WZB

Berlin Social Science Center

The Human Resources Strategy for Researchers incorporating the

European Charter for Researchers

and the

Code of Conduct for the Recruitment of Researchers

at the WZB

Self-Assessment

December 31, 2015

1 Introduction

The WZB is one of Europe's largest research institutes conducting basic interdisciplinary social research. Around 160 German and international researchers work at the WZB, including sociologists, political scientists, economists and legal scholars. The WZB is a non-profit limited company jointly financed by the Federal Government of Germany and the State of Berlin. It is a member of the Leibniz Association.

In April 2013, the WZB endorsed the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers. It fully committed to the 40 principles of "Charter & Code" and began to develop an HR strategy for researchers on this basis. The aim was to improve working conditions and to ensure attractive research careers within the European Research Area.

Subsequently the WZB carried out a gap analysis of its existing human resources schemes and measures. On this basis, it developed an HR strategy including a catalogue of specific actions, ensuring the alignment with all 40 principles of Charter & Code. The European Commission acknowledged the HR strategy and the efforts of the WZB and awarded it the "HR Excellence in Research" logo in June 2013. The WZB was the first research institution in Germany to receive this honor.

Key milestones of the HR strategy have since been implemented and are showing early success. In this report, the WZB presents the results of its self-assessment, which was carried out in an evaluation period until December 31, 2015. It gives account of the implementation status of the defined measures and their institutional impact.

Being fully convinced of the importance of a sound HR strategy and open, transparent and merit-based recruitment (OTM-R), the WZB will continue to work on the improvement of its standards and measures on personnel recruitment and development. It is proud of contributing to the full establishment of a lively European Research Area.

2 Procedure

The WZB's Academic Council discussed and approved the HR strategy including the action plan on June 11, 2013. The results were immediately reported to the European Commission, which awarded the WZB the "HR Excellence in Research" logo. All involved actors intensively focused on taking the defined measures and cared for the implementation of the HR strategy in the institution.

The following report depicts the implementation status and success of the actions which were specified in 2013. All relevant principles of Charter & Code will be addressed within the following sections:

- Ethical and Professional Aspects
- Working Conditions and Social Security
- Career Development and Training
- Recruitment

The HR strategy (as it was presented to the European Commission in 2013) was carefully evaluated with respect to the defined actions. Evidence was collected in order to substantiate the developments since the award of the "HR Excellence in Research" logo. It can be found in the annex. The report and the revised action plan are complementary. A color system shows the evaluation status of the actions: green (fully achieved), orange (partially achieved) or red (pending/not achieved).

The self-assessment was carried out by a working group with representatives from all internal parties involved: a researcher (postdoc level), a research manager, the Head of Personnel Service and Legal Matters, the Officer for Research and Career Development, the Equal Opportunities Commissioner and the Head of the Works Council. The diversity of this group represents the involvement of all status groups in processes of organizational development. This is usual practice at the WZB.

The results of the self-assessment were presented to the President of the WZB.

The Academic Council approved the self-assessment on February 23, 2016.

3 Summary of the internal self-assessment

The following sections give an overview of the current evaluation results with regard to the principles of Charter & Code and OTM-R. The action plan should be consulted additionally for detailed information on each single item.

3.1 Ethical and Professional Aspects (1–9, 13, 14, 19, 24, 25, 28, 29)

The guidelines for good scientific practice of the Leibniz Association were updated in November 2015. In combination with a company agreement[1] on academic misconduct and essential procedures, they ensure ethical standards at the WZB. The number of ombudspersons has been raised to two in 2015. These two senior researchers serve as a contact point in conflict situations or when scientific misconduct is suspected. The scope of the Ombudspersons has been extended and includes now also non-scientific staff, to ensure complete coverage of all potential conflict situations.

Furthermore, the WZB went through a process of establishing an Ethics Policy. For this purpose a survey on measures related to research ethics has been conducted and further need for improvement has been identified. Hence, an Ethics Policy has been developed and now serves as an instrument for governing the treatment of human research subjects and individually identifiable human subject data. It describes how the in-house evaluation process is carried out by an ethics committee. These procedures are often required by research funding institutions and scientific journals.

To disseminate its scientific results as openly and freely as possible, the WZB concluded an Open Access Policy in 2010. To enhance the readiness and capabilities of the researchers, seminars and workshops were conducted on different opportunities of open publications in 2013 and 2015. The measures taken show effect in a clear rising trend: The number of open access publications rose from a total of 1,526 in 2013 to a total of 2,117 in 2015.

