymized questionnaires following the event was consistently positive. The personal feedback from the participants gave further indications as to which aspects of the personnel selection process could still be included in the seminar. With this approach, the seminar will be further developed and adapted to the needs of the individuals. In addition, we updated the basic text for the job advertisements and revised the guide to interviews and it is already available online on the intranet.</i></p> | | | |
| <p>ACTION 5 Update of the INP personnel recruitment strategy</p> | <p>Recruitment (Code, 13)</p> | <p>Q3/2020 – Q4/2022</p> | <p>HR dept., Board of Directors.</p> | <p>Adoption of updated personnel recruitment strategy. Implementation and Evaluation.</p> |
| <p>Current status: ONGOING</p> | <p>Remarks: <i>For the update of the INPs personnel recruitment strategy, a focus group with researchers of all career categories and with different background was invited to collect and prioritise a list of possible measures. The list includes activities e.g., participations at job fairs, visits at potential cooperation partners (INP-Tour), active recruitment among students and conference participants and many more. This collection of potential measures is a regular item on the agenda at the management meetings of the research programmes and departments.</i></p> <p><i>As a result, we participated with representatives of the doctoral students, the management support and the communication department in the PhD Job Fair “Research in Germany - Virtual Job Fair” on June 23, 2022. On May 23, 2022 an internal institute query for the INP Tour took place, from whose feedback two projects were selected by the board of directors for implementation (start in Q4/2023).</i></p> <p><i>A repeat and potential update of the measures collection will be conducted during the 2024 annual retreat. The measures from the query and their brief description are to be included in the personnel development concept as an addendum with the</i></p> | | | |

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| | <p><i>topic of personnel recruitment strategy. Furthermore, we plan to enclose the activities and their strategic background in the INP intranet as a document. This is to make sure the transparency within our recruitment activities besides the sole job advertisements. A revision on the action’s activities will be given at the annual retreat in 2025 and follow-up in 2026.</i></p> <p><i>NEW time line: Q4/2023 – Q1/2025 and Q1/2026</i></p> | | | |
| <p>ACTION 6</p> <p>Revision of the recruitment and selection workflows.</p> | <p><i>Recruitment (Code, 13), Selection (Code, 14), Transparency (Code, 15)</i></p> | <p><i>Q3/2021 - Q4/2022</i></p> | <p><i>HR dept., Board of Directors.</i></p> | <p><i>Revision or update of recruitment and selection workflows, Implementation and evaluation.</i></p> |
| <p>Current status: COMPLETED</p> | <p>Remarks:</p> <p><i>The workflows at INP are regularly discussed once a year with the responsible employees and checked for functionality. The evaluation for recruitment and personnel selection workflows was limited to a focus group consisting of the staff of the personnel administration, the head of management support, the Gender Equality Officer and the participants of the seminars on job interviewing, because we expect from them concrete and implementable ideas and qualitative feedback from the people who are regularly involved with the work processes.</i></p> <p><i>The evaluation revealed that the timelines on the operations already published on the INP website were not (no longer) remembered and were therefore included as an item in the regular seminar. Another fact that could be improved were emails that were send during the process and contained more than three recipients. For the recipients, it was thus unclear who had to respond. As a result, potential candidates had to wait a long time. In this case, HR management will change the notification system and restrict the group of recipients.</i></p> <p><i>The personnel selection workflows at INP are additionally regulated by a works agreement between the Board of Directors and the Works Council. This agreement describes the times for advertising vacancies and the necessary involvement of the works council. In order to simplify the participation regulations, the works agreement was also revised and the internal job filling procedures were simplified. The works agreement is published on the intranet and discussed at the half-yearly works meetings.</i></p> | | | |
| <p>ACTION 7</p> <p>Development of practical guidance for writing giving feedback for interested candidates.</p> | <p><i>Transparency (Code, 15)</i></p> | <p><i>Q2/2022</i></p> | <p><i>HR dept., NEW: Management support</i></p> | <p><i>Text modules established.</i></p> <p><i>NEW: Guideline established, internally published and workshop drawn for</i></p> |

