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

March 2016

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)
- Working conditions and social security (9 actions)
- Training and professional development (7 actions)

The following table summarises the actions planned at JGU. 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 has been assigned a dedicated lead responsibility, and where necessary, further departments, organisation units or stakeholders will be involved. The Gannt Chart at the end outlines the time schedule for implementation.

Good Practice in Research, Ethical and Professional Aspects

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibilty
4.1 Good Practice in Research, Ethical and Professional Aspects	**4.1.1** **Commission for ethics in security-relevant research**	- Screen non-life-science research at JGU for ethical issues - Improve procedures for ensuring ethical research practice at JGU	T1: decide on institutional position and nominate members (Nov 2015) T2: develop indicators and review criteria T3: establish procedure for receiving project information and for project review M1: indicators and criteria, workflow established and communicated (January 2017) T4: continuous implementation	S, CRP CRP
4.1 Good Practice in Research, Ethical	**4.1.2** **Guidelines for Academic Integrity**	- 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	T1: adopt guidelines (in preparation) M1: guidelines are adopted and published on website (August 2017) T2: devise action plan for areas in need of improvement and define rules of enforcement M2: action plan completed (April 2018) T3: implement action plan and sanctions	S UL

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibilty
	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	T1: implement pilot phase for projects funded in HORIZON 2020 M1: guidelines are completed and information formats are tested (January 2017) T2: evaluate pilot phase and results of tested formats T3: define overall strategy for information, including monitoring and feedback M2: formats are defined and contents planned for major funding agencies (February 2018) T4: implement strategy, re-evaluate based on feedback	EU-Office (RT) FIN, ZQ
4.1 Good Practice in Research, Ethical and Professional Aspects	**4.1.4** **Transfer Audit**	- Identify additional opportunities for knowledge and technology transfer - improve awareness for transfer options in all areas of research and academic activity	T1: complete audit steps outlined by auditing agency T2: Define policy and action plan as part of audit M1: Publish transfer policy and action plan on website (April 2018) T3: Implement audit recommendations M2: revise and update (policy and) action plan based on first implementation effects (April 2020) T4: continuous implementation	UMB, RT

Recruitment

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibilty
4.2 Recruitment	**4.2.1** **Project "Optimize professorial appointment procedures"**	- Ensure quality standards, transparency, and strategic relevance of new professorial appointments	T1: complete pilot project in the Faculty of Biology M1: pilot is completed (December 2017) T2: review and evaluate pilot, T3: develop guidelines to ensure that pilot results can be transferred to other faculties and areas of strategic research importance M2: guidelines published (March 2019) T4: continuous implementation and monitoring	EO, HR, FB, SP
	4.2.2 **Publication of academic job vacancies on EURAXESS**	- 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	T1: devise procedure to be adhere to for preparing job description and requirements T2: clarify responsibilities of PIs, Institutes, Faculties and central administration M1: procedure and responsibilities are clearly communicated (April 2017) T3: continuous implementation	HR, FB, researchers in leadership positions

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibilty
4.2 Recruitment	**4.2.3** **Manual for researcher recruitment and selection**	- 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	T1: review existing guidelines as to their validity for researcher recruitment, in view of legal changes T2: update and -if necessary- specify existing guidelines M1: updated and improved guidelines are available (February 2018) T3: communicate and provide online access to updated guidelines	HR

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**	- Create transparent basis for taking on positions in scientific self-administration - Balance research and teaching load for all researchers involved in teaching and supervision	T1: define clear and transparent indicators for appropriate loads within legal scope T2: establish workflow for implementation M1: indicators and criteria are established and communicated (July 2017) T3: handle all requests and negotiations according to established criteria and workflow T4: adapt criteria if necessary or legally required	PC
	4.3.2 **Strategy Paper "Rules for good employment"**	- 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	T1: conclude draft paper T2: internally and externally communicate contents and implication of paper M1: paper is published online, all staff levels are aware of strategy paper (January 2017) T3: create the necessary conditions for administrative implementation T4: implement and monitor	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"**	- Improve working conditions and job security for researchers, in particular for researchers on third-party funded positions	T1: clarify legal and formal options for implementation as basis for rules T2: discuss and agree upon rules for implementation and evaluation criteria M1: funding pool and rules for use are established (October 2017) T3: handle applications for funds from pool, evaluate impact and approval ratings	UMB
	4.3.4 **Corporate health management strategy**	- 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 (April 2017) T3: implement pilot, including monitoring and evaluation of pilot M2: pilot phase is evaluated (September 2019) T4: establish procedure for continuous implementation	HR
	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 this be on tailoring available tools to the needs of researchers, and raising levels of awareness and acceptance in research groups.	HR

Area	Action Item	Objectives	Involved Tasks (T) and Milestones (M)	Internal responsibility
4.3. Working conditions and social security	**4.3.6** **Diversity Audit**	- 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 (May 2018) T3: Implement audit recommendations M2: revise and update (policy and) action plan based on first implementation effects (March 2020) T4: continuous implementation	UMB
	4.3.7 **Total E-Quality Audit**	- continually improve overriding and structural measures at JGU to support equal opportunities - document existing and planned measures at regular intervals	T1: complete audit steps as outlined by auditing agency T2: Define further and/or improved measures as part of audit process M1: Publish measures and further action plan on website (July 2018) T3: implement audit recommendations T4: prepare for next audit (process repeated every three years)	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**	- 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	T1: monitor implementation of measures defined in final report to the German Research Foundation T2: Monitor impact of measures based on quantitative criteria set out in the DFG process T3: continue to develop and implement measures towards reaching Stage 4 the DFG process	EO, FB
	4.3.9 Dual Career Services	- Increase attractivity of JGU to top researchers with family obligations - Increase share of researchers recruited from abroad - Help towards finding the best candidate for the opening	T1: plan pilot phase T2: establish pilot services with clear goals M1: pilot phase completed (December 2018) T3: review and evaluate pilot phase, allowing for revision as appropriate T4: secure funding for continuous implementation M2: permanent services established (January 2020)	HR, UMB