Additionally, the project OA 1000+ was finalized in December 2015. Around 1,500 publications (running to more than 50,000 pages) authored by current and former WZB researchers were digitized by the WZB library. They are now freely and permanently accessible on the Internet. The digitized texts are primarily available via EconStor, the Open Access server of the German National Library of Economics – Leibniz Information Centre for Economics.

As the researchers at the WZB work mainly with qualitative and quantitative datasets, the open and immediate access to primary data is a major concern. To this end, the WZB participates in SowiDataNet, a research data repository for the social and economic sciences. The project runs from April 2014 to March 2017 and aims to build an innovative research

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[1] Company agreements are very important legal sources at the WZB. They are negotiated and signed jointly by the management and the works council.

data infrastructure. The main focus in this respect will be on implementing of a web-based research data repository, which provides instruments for archiving, documenting and sharing quantitative research data – customized to meet the needs of the researchers at the WZB as well as other research centres.

The WZB endorses the Research-Oriented Standards on Gender Equality of the German Research Foundation (DFG). It promotes gender balance, for example through target quotas. Regular monitoring has already revealed success in various wage groups and hierarchy levels. The percentage of female researchers has now risen to 50 per cent in almost every status group except for the department leading positions. The appointment committee for a new director is actively searching for qualified female candidates and encourages them to apply for the position in order to increase the quota here as well.

New employees receive information on the General Equal Treatment Act (AGG). There are company agreements on equal treatment and on job advertisement regulations, where gender balance is also addressed.

In 2014 new guidelines for switching contracts of researchers from fixed-term to permanent were implemented, which contain a quota of at least 40 per cent for each sex. Two of the three new unlimited contracts went to female researchers and consequently the all over female proportion of researchers on permanent contracts rose to 46.7 per cent.

3.2 Working Conditions and Social Security (15–18, 21, 27, 30, 37)

Family friendliness is an important concern for the WZB. Due to its efforts to establish a working atmosphere that allows employees to reconcile family and work responsibilities, the WZB was re-awarded the certificate *auditberufundfamilie* in December 2013. For this purpose it committed to a target agreement, which defines measures for the further development of family friendliness in detail. These actions are evaluated periodically and the WZB will be re-audited in 2016. Additionally a Code of Conduct for Family-Friendliness was developed and adopted in 2013. It includes flexible work hours, childcare support, assistance for dual career couples, a parent/child office and child-care services during large conferences and major evening events.

The WZB constantly strives to establish a culture of welcome for all its new researchers and guests. Currently, the process for welcoming and integrating new employees is being reviewed. An overview of all measures at the WZB regarding personnel planning, staff integration and competence development is currently being drafted and is expected to be concluded in February 2016. Furthermore, the research managers of all research units developed an introducing presentation for recently arrived researchers, which is constantly being updated. It provides information on organizational and practical issues. All new arrivals are invited to a central introductory event which takes place biannually. Moreover the Office for Research and Career Development invites all new researchers to a meet & greet event, which allows them to network and provides information on career

development issues. Every new group leading researcher meets the President and the Managing Director to discuss questions related to the WZB strategy and leadership responsibilities.

Although most researchers work on fixed-term contracts, the WZB seeks to foster stable employment. A working group was installed to evaluate the prevailing practice regarding the limitation of contracts. It made proposals concerning opportunities on granting tenure to researchers, which ultimately led to "Guidelines and Procedural Rules for switching contracts of researchers from fixed-term to permanent at WZB" (September 2015). They set the goal that between 20 and 35 per cent of all institutionally funded contracts of all eligible postdoctoral researchers are permanent. On the basis of the described procedures, three postdocs were granted permanent positions in 2015. The guidelines and procedural rules for switching contracts from fixed-term to permanent will be continuously evaluated and if necessary amended.

The WZB prepares its researchers for a career in science – but also for other areas of society. To simplify career transition and to gain new working experience, the programme "Science in Practice" has been running since 2013. It provides the opportunity to work – in the form of a fixed-term residency – in the private sector, administration, politics, the media, or for associations. These places of action are selected tailor-made for each participating researcher. As "scientists in residence", participants can contribute their extensive theoretical and methodological knowledge. Up to now, 5 postdocs have taken advantage of this opportunity, which significantly strengthens the intersectoral mobility of researchers.

3.3 Career Development and Training (10–12, 20, 22, 23, 26)

Career development of the scientific staff is a matter of highest importance at the WZB. A comprehensive set of measures are described in the "Guidelines for Career Development", which are constantly kept up-to-date and extended. The last amendment of the guidelines was adopted by the Academic Council in December 2015. They cover, for instance, measures like mentoring, coaching, didactic qualification and opportunities to go abroad. To facilitate academic exchange, the WZB holds agreements with the University of Sydney and Harvard University and regularly sends researchers, both doctoral students and postdocs. In total, 14 researchers were granted research stays abroad in the years 2013 to 2015.

Annual staff appraisal meetings are considered suitable instruments to encourage the professional development of employees. A booklet, giving information on preparing and conducting the annual staff appraisal meetings, was developed in 2015. It addresses both research and research support staff. It categorises the most important topics and collects possible questions. It is currently in a test phase and will be updated as required.

In order to ensure professional standards, the supervision of doctorate candidates and postdoctoral researchers has also been codified within the "Code of Conduct for Good Academic Supervision". It defines the rights and obligations of the researchers and presents the fields in which the supervisor should provide support, e.g. publications, teaching and career guidance.

The WZB has established a fruitful cooperation with the Dahlem Research School of the Freie Universität Berlin with the aim to ensure an optimal range of trainings for researchers. The training sessions and workshops are designed to cover any aspect of a researcher's career, such as academic writing, presentation of research results, applying for funds and grants, teaching and publishing. Additionally, transferable skills, like self-organization, communication or career planning, are offered. The junior researchers at WZB are furthermore encouraged to organise skills training sessions on their own.

3.4 Recruitment (31–40)

The WZB is fully committed to the open, transparent and merit-based recruitment of researchers (OTM-R), as is defined in the OTM-R Package for the entire European Research Area. It is planned to codify these standards in a booklet for recruitment procedures, which are currently being developed and can be expected for 2016. It will specify the complete process of recruitment, i.e. setting up of the job profile, drafting the job advertisement and its distribution, planning and carrying out the selection procedure, decision making, communication with the applicants and on-boarding of new employees.

Additionally a manual on the appointment of directors (who usually are jointly appointed as professors at universities) is being developed step by step. Important parts regarding the establishment of new research units and the appointment of research group leaders have already been finished and provide a basis for standardised recruitment.

In 2013 a survey was conducted to establish a common understanding of the requirements for qualifying as a professor. The results are continuously used for joint appointment procedures with partner universities.

To ensure that all academic and non-academic job openings are recognized in the entire European Research Area, they are regularly advertised via EURAXESS. Since the WZB promotes the integration of threatened researchers, it registered as a refugee-welcoming institution and is therefore marked with the logo "science4refugees" on the EURAXESS portal.

4 Revised action plan

4.1 Ethical and Professional Aspects

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
Professional Responsibility and Good Scientific Practice (3–7)	Fostering awareness of the Ombudsperson's role as mediator	Company Agreement on Good Scientific Practice	Report of the Ombudsperson for Good Scientific Practice	Ombudsperson for Good Scientific Practice	Annually	– Report of the Ombudsperson Maria Oppen: Meeting of the Academic Council, May 20, 2014 – Presentation of the new Ombudspersons Ariane Berthoin Antal and Michael Hutter, Works Assembly, December 2, 2015	🟩
	Updated: Elaboration of a research ethics policy (Previously: Discussion on criteria of good scientific practice and elaboration of guidelines)		*Updated:* Accomplishment of a research ethics policy	*Updated:* Office for Research Planning	*Updated:* 2015	– Research ethics policy presented to the Academic Council, December 8, 2015.	🟩
	New: Constant ethical reviews of scientific projects	*Research Ethics Policy*	*Number of proposals, which have been reviewed by the ethics commission*	*Ethics commission*	*Annually*		*new*

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
	Constant awareness raising and consulting on data protection	Company Agreement on Information Technology Systems	Report of the Data Protection Officer	Data Protection Officer	Annually	– Report 2013 of the central data management, Academic Council on June 24, 2014 – Presentation of a new data management concept, Academic Council on November 24, 2015	🟧
Accountability (6) and Evaluation Systems (28)	Monitoring and reporting on scientific achievements and knowledge transfer activity	Company Agreement on Cost and Activity Accounting	KLR performance indicators	Head of Finance and Accounting	Quarterly	– Monitoring results quarterly reported to the management and the research units.	🟩
		Company Agreement on the Introduction and Operation of an Internal Reporting System on Scientific Achievements	Reports via WZBaktiv	Scientific and Desk Officer of the Managing Director	Quarterly	– Monthly reported to the Academic Council	🟩
Dissemination of results (8) and Public Engagement (9)	Fostering the dissemination of results through publication workshops	Open Access Policy	Number of events and workshops	Career Development Officer and Head of the Library	Annually	– 2013: 1 (Praktische Fragen des Publizierens in wissenschaftlichen Zeitschriften) – 2014: 0 – 2015: 4 (Wissenschaftliches Arbeiten mit Web 2.0–Tools; Writing Journal Articles and Understanding the Review Process (2x); RISE meeting – Workshop ”Science in Transition“)	🟩

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
			Number of participants	Career Development Officer and Head of the Library	Annually	– 2013: 22 – 2014: 0 – 2015: 40	🟧
	Retro-digitalization of past publications and free access to selected publications		Accomplish-ment of retro-digitalization	Head of the Library	Mid 2014	– Release of the project OA 1000+ in December 2015, presented to the Academic Council December 8, 2015	🟩
	Fostering the dissemination of quantitative and qualitative research data via data repositories		Number of open access publications	Head of the Data Management and Head of the Library	Annually	– September 3, 2013: 1,526 publications – September 3, 2014: 1,715 publications – September 8, 2015: 2,117 publications	🟩
			Number of datasets	Head of the Data Management and Head of the Library	Annually	– Absolut numbers not documented – Cooperation within SowiDataNet (research data repository for social and Economic sciences) since April 2014	🟧
	New: Merging the services of the library and the data management as one central service unit		*Establishment of a new service unit*	*Management*	*2016*		*new*

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
Non-Discrimination (14) and Gender Balance (19)	Monitoring of gender balance in all wage groups and hierarchy levels	Company Agreement on Equal Treatment, Company Agreement on Job Advertisements	Achievement of target quotas	Equal Opportunities Commissioner	Annually	– Report of the Equal Opportunities Commissioner presented at the meetings of the Works Assembly on December 4, 2013, November 17, 2014 and December 2, 2015	🟩

4.2 Working Conditions and Social Security

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
Working Conditions (15, 16)	Re-auditing process for the *auditberufund–familie* (Work-Family Audit) certificate		Accomplish-ment of re-audit	Equal Opportunities Commissioner	30 August 2013	– Re-auditing was successful, certificate re-awarded on December 5, 2013	🟩
	New: Re–auditing process for the auditberufund–familie		*Accomplish–ment of re–audit*	*Equal Opportunities Commissioner*	2016		*new*
	Further development of working time models which fit the needs of the WZB's employees and are in line with the legal provisions	Company Agreement on Working Time, Code of Conduct Family-Friendliness at the WZB	Successful elaboration of adequate working time models	Management and Works Council	2013	– Code of Conduct Family-Friendliness at the WZB was adopted by the Academic Council on February 26, 2013	🟩
	Standard presentation "Introduction to the WZB Culture" for new researchers		Successful concept development	Head of Personnel Service and Research Managers of all research areas	Fall 2013	– Introducing presentation for new arrivals developed and constantly updated (latest Version of May 13, 2015)	🟩
			Number of talks		Annually	– Biannual (spring/fall) presentation for the new arrivals at WZB	🟩

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
			Number of participants		Annually	– Between 8 and 11 participants	🟩
	New: Elaborating a personnel development concept		*Successful development of concept and measures*	*Career Development Officer*	*Spring 2016*		*new*
Employment Conditions (17)	Fostering the stability of employment/ Exhausting WissZeitVG		Number and duration of contracts	Equal Opportunities Commissioner	Annually	– Analysis Report 2013 about duration of fixed–term contracts, presented to the Academic Council on October 14, 2014	🟩
			Early warning system for researchers with expiring contracts	Research Managers of all research areas	Mid of 2014	– Regular reporting of expiring contracts to all heads of research units	🟩
			Revision of the "Guid-elines and Procedural Rules for switching contracts of researchers from fixed–term to permanent at WZB" (Entfristungs–leitlinien)	Management, Works Council	Mid of 2015	– Final report of „AG Evaluierung der Entfristungsrichtlinien und Befristungspraxis des WZB" to the Academic Council on October 14, 2014 – Adoption of the revised "Guidelines and Procedural Rules for switching contracts of researchers from fixed–term to permanent at WZB" (Entfristungs–leitlinien) – On this basis, 3 researchers were granted permanent positions (September 2015)	🟩

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
Teaching (27)	Improving the coordination of teaching between the WZB and the cooperating universities		Accomplish-ment of a joint solution	Officer for Research Planning and Strategy	In negotia-tion	– 2 new cooperations (University Potsdam, University Erfurt) – Support for didactic qualifications has been codified in the Guidelines for Career Development; latest revised version adopted by