

Human Resources Strategy for Researchers (HRS4R)

The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers at Johannes Gutenberg-University Mainz

June 2018

Action Plan for Implementation

JGU has decided to pool its human resource activities for researchers and implement them within the framework of the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code), and to strategically align them with the Human Resources Strategy for Researchers (HRS4R).

On the basis of an internal gap analysis in 2015, the University Management Board discussed an action plan for the period of 2016 to 2020 which shall be implemented in close coordination with the strategic orientation of JGU. JGU has grouped the planned actions:

- Good practice in research, ethical and professional aspects (4 actions)
- Recruitment (3 actions plus 4 new actions)
- Working conditions and social security (9 actions)
- Training and professional development (7 actions)

After the first two years of implementing the HR strategy for researchers, an interim report was submitted to the EU, and the action plan has been revised on the basis of current developments and priorities. The following table summarises the actions planned at JGU over the coming three years. For each action, it gives an overview of the intended objectives, and the tasks and milestones which will guide the implementation of the actions. Each action continues to have a dedicated lead responsibility, and where necessary, includes further departments, organisation units or stakeholders. Implemented tasks and milestones have been greyed out to indicate the status of each action item as of June 2018.

The Gantt Chart at the end outlines the updated time schedule for implementation.



Good Practice in Research, Ethical and Professional Aspects



Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility
4.1 Good Practice in Research, Ethical and Professional Aspects	4.1.1 Commission for ethics in security-relevant research	<ul style="list-style-type: none"> - Screen non-life-science research at JGU for ethical issues - Improve procedures for ensuring ethical research practice at JGU - Establish a “back-up” solution for researchers and project in faculties without a separate ethics commission 	<p>Several faculties have implemented their own ethics commissions. For a “back-up” solution, the tasks are</p> <p>T1: decide on institutional position and members</p> <p>T2: develop indicators and review criteria</p> <p>T3: establish procedure for receiving project information and for project review</p> <p>M1: workflow established and communicated</p> <p>T4: continuous implementation</p>	<p>S, CRP</p> <p>CRP</p>
	4.1.2 Guidelines for Academic Integrity	<ul style="list-style-type: none"> - Set standards - Warrant that all researchers at JGU are aware of and can relate to academic integrity policy - Ensure that academic integrity is central to self-understanding of researchers at JGU 	<p>T1: adopt guidelines</p> <p>M1: guidelines are adopted and published on website: www.akin.uni-mainz.de/toolbox-kontroll-ma/</p> <p>T2: devise action plan for areas in need of improvement and define rules of enforcement</p> <p>M2: action plan completed</p> <p>T3: implement action plan and sanctions</p>	<p>S</p> <p>UL</p>

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility
4.1 Good Practice in Research, Ethical and Professional Aspects	4.1.3 Information Strategy for Third-Party Funding	Ensure researchers are informed about their rights and responsibilities within more elaborate and specific funding lines	<p>T1: implement pilot phase for projects funded in HORIZON 2020</p> <p>M1: guidelines are completed and information formats are tested</p> <p>T2: evaluate pilot phase and results of tested formats</p> <p>T3: define overall strategy for information, including monitoring and feedback</p> <p>M2: formats are defined and contents planned for major funding agencies</p> <p>T4: implement strategy, re-evaluate based on feedback</p>	<p>EU-Office (RT)</p> <p>FIN, ZQ</p>
	4.1.4 Transfer Audit	<ul style="list-style-type: none"> - Identify additional opportunities for knowledge and technology transfer - improve awareness for transfer options in all areas of research and academic activity 	<p>T1: complete audit steps outlined by auditing agency</p> <p>T2: Define policy and action plan as part of audit</p> <p>M1: Publish transfer policy and action plan on website</p> <p>T3: Implement audit recommendations</p> <p>M2: revise and update (policy and) action plan based on first implementation effects</p> <p>T4: continuous implementation</p>	<p>UMB, RT</p>

Recruitment

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.2 Recruitment	4.2.1 Project “Optimize professorial appointment procedures”	<ul style="list-style-type: none"> - Ensure quality standards, transparency, and strategic relevance of new professorial appointments 	<p>T1: complete pilot project in the Faculty of Biology</p> <p>M1: pilot is completed</p> <p>T2: review and evaluate pilot,</p> <p>T3: develop guidelines to ensure that pilot results can be transferred to other faculties and areas of strategic research importance</p> <p>M2: guidelines published</p> <p>T4: continuous implementation and monitoring</p>	EO, HR, FB, SP
	4.2.2 Publication of academic job vacancies on EURAXESS	<ul style="list-style-type: none"> - Aim for wide dissemination of open positions - Increase share of researchers recruited from abroad - Help towards finding the best candidate for the opening - Contribute towards improving quality and visibility of EU-wide tools 	<p>T1: devise procedure to be adhere to for preparing job description and requirements</p> <p>T2: clarify responsibilities of PIs, Institutes, Faculties and central administration</p> <p>M1: procedure and responsibilities are clearly communicated</p> <p>T3: continuous implementation</p>	HR, FB, researchers in leadership positions