4.4 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**	- 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	- 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	T1: develop standards for supervision based on experience in existing structured doctoral programmes, e. g. MAINZ, TransMed T2: create standard templates with discipline-specific options and in line with examination regulations M1: templates are available for central download from pertinent websites (March 2017) T3: promote use of templates in all faculties T4: after period of introduction, establish process for use in all faculties	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)**	- 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	T1: define strategy and clear goals for pilot phase T2: secure funding for pilot M1: plan for pilot phase complete, pilot initiated (January 2017) T3: review and evaluate pilot M2: pilot phase is evaluated (October 2018) T4: based on success of pilot, modify and decide upon approach to continuous implementation	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**	- 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	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.	HR
	4.4.7 Tenure track	Offer transparent and competitive academic career prospects for talented young researchers	T1: develop criteria for award and evaluation M1: general criteria, workflow established (December 2016) T2: communicate criteria, establish any related bodies or committees, handle applications M2: specific criteria established in the departments, first tenure-track positions filled (July 2017) T3: implement and continuously review criteria, workflow	UMB, SP

Gantt chart Action Plan

Task	main responsibility	2016			2017				2018				2019				2020				proposal page
		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)	establish		(M)	continuous implementation																11
4.1.2 Guidelines for academic integrity	**UL** (S)	(pilot for students)			adopt (M)	action plan (M)		implementation and enforcement													12
4.1.3 Information strategy for third-party funding	**FIN** (RT)		pilot	(M)	evaluate, define formats (M)		continuous implementation														13
4.1.4 Transfer audit	**UMB**		audit phase		define actions (M)		implementation of audit recommendations, (M) action plan														15
4.2 Recruitment																					
4.2.1 Project "Optimize professorial appointment procedures"	**EO**	complete pilot					(M)	evaluate pilot, plan transfer (M)	transfer results to continuous implementation												17
4.2.2 Publication of academic job vacancies on EURAXESS	**HR** (FB)	devise procedure		(M)	ongoing publication																18
4.2.3 Manual for researcher recruitment and selection	**HR**		update and communicate		(M)																18; 25
4.3 working conditions and social security																					
4.3.1 Standards for balancing teaching, research and administration load	**P&C**		define indicators		(M)	implementation															21
4.3.2 Strategy paper "Rules for Good Employment at JGU"	**UMB**	devise procedure	(M)		implementation																23
4.3.3 Central funding pool for "bridge employment"	**UMB**	discuss rules		establish (M)	implementation																23
4.3.4 Corporate health management strategy	**UMB**		plan	(M)	pilot project				evaluation of pilot (M)	implementation											25
4.3.5 Leadership project: enhance tools with focus on performance reviews	**HR**	ongoing																			26; 37
4.3.6 Diversity audit	**UMB**	audit phase			define policy and actions (M)	implementation of audit recommendations (M) action plan															27
4.3.7 Total e-Quality audit	**EO**			audit	implementation (M) of audit recommendations									audit							29
4.3.8 Research-oriented equal opportunities standards	**FB** (PC)	ongoing																			29
4.3.9 Dual career services	**HR**	plan		pilot services					(M) evaluate pilot, revise		(M) ongoing support										30

	main responsibility	2016			2017				2018				2019				2020				proposal page
		Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
4.4 Professional Development and Training																					
4.4.1 Structured doctoral training programmes	**GYR** (QAD)	ongoing																			32
4.4.2 Guidelines for supervision of doctoral students	**GYR** (GA, FAC)	development — M	establish rules for continuous implementation in the faculties																		32
4.4.3 Broaden portfolio of transferable skills training for young researchers (ethics, IP, entrepreneurial skills)	**GYR** (HR, ZQ, RT)	ongoing																			34
4.4.4 Careers Services for Postdocs	**HR**	plan — M	pilot	evaluation — M	ongoing implementation																34
4.4.5 Mentoring for young (female) researchers in sciences	**FB** (EO)	ongoing (re-evaluation every two to three years)																			34
4.4.6 Development programme for researchers with executive functions	**HR**	ongoing																			36
4.4.7 Procedures for tenure track	**UMB** (SP)	development — M	test — M	ongoing implementation																	37

Symbols and Abbreviations:

CRP	Senate Committe on Research Promotion	**ZQ**	Centre for Quality Assurance and Development
EO	Equal Opportunities Office	**RT**	Research and Technology Transfer
FB	Faculties	**S**	Senate
FIN	Financial Department	**SP**	Strategic Planning
GA	Gutenberg Academy	**UL**	University Library
GYR	Gutenberg Council for Young Researchers	**UMB**	University Management Board
HR	Human Resources	**M**	Milestone
PC	Planning and Controlling		Evaluations (internal and external)