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| | | | | target group. |
| <p>Current status: ONGOING</p> | <p>Remarks: Due to the very demanding legal situation with regard to possible claims for damages, more time must be allowed for research and examination by the legal department than was estimated at the outset. In addition to text modules, a handout must be created that can be given to management personnel in the form of training.</p> <p>Therefore, we extended the time frame until Q4/2023 for finalising all components required for the action. The HR department will gain support by the Management Support dept. who are trained in formulating guidelines. The annual retreat of the institute will build the appropriate frame for feedback. The management support will set up a seminar for the institute’s executive personnel, which will also feed to the inhouse seminar catalogue (see Action 14) The seminar will take place for the first time in 2024 and will be repeated on an annual basis.</p> <p>NEW time frame: Q2-Q4/2023, and 03/2024, 03/2025 and 03/2026</p> | | | |
| <p>ACTION 8</p> <p>Aim: Improve knowledge and awareness on guidelines for classification of employees and pay scales in accordance with Tarifvertrag der Länder (TV-L, collective agreement for Federal states).</p> <p>Action: Regular training every two years on "Tarifvertrag der Länder" for staff of Human Resources Department, all executive personnel and selection board members, and subsequently for all other issuing employees at the INP.</p> | <p>Judging merit (Code, 16), Variations in the chronological order of CVs (Code, 17), Recognition of qualifications (Code, 19), Funding and salaries (26)</p> | <p>Q4/2021 – Q4/2022</p> | <p>HR dept.</p> | <p>Documentation of trainings including feedback form, revision of course format and content to meet the requirements of different groups of participants.</p> |
| <p>Current status: ONGOING</p> | <p>Remarks:</p> <p>The action is carried out by the personnel administration with the support of the Management support. The in-house training could not be realized until now due to illness-related absences (Corona pandemic) despite planning for November 4, 2022.</p> | | | |

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| | <p><i>The workshop is now rescheduled for summer 2023.</i></p> <p><i>However, the survey of management staff showed that there was still a great deal of interest in a workshop (17 out of 26 management positions, 65 percent), so that we will make use of an external lecturer. An inquiry has been made to an external service with proven expertise in this area as an educational institution for the national employment agencies. In parallel, we will support the administration to offer another date for an internal workshop on tariff contracting at our institute fitting to specific questions.</i></p> <p><i>Therefore, we extended the time frame for this action to Q4/2023.</i></p> <p><i>NEW time line: Q2/2023-Q4/2023</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.</i></p> <p><i>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>Current status: ONGOING</p> | <p>Remarks: <i>Through the cooperation with the University of Greifswald, contact was quickly established with the employee who deals with international issues. In addition, the personnel administration of the INP already has contact with the administration of the university. The exchange takes place every six months within the framework of the EURAXESS meeting. Additional exchange in current cases also takes place.</i></p> <p><i>The discussions dealt with overriding issues such as using the Anabin tool, which is used regularly. Anabin is a German database that provides information on the evaluation of foreign educational certificates. It gives a sound basis for decision-making by authorities and universities responsible for the recognition of foreign educational qualifications in Germany. In addition, the information offered is intended to enable employers, employees as well as the general public to assess the value of a foreign qualification. Unfortunately, due to a lack of staff, this database has not been well maintained for some time and is still only available in German. This causes misunderstandings and hurdles for international scientists applying to our institute and our cooperating universities.</i></p> <p><i>We recommend a multi-year period because fluctuating personnel numbers require</i></p> | | | |

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| | <p><i>longer observation, no meaningfulness after 2 years possible.</i></p> <p><i>Therefore, we plan to prolong the time line for this action to:</i></p> <ul style="list-style-type: none"> - <i>Collect reports on experiences with recognition procedures and its challenges,</i> - <i>Establish and publish statements on recognition procedures at the INP website,</i> - <i>Communicate options to all executive personnel.</i> - <i>NEW time line: Q1/2025-Q4/2025</i> | | | |
| <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 INP.</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> |
| <p>Current status: COMPLETED</p> | <p>Remarks: <i>On June 1, 2022, a new colleague was recruited for the administration to deal with the international employees, especially in the first weeks. She assists with administrative procedures, has prepared comprehensive information material on insurance, medical care and other everyday necessities and uploaded it on the intranet. Her work is supported by other colleagues who arranges and organizes the in-house German courses, are responsible for the welcome events and maintains the INP-internal desk template with all important telephone numbers and references. Another colleague is in charge of the international round table.</i></p> <p><i>The contact person was introduced via the inhouse news ticker and in all management meetings.</i></p> | | | |
| <p>ACTION 11</p> <p><i>Aim: Developing a clear (in-house) definition for</i></p> | <p><i>Postdoctoral appointments</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</i></p> |

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| <p><i>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>(Code, 21)</i></p> | <p><i>Q4/2025</i></p> | | <p><i>guidelines to academic staff at INP. Implementation and Evaluation through survey.</i></p> |
| <p>Current status: ONGOING</p> | <p>Remarks: <i>In May 2020 the career guidelines for PostDocs were established within the Leibniz association. The more generic guidelines will be adopted for the INP and complemented with the INP-specific career options. Here, we want to take also the recently published Leibniz PostDoc Survey into account.</i></p> <p><i>That activity needs to work closely with the working group to career support described within Action 15 and therefore requires close support of the Management Support and the Department for Communication. To work accurately here and align the survey in adjustment to the published results, we have extended the timeline to Q4/2025 to completion including the evaluation.</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>Current status: ONGOING</p> | <p>Remarks:</p> <p><i>The revision of the Personal Development Concept revealed the indifferent position of post-doctoral researchers at the INP. As we described and take action within Action 11, we aim at a clear inhouse post-doctoral status for researchers. The status description and guidelines derived from the recommendations of the Leibniz Association becomes part of the institute Personal Development Concept.</i></p> <p><i>Second, the career development descriptions are two-fold for academic and</i></p> | | | |

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| | <p><i>industrial career. This is supported by Action 15 and will be included in the concept. In addition, the concept is now also available in English language at the intranet to be made available to all employees. The information about has been sent via the inhouse news ticker.</i></p> <p><i>As described the concept will undergo further foreseeable changes and additions in the upcoming months. So, we propose keeping the status as ONGOING and changing the timeline.</i></p> <p><i>NEW time line: Q1/2026</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 society.</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>Current status: ONGOING</p> | <p>Remarks: <i>Website update is underway including a comprehensive part for gender equality work. Due to technical reasons the activity needs to be postponed. The Department for communication plans a complete relaunch of the institute’s website in 2024. Until then new or updated texts are developed and new photos are taken, but no website structure changes can be applied to date.</i></p> <p><i>Still the gender equality work is made transparent with alternative methods. The annual women’s assembly gave a good opportunity to report to the female employees. Also, an article on the gender equality work with an interview with the gender equality officer at the institute will be published in Q2/2023 in the inhouse journal INPapier.</i></p> <p><i>NEW time line: Q1/2025</i></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-</i></p> | <p><i>Career development (28), Access to career advice (30), Complains/ appeals (34), Access to research training and continuous</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</i></p> |

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| <p><i>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>development (39), Supervision (40)</i></p> | | | <p><i>obligatory participation for all newly appointed executives.</i></p> |
| <p>Current status: COMPLETED</p> | <p>Remarks:</p> <p><i>This Action was started with a detailed revision of required trainings and gaps revealed with the comprehensive survey for working conditions in 2017. Definition of nine possible workshop topics with inhouse expertise:</i></p> <ol style="list-style-type: none"> 1. Proposal writing training for beginners and experienced scientists, 2. Yearly feedback meeting, 3. Personnel recruitment interview (see Action 4), 4. Instructions for Project Leading, 5. Supervision of degree theses (see Action 17), 6. IT safety and safe communication (see Action 3), 7. Project Management, 8. Career planning: how does it work? 9. Coaching and mentoring for (new) executives. <p><i>Further eight required workshops topics need external expertise:</i></p> <ol style="list-style-type: none"> 1. Didactical training programme (see Action 16), 2. Leadership/ employee management, 3. Leadership Competencies and Obligations, 4. Conflict and Stress Management, 5. Personnel Recruitment Process and Criteria, 6. Developing a Team, 7. Harassment and Violence at Work, 8. Diversity and Equal Opportunities. <p><i>Up to date seven (five inhouse and two external) workshops came into action (marked above in bold). The catalogue with all offered training possibilities is made available to all employees in the intranet. Three to four weeks before an inhouse seminar the employees are invited to the event via the inhouse news ticker and information within management meetings.</i></p> | | | |

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| | <p><i>Special focus was the planned training on the Yearly feedback meeting, and it was conducted for the first time on June 15, 2022 (11 participants), with the follow-up date on March 13, 2023 (3 participants). A total of 14 people has already been trained (14 of 26 executive positions, 54 percent). The feedback via anonymized questionnaires following the event was consistently positive. The personal feedback from the participants subsequent to the seminar gave further indications as to which aspects of the yearly feedback meeting could still be included in the seminar. With this approach, the seminar will be further developed and adapted to the needs of the individuals. This seminar will repeat annually with special focus on young executives.</i></p> <p><i>External expertise was invited for a 2-days leadership seminar in January 2022 including 2 subsequent meetings with Alberto Lenz. Target group were young executives and potential young executives. This seminar is offered annually.</i></p> <p><i>In June 2022 the workshop on “Sexual harassment – how to react as an executive” took place and 12 executives (12 of 26 executive positions, 46 percent) participate. The workshop is offered annually.</i></p> <p><i>Furthermore, the INP gave its commitment to the Leibniz Leadership Academy – a Leibniz internal programme with workshops and networking options within all interested executives in Leibniz institutes. In 2022, Dr Kruth participated in pilot seminars, and in 2023 Dr van Helden participates in the activities of the Leadership Academy.</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 advice at the INP.</i></p> | <p><i>Career development (28), Value of mobility (29), Access to career advice (30), Relation with supervisors (36).</i></p> | <p><i>Q3/2021</i></p> <p><i>NEW: Q4/2024</i></p> | <p><i>Board of Directors, Dept. Communication</i></p> | <p><i>Adoption of concept for conversation and support.</i></p> |
| <p>Current status: ONGOING</p> | <p>Remarks: <i>The development of the working group on career support is more time-consuming than previously planned. Responsibility for this has been assumed by a member of the Board of Directors and has already been addressed in the HR working group. Individual elements and expertise are already in place at the institute to shape targeted career planning and counselling. One part, for example, is the potential analysis, which is currently assigned to the employee interviews but does not find any meaningful application there. The Board of Directors receives additional support here from the staff. At the same time, as part of strategic personnel planning, a list of the competencies available at the company up to the</i></p> | | | |

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| | <p>end of 2023 is being drawn up, which will also be included in the career counselling.</p> <p>For this reason, the time frame for the action must be extended until the career advisory group is fully in place.</p> <p>NEW time line Q2/2025</p> | | | |
| <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>Teaching (33), Continuing Professional Development (38)</p> | <p>Q3/2022</p> | <p>HR dept.</p> | <p>Documentation of seminar attendance,</p> <p>Indicator: improved teaching abilities evaluation via university students rating.</p> |
| <p>Current status: COMPLETED</p> | <p>Remarks: With the great support of the professors who hold teaching positions at the regional universities in Rostock and Greifswald, it was also possible to open up teaching opportunities for other scientists. The universities both have well-equipped didactics chairs with corresponding offers for didactic training. These trainings are regularly given in the internal news ticker. In addition, the graduate academies of both universities offer corresponding training courses for doctoral students and postdocs, about which comprehensive information is also provided regularly once a month in the news ticker. A budget has been set aside for any course fees that may be incurred in the working groups and for equalization.</p> <p>Due to the Corona pandemic, a reliable evaluation could be conducted for the teaching activities. This will only be done from 2023 with the start of regular lectures.</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</i></p> | <p>Relation with supervisors (36), Supervision and managerial duties (37), Continuing Professional Development (38), Supervision</p> | <p>Q1/2021–Q4/2022</p> <p>NEW</p> <p>Q1/2024</p> | <p>HR dept., Board of Directors</p> | <p>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</p> |

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| <i>and implied issues.</i> | (40) | | | <i>executives.</i> |
| Current status: ONGOING | <p>Remarks:</p> <p><i>In May 2021, the INP Board published the results of the in-house survey of PhD students and their working conditions. The survey showed a basically positive situation for the PhD students. They were satisfied with the supervision and communication within the working group. Internal and external offers were mostly known and used.</i></p> <p><i>However, with the Corona pandemic, participation in the offers has been decimated. The tense situation was addressed and discussed during the annual closed meeting in 2023. As a result, a task force was established consisting of the PhD student spokespersons, the supervising professors at INP and two experienced staff members from the junior researcher support, which will meet regularly from April 2023 to address the issue of supervision and PhD student support. In their area of responsibility, the annual training for the supervising persons will also be developed.</i></p> <p><i>Therefore, we need to extend the schedule for the action.</i></p> | | | |
| (new actions) | | | | |
| ACTION 18 <i>Updating exit work flow including exit interview and training for executive personnel: update the structured offboarding process including a well-thought-out exit interview is important for employer to understand fluctuation and become better work place.</i> | <i>Working conditions (24), Continuing Professional Development (38),</i> | Q2/2025-Q1/2026 | <i>HR dept., heads of departments, Management Support</i> | <i>Guidelines drafted and published in intranet, established seminar format and first execution, documentation of seminar incl. feedback of participants and presenters, follow-up feedback.</i> |
| ACTION 19 <i>Establishment of an annual training for Intellectual property and implied issues for employees at the INP</i> | <i>Intellectual property rights (31), Access to research training and continuous development (39),</i> | Q3/2024-Q3/2025 | <i>Legal Dept. of Administration and Management Support</i> | <i>documentation of seminar incl. feedback of participants and presenters, follow-up feedback. Implementation and evaluation.</i> |
| ACTION 20 | | Q3/2023-Q1/2024 | <i>Management</i> | <i>Adoption and</i> |

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| <p>Update of the Internationalisation Strategy in regard to specific requirements of international researchers for working conditions</p> | | <p>and Q1/2025, Q1/2026</p> | <p>support, Board of directors</p> | <p>publication of updated strategy and implied measures; Start of implementation and first feedback with high rate of awareness and acceptance among institutes stakeholders during annual retreat in 2024, follow-up in 2025 and 2026 during the annual retreat with evaluation.</p> |
| <p>ACTION 21</p> <p>Revision and update of the onboarding process:</p> <ul style="list-style-type: none"> - Update of the onboarding seminar with special focus on international colleagues, - Update of the desk poster with important inhouse contacts and hints, - Revision of the communication and collegial integration. | | <p>Q3/2024-Q1/2026</p> | <p>Dept. Communication, Management Support, HR dept.</p> | <p>Documentation of onboarding meetings, high attendance of onboarding meeting among new employees (minimum 75 percent, higher among new employees with international background),</p> |
| <p>ACTION 22</p> <p>Major Information campaign for young scientists and young leaders: on their options and obligations deriving from the personnel development concept, doctoral students' guidelines in close cooperation</p> | | <p>Q3/2023 – Q1/2026</p> | <p>Board of directors, Dept. Communication</p> | <p>Documentation and attendance of the mentioned events by: number of participants, anonymous feedback form and qualified feedback with randomly carried-out interviews with participants.</p> <p>Follow-up survey among young scientists</p> |

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| <p><i>with the spokespersons of doctoral students, contact person for postdoctoral scientists and task force for doctoral students:</i></p> <ul style="list-style-type: none"> - <i>Day for Doctorate,</i> - <i>Updated PhD seminars in a mixed format with general information plus scientific part,</i> - <i>Participation on PhD and PostDoc events of local cooperating universities and among institutes organised in Leibniz Association,</i> - <i>PostDoc Day.</i> | | | | <p><i>based on the survey from 2021 with increased awareness for offered options and again high satisfaction.</i></p> |
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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.

(Initial Phase)

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.

**(Comments on the implementation of the OTM-R principles – internal review for interim assessment)
How works the INP towards OTM-R based policy?**

The establishment and the implementation of an open, transparent and merit-based recruitment (OTM-R) at our institute was already launched before the HR excellence Award was addressed. But in the course of the gap analysis, the scattered individual activities were merged into one policy and guideline.

The associated measures can be sorted into three parts.

Part one aimed at a broad publicity in the house, in which at seminars to the execution of interviews at the INP one referred as well as the documents on the INP web page and the Intranet bilingual in German and English were made available. Actions 4 to 7 were also located in this field of action: A4 with the trainings on interviews and recruitment directly pointed out to the policy, A5 on the revision of the recruitment strategy, A6 with the revision of the recruitment and selection processes, and A7 with the specific guidance on how to deal with queries from candidates who dropped out in the application process would accomplish the policy. In parallel with the update of the Works Agreement on Staffing, the OTM-R Guidelines were reviewed for currency and accuracy. In progress is the development for the internal guide for OTM-R procedures and practices.

Part two focussed on establishing an overall assessment system for OTM-R and implied issues. So far two feedback rounds are established for newly recruited colleagues after six weeks and after six months covering the performance of the candidate, the settling within the team and the successful onboarding as well as the recruitment and selection process as experienced by the head of the department as well as the new colleague.

The collected feedback of members of the selection process sums up to an institutionalised course of action in the sense of OTM-R, a well-structured onboarding process but gaps in the communication process and low awareness of the documents themselves referring to the OTM-R guidelines.

Part three of the OTM-R related activities included a full use of options on the EURAXESS site. We updated the profile and the options offering us as a host organisation. Furthermore, the guidelines for the feedback on unsuccessful interviewees are in progress.

Short commentary demonstrating the progress of implementation vs initial phase

Several actions and measures cross-connected with actions deriving from the gap analysis have been started and progress towards a better OTM-R based policy and implementation has been made. Still, we lack an effective and time-saving assessment system which will be an important task for the next time period.

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: <https://www.inp-greifswald.de/en/career/human-resources-strategy-for-researchers-hrs4r/>

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 |
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| <p>How will the implementation committee and/or steering group regularly oversee progress?</p> | <p>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.</p> |
| <p>How do you intend to involve the research community, your main stakeholders, in the implementation process?</p> | <p>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.</p> <p>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.</p> |
| <p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation’s research strategy, as the overarching</p> | <p>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</p> |

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| 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 falls 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 |

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Overview to Implementation process of internal assessment

| Checklist | *Detailed description and duly justification |
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| <p>How have you prepared the internal review?</p> | <p>Throughout the entire period of implementing the tasks from the Action Plan, the EURAXESS Working Group coordinated and monitored their performance, compliance with the assumed goals and observed the deadlines. Before commencing the tasks, the EURAXESS Working Group presented the Action Plan within the particular groups consisting of representatives of all departments and units involved in its implementation. That applied to the HR department, the Department for Communication, Management Support, all heads of research departments and research programmes, the Works Council and the Board of Directors. Therefore, all units knew what to do and when to do it. Before preparing the internal review, representatives of the EURAXESS Working Group gathered information from individual departments regarding the implementation of the tasks. Furthermore, they presented the development of all tasks to the Steering Committee and discussed the implementation and future tasks. Then, the implementation of the tasks among all members of the EURAXESS Working Group was discussed, the strengths and weaknesses of the implemented action plan were analysed, and actions that should be improved in the future were identified. New tasks were planned, which mainly resulted from the weaknesses of the previous activities.</p> |
| <p>How have you involved the research community, your main stakeholders, in the implementation process?</p> | <p>The entire academic community was familiarised with the principles of Charter and Code at the stage of the INP applying for the HR Excellence in Research Award.</p> <p>From the beginning of the entire application process, the contact persons were clearly communicated, which facilitated efficient communication with the researchers. The employees of the INP were informed that in the event of any doubts, questions or observations regarding the implementation of the principles of Charter and Code they can address the contact persons provided.</p> <p>The process of the HRS4R has been monitored by the EURAXESS Working Group who then reports to the Steering Committee. At least twice per year the Steering Committee received a detailed status report by the EURAXESS Working Group. The oversight function of that committee assured that the process suits the needs of the research</p> |

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| | <p>community as the main stakeholder. The EURAXESS Working Group itself is mainly composed of researchers of all career stages but encompasses also technicians, representatives of the works council, the management support, the administration and the gender equality officer. That ensured a strong involvement of the main stakeholders within that process.</p> <p>Several times per year, all employees are invited to meetings, where we informed them about all recent developments and upcoming actions. Here, we gave room for questions and an open discussion for potential adjustments. In addition, we addressed the research group meetings where we are able to reach each and everyone of the INPs employees.</p> <p>We had additional meetings with research workers at various levels of scientific experience in order to obtain additional information regarding e.g., the research strategy, research plan, financial management as part of scientific activities, good research practices, popularisation of science, career counselling, co-authorship, conciliation commission, recruitment process and various forms of grants.</p> <p>During the annual retreat of all executives, the Board of Directors, representatives of the HR Department and the Works Council as well as the gender equality officer, the activities within HRS4R were discussed and actions carried out.</p> <p>Further meetings of the INP staff but also during the workshops of the Management Support as well as during the annual women’s assembly representatives of the EURAXESS Working Group reported on the activities for HRS4R and collected feedback and ideas for development.</p> |
| <p>Do you have an implementation committee and/or steering group regularly overseeing progress?</p> | <p>At the stage of applying for the HR Excellence in Research Award, 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 to the units responsible to initiate, and monitor progress.</p> <p>All developments were continuously documented and discussed during their meetings.</p> <p>The EURAXESS Working Group reported 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</p> |

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| | <p>works council, and the gender equality officer.</p> <p>The EURAXESS Working Group consists to date of the following persons:</p> <p>Prof. Klaus-Dieter Weltmann Chairman of the board and scientific director, Head of Research Division “Environment and Health” (R4), Board of directors,</p> <p>Prof. Thomas von Woedtke Scientific board member, Internal communication, Head of Research Programme “Plasma Medicine” (R4), Board of directors,</p> <p>Prof. Dirk Uhrlandt Scientific board member, Head of Research Division “Materials and Energy” (R4), Board of directors,</p> <p>Jens Berger Chief Financial Officer, Head of Administration and Infrastructure, Board of directors,</p> <p>Dr. Hans Sawade Head of Management Support,</p> <p>Gabriele Lembke Head of Human Resources Department, Administration,</p> <p>Nadja Dahlhaus Deputy Head of Dept. Communication and Data Security Officer</p> <p>Sabrina Ehmke Finance Department, Administration</p> <p>Dr. Christine Zädow Gender equality officer, EU affairs, Management Support,</p> <p>Prof. Dr. Ronny Brandenburg Programme manager of Plasma Chemical Processes (R4), (Junior) Academic staff,</p> <p>Dr. Sybille Hasse Head of Department for Plasma Life Science (R3), (Junior) Academic staff,</p> <p>Dr. Sander Bekeschus Head of Research group Plasma Redox Effects (R3), (Junior) Academic staff,</p> <p>Dr. Diego Gonzalez Head of Research Programme Welding and Switching (R3), (Junior) Academic staff,</p> <p>Dr. Henrike Brust former Head of Research Group Plasma Agriculture (R3), (Junior) Academic staff,</p> <p>Dr. Thalita Nishime Scientific employee/ Post doc (R2), (Junior) Academic staff,</p> <p>Dr. Katja Zocher Scientific employee/ Post doc (R2), (Junior) Academic staff,</p> <p>Dr. Markus Becker Head of Dept. Plasma Modelling and Data Science/ Post doc (R3), (Junior) Academic staff,</p> <p>Dr. Hans Höft Scientific employee/ Post doc (R2), (Junior) Academic staff,</p> |
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| | <p>Dr. Milko Schiorlin Scientific employee/ Post doc (R2), (Junior) Academic staff and member of works council,</p> <p>Anna Dorsch Spokesperson of doctoral students (R1), (Junior) Academic staff,</p> <p>Tony Krüger Spokesperson of doctoral students (R1), (Junior) Academic staff,</p> <p>Felix Nießner Technician, Plasma Medicine, Technical staff,</p> <p>Gabriele Henkel Technician, Plasma Radiation Technology / member of works council,</p> <p>Daniel Köpp Technician, Plasma Surface Technology / member of works council.</p> <p>At the first introductory meeting in 2020, a plan for applying for and implementing the activities related to the HR Excellence in Research Award was presented, as well as the division of duties and the way of communicating within the Working Group. After receiving the HR Excellence in Research Award, another meeting was organised to discuss the action plan and its implementation in detail.</p> <p>At the stage of implementing the action plan, the representatives of the Management Support within the EURAXESS Working Group coordinated the actions associated with the implementation of the Charter and Code recommendations. They organised meetings with the members of the EURAXESS Working Group in order to communicate the action plan, deadlines and the roles of individual group members.</p> <p>In addition, they were responsible for maintaining constant contact with the members of the Board of Directors, informing them about the progress in task implementation. They proposed provisions in line with Charter and Code to be included in the new documents being prepared, and had personal meetings with other departments of the INP responsible for specific areas of activity related to the HR Excellence in Research Award. At such meetings, specific persons, employees of individual departments, responsible for monitoring and performing tasks within their areas of activity, were indicated. Then, the potential deadline for completing the tasks and the manner of communication regarding its performance were specified. Before preparing the report, representatives of the EURAXESS Working Group collected information from specific people, the representatives of individual departments or projects, involved in the implementation of the tasks from the action plan.</p> |
| <p>Is there any alignment of</p> | <p>The Action Plan and the OTM-R policy and guidelines are published at</p> |

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| <p>organisational policies with the HRS4R? F.e., is the HRS4R recognized in the organisations research strategy, overarching HR policy ...</p> | <p>the institutes’ website and are 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 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 within the activities for HRS4R to be updated and refined. Working closely together with the Board of Directors and the HR department assures that the updated institutes strategy recognizes HRS4R and both Code and Charter.</p> <p>The Statute of the INP does not directly refer to the HR Excellence in Research Award, but the assumptions and objectives set out in the Mission statement of the INP are consistent with the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, according to which the INP serves the society and the economy by conducting scientific research and using the latest scientific and technical achievements to train highly qualified engineering and scientific staff. Basing on respect for dignity and human rights, respect for freedom in the pursuit of truth, respect for knowledge and skills, and openness to new ideas and a variety of views, the Leibniz Institute for Plasma Science and Technology strives to ensure the highest standards in research, and ensures the development of its material base. It deepens the cooperation with universities, research facilities and the business environment by supporting entrepreneurship, innovation and technology transfer. It pursues its goals through care for the comprehensive development of the entire academic community in the field of engineering, technical and natural sciences.</p> |
| <p>How has your organisation ensured that the proposed actions would be also implemented?</p> | <p>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 received a detailed status report by the EURAXESS Working Group. The implementation of several actions falls under responsibility of the Scientific Director and the Board of Directors and they are 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.</p> |

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| | <p>Already at the stage of preparing the action plan, the EURAXESS Working Group analysed the task proposals with the relevant departments or projects in order to verify whether they were feasible. The EURAXESS Working Group selected tasks for those involved, so that the tasks were related to the basic duties of these employees. After the Action Plan had been approved by the evaluators, it was sent to all persons involved so that they knew what to do and when to do it. In addition, each department involved in the implementation of the tasks met with the representatives of the Management Support among the EURAXESS Working Group, coordinators of the activities planned as part of the HR Excellence in Research Award. Moreover, they participated in meetings and trainings with other institutions which received the HR Excellence in Research Award.</p> <p>These meetings served to broaden the knowledge in the above topic and exchange good practices, which were then used at INP in order to streamline the process of implementing the tasks from the action plan. Appropriate promotional actions helped in the implementation of the planned activities, e.g., organisation of trainings. The combination of promotional actions with good practices and contact with relevant departments ensured the implementation of the action plan.</p> <p>Furthermore, through all activities carried out within the frame of the current action plan the awareness for the intention of HR Excellence in Research grew higher and we strive for all employees to understand the importance by maintaining the regular level of communicating the actions, related events and overall success.</p> |
| <p>How are you monitoring progress (timeline)?</p> | <p>The installed EURAXESS Working Group closely monitored the implementation of all actions throughout the implementation phase with a time plan reflecting the actions feed into a detailed Gantt chart. 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.</p> <p>At the beginning, a meeting of the entire EURAXESS Working Group was held, where the tasks and their timeline were discussed. Then, the plan was presented to all departments participating in the implementation of the assumed tasks. Biannually team meetings took place, during which information on the implementation of the tasks was discussed, what had been done and what still needed to be done. Based on this data, the action plan was updated. Before the report was prepared, information had been collected from individual departments regarding</p> |

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| | the task implementation, which allowed the report to be draw up. |
| How will you measure progress (indicators) in view of the next assessment? | <p>The installed EURAXESS Working Group collected data and documents regarding the indicators of the action plan. It reviewed in regular intervals whether the indicators remain valid to achieve the respective goal. Potential adjustments towards the indicators were documented. The documentation and revisions feed into the next assessment of the HRS4R to assure best long-term results.</p> <p>With the experience of the first 24 months, we will continue to gain feedback from the established focus groups for doctoral students and postdoc researchers, as well as international researchers.</p> <p>We create (if not yet available) indicators such as participant numbers, satisfaction surveys within focus groups or the general staffing, statistics for applications (number, duration of procedures, etc.), collection of feedback interviews (exit, feedback interviews after 6 weeks after hiring, etc.) – but for many of those indicators we may only capture a tendency and less quantitative indicators. But we also learned that documented tendencies mostly indicate qualitative changes, which we will discuss in the described manner.</p> <p>A comprehensive survey will be conducted to receive the feedback of the employees on the implementation and impacts for their working environment.</p> |
| How do you expect to prepare for the external review? | <p>All extended and new actions as well as the activities in progress and the measures related to a better implemented OTM-R policy contain several tasks to tackle within the upcoming implementation period of 36 month until the external review.</p> <p>The experience of the last 24 months revealed gaps and weaknesses as described in the internal evaluation for the Action Plan and the mediocre awareness among the staff at the INP. As described a regular and intensive information programme connected to the actions will raise awareness and motivation for all activities.</p> <p>We will use the newly build networks and support to prepare in a best possible way for the external review.</p> |
| Additional remarks/ comments about the proposed implementation process. | |