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.2 Recruitment	4.2.3 Manual for researcher recruitment and selection	<ul style="list-style-type: none"> - Update existing guidelines for personnel recruitment - Better tailor recommendations to needs of researchers - Work towards a fully open, transparent and merit-based recruitment process at all levels of recruitment 	<p>T1: review existing guidelines as to their validity for researcher recruitment, in view of legal changes</p> <p>T2: update and -if necessary- specify existing guidelines</p> <p>M1: updated and improved guidelines are available</p> <p>T3: communicate and provide online access to updated guidelines</p>	HR
	4.2.4 Web portal for applicants and JGU employees	<ul style="list-style-type: none"> - provide all relevant information on HR policies, processes, and opportunities through one "point of entry" 	<p>M1: website online</p> 	HR
	4.2.5 IT-based applicant-management	<ul style="list-style-type: none"> - establish more efficient and timely e-recruitment and talent management - better monitor employment processes, including diversity management - tool for quality management 	<p>T1: define catalogue of requirements and specifications that IT tool needs to meet</p> <p>T2: identify, test, and procure or tailor appropriate IT solution</p> <p>M1: IT solution is available and in use for first applications</p> <p>M2: full implementation</p> 	HR

4.2 Recruitment	4.2.6 IT-based tool for professorial appointments	<ul style="list-style-type: none"> - allow the tracking of appointment processes - help university-wide roll-out of optimized appointment procedures 	M1: appropriate IT tool is in use for professorial appointments 	
	4.2.7 OTM-R assessment reporting	<ul style="list-style-type: none"> - regularly assess progress towards open, transparent and merit-based recruitment 	Ongoing; with every interim assessment of the JGU HRS4R, the status of OTM-R implementation will be evaluated 	UMB, HR, PC

Working conditions and social security

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.3. Working conditions and social security	4.3.1 Standards for balancing teaching, research and administration loads	<ul style="list-style-type: none"> - Create transparent basis for taking on positions in scientific self-administration - Balance research and teaching load for all researchers involved in teaching and supervision 	<p>T1: define clear and transparent indicators for appropriate loads within legal scope</p> <p>T2: establish workflow for implementation</p> <p>M1: indicators and criteria are established and communicated</p> <p>T3: handle all requests and negotiations according to established criteria and workflow</p> <p>T4: adapt criteria if necessary or legally required</p>	PC
	4.3.2 Strategy Paper “Rules for good employment”	<ul style="list-style-type: none"> - Reach consensus on meaning and importance of good employment at all staff levels - Improve working conditions and job security for researchers - Improve job prospects and transparency of career options 	<p>T1: conclude draft paper (Jan 2016)</p> <p>T2: internally and externally communicate contents and implication of paper</p> <p>M1: paper is published online, all staff levels are aware of strategy paper</p> <p>T3: create the necessary conditions for administrative implementation</p> <p>T4: implement and monitor</p>	UMB

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.3. Working conditions and social security	4.3.3 Central funding pool for “bridge employment”		Cancelled - objectives achieved through other means - negligible bottom-up interest	UMB
	4.3.4 Corporate health management strategy	<ul style="list-style-type: none"> - develop overriding strategy for health management at JGU - systematically expand measures to improve the health of its JGU employees 	T1: devise pilot project, define clear goals for pilot phase decide T2: secure funding for pilot phase M1: pilot phase can begin T3: implement pilot, including monitoring and evaluation of pilot M2: pilot phase is evaluated T4: establish procedure for continuous implementation	HR

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.3. Working conditions and social security	4.3.5 Leadership project: enhance tools with focus on performance reviews	Ensure that all employees, including researchers, can benefit from performance reviews and personal development meetings	Performance reviews and personal development meetings are established tools for personnel development at JGU, but are largely implemented in the administrative departments. Future focus will be on tailoring available tools to the needs of researchers, and raising levels of awareness and acceptance in research groups.	HR
	4.3.6 Diversity Audit	<ul style="list-style-type: none"> - Apply principles of non-discrimination to all areas of employment at JGU - Assure equal opportunities at all levels and in all areas of employment at JGU - Identify specific barriers to achieving non-discrimination and equal opportunities 	T1: complete audit steps as outlined by auditing agency T2: Define policy and action plan as part of audit process M1: Publish diversity policy and action plan on website T3: Implement audit recommendations M2: revise and update (policy and) action plan based on first implementation effects T4: continuous implementation	UMB

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.3. Working conditions and social security	4.3.7 Total E-Quality Audit	<ul style="list-style-type: none"> - continually improve overriding and structural measures at JGU to support equal opportunities - document existing and planned measures at regular intervals 	<p>T1: complete audit steps as outlined by auditing agency</p> <p>T2: Define further and/or improved measures as part of audit process</p> <p>M1: Publish measures and further action plan on website</p> <p>T3: implement audit recommendations</p> <p>T4: prepare for next audit (process repeated every three years)</p>	EO

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.3. Working conditions and social security	4.3.8 Research-oriented equal opportunities standards	<ul style="list-style-type: none"> - continually improve and monitor existing and planned measures to support equal opportunities at the level of the faculties - maintain awareness for targeted standards within the faculties 	<p>T1: monitor implementation of measures defined in final report to the German Research Foundation</p> <p>T2: Monitor impact of measures based on quantitative criteria set out in the DFG process</p> <p>T3: continue to develop and implement measures towards reaching Stage 4 the DFG process</p>	EO, FB
	4.3.9 Dual Career Services	<ul style="list-style-type: none"> - Increase attractiveness of JGU to top researchers with family obligations - Increase share of researchers recruited from abroad - Help towards finding the best candidate for the opening 	<p>T1: plan pilot phase</p> <p>T2: establish pilot services with clear goals</p> <p>M1: pilot phase completed</p> <p>T3: review and evaluate pilot phase, allowing for revision as appropriate</p> <p>T4: secure funding for continuous implementation</p> <p><i>M2: permanent services established</i></p>	HR, UMB

Professional Development and Training

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.4 Professional Development and Training	4.4.1 Structured doctoral training	<ul style="list-style-type: none"> - Continue to improve doctoral training at JGU - Give best possible preparation for maximum employability 	JGU will continue to apply for external funding for structured doctoral training based on appropriate concepts for the disciplines involved. Internal measures to structure the training for doctoral students are continuously evaluated and adapted to cover relevant academic and non-academic skills. Research-orientation will remain a central element of doctoral training at JGU. Should faculties propose to establish cross-disciplinary graduate schools , such efforts will be encouraged and supported	GYR, ZQ
	4.4.2 Guidelines for supervision of doctoral students	<ul style="list-style-type: none"> - Based strongly on the principle of research training, ensure the quality of PhD-student supervision at JGU - Ensure clear and transparent supervision arrangements for doctoral students 	<p>T1: develop standards for supervision based on experience in existing structured doctoral programmes, e. g. MAINZ, TransMed</p> <p>T2: create standard templates with discipline-specific options and in line with examination regulations</p> <p>M1: templates are available for central download from pertinent websites http://www.gnk.uni-mainz.de/enq/254.php</p> <p>T3: promote use of templates in all faculties</p> <p>T4: after period of introduction, establish process for use in all faculties</p>	GYR

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.4 Professional Development and Training	4.4.3 Broaden portfolio of transferable skills training for young researchers (ethics, IP, entrepreneurial skills)	<ul style="list-style-type: none"> - Continuously customise transferable skills training to the needs of (young) researchers - Broaden options for entrepreneurial and transfer-related skills 	Existing programmes are continuously evaluated and adapted on the basis of participant feedback, bottom-up requests and new ideas generated in faculties and administration. In order to secure a stronger focus on entrepreneurial and transfer-related skills, various new formats will be tested and new course providers will be scouted.	GYR, ZQ, HR, RT
	4.4.4 Careers Services for Postdocs	Offer better career guidance for postdocs, in particular for non-academic career options	<p>T1: define strategy and clear goals for pilot phase</p> <p>T2: secure funding for pilot</p> <p>M1: plan for pilot phase complete, pilot initiated</p> <p>T3: review and evaluate pilot</p> <p>M2: pilot phase is evaluated</p> <p>T4: based on success of pilot, modify and decide upon approach to continuous implementation</p>	HR
	4.4.5 Mentoring for young (female) researchers in sciences	Strengthen young female students and researchers in the sciences	Existing programmes need to be monitored and continually improved and implemented according to their specific timelines. A key challenge will to be secure long-term funding	FB, EO


Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility*
4.4 Professional Development and Training	4.4.6 Development programme for researchers with executive functions	<ul style="list-style-type: none"> - Increase awareness of leadership responsibilities in senior researchers - Improve supervision and career development for young researchers - Professionalise management and leadership behavior of senior research staff 	<p>The existing programme is continuously evaluated and adapted on the basis of participant feedback and internal requests. To ensure that the needs of young researchers are respected, programme development will in part focus on ensuring that researchers in leadership positions are aware of their particular responsibility towards researchers under their supervision – not only towards their scientific development, but also towards their independence and personal career options.</p>	HR
	4.4.7 Tenure track	<p>Offer transparent and competitive academic career prospects for talented young researchers</p>	<p>T1: develop criteria for award and evaluation M1: general criteria, workflow established</p> <p>T2: communicate criteria, establish any related bodies or committees, handle applications</p> <p>M2: specific criteria established in the departments, first tenure-track positions filled</p> <p>T3: implement and continuously review criteria, workflow</p>	UMB, SP

	main responsibility	2016			2017				2018				2019				2020				
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
4.1. Good Practice in Research, Ethical and Professional Aspects																					
4.1.1 Commission for ethics in security-relevant research	UMB (S/CRP)	(faculty commissions established)							establish				continuous implementation								
4.1.2 Guidelines for academic integrity	UL (S)	(pilot for students)			adopt				action plan				implementation and enforcement								
4.1.3 Information strategy for third-party funding	FIN (RT)	pilot			evaluate, develop and test new formats							continuous implementation									
4.1.4 Transfer audit	UMB	audit phase			define actions and strategy				implementation of audit recommendations, action plan												
4.2 Recruitment																					
4.2.1 Project "Optimize professorial appointment procedures"	EO	complete pilot							evaluate pilot, plan transfer				transfer results to continuous implementation								
4.2.2 Publication of academic job vacancies on EURAXESS	HR (FB)	devise procedure							ongoing publication												
4.2.3 Manual for researcher recruitment and selection	HR	update and communicate																			
4.2.4 Web portal for applicants and JGU employees	HR	design, collect info																			
4.2.5 IT-based applicant management	HR	define requirements													purchase etc.						
4.2.6 IT-based tool for professorial appointments	HR	purchase and implement software													continuous use						
4.2.7 OTM-R assessment reporting	UMB (HR, PC)	ongoing																			
4.3 working conditions and social security																					
4.3.1 Standards for balancing teaching, research and administration load	P&C	define indicators							implementation												
4.3.2 Strategy paper "Rules for Good Employment at JGU"	UMB	devise procedure													implementation						
4.3.3 Central funding pool for "bridge employment"	UMB	analysed, cancelled																			
4.3.4 Corporate health management strategy	UMB	plan			pilot project							evaluate pilot				implementation					
4.3.5 Leadership project: enhance tools with focus on performance reviews	HR	ongoing																			

4.3.6 Diversity audit	UMB	audit phase	define policy and actions	M	implementation of audit recommendations	M	action plan														
4.3.7 Total e-Quality audit	EO		audit		implementation	M	of audit recommendations			audit											
4.3.8 Research-oriented equal opportunities standards	FB (PC)	ongoing																			
4.3.9 Dual career services	HR	plan			pilot services			M	evaluate pilot, revise									M	ongoing support		
4.4 Professional Development and Training																					
4.4.1 Structured doctoral training programmes	GYR (QAD)	ongoing																			
4.4.2 Guidelines for supervision of doctoral students	GYR (GA, FAC)	development				M	establish rules for continuous implementation in the faculties														
4.4.3 Broaden portfolio of transferable skills training for young researchers (ethics, IP, entrepreneurial skills)	GYR (HR, ZQ, RT)	ongoing																			
4.4.4 Careers Services for Postdocs	HR	plan			M	pilot			evaluation				M	ongoing implementation							
4.4.5 Mentoring for young (female) researchers in sciences	FB (EO)	ongoing (re-evaluation every two to three years)																			
4.4.6 Development programme for researchers with executive functions	HR	ongoing																			
4.4.7 Procedures for tenure track	UMB (SP)	development			M	test				M	ongoing implementation										
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
		2016				2017				2018				2019				2020			

Symbols and Abbreviations:

CRP Senate Committee on Research Promotion
EO Equal Opportunities Office
FB Faculties
FIN Financial Department
GA Gutenberg Academy
GYR Gutenberg Council for Young Researchers
HR Human Resources
PC Planning and Controlling

ZQ Centre for Quality Assurance and Development
RT Research and Technology Transfer
S Senate
SP Strategic Planning
UL University Library
UMB University Management Board
M Milestone
 Evaluations (internal and external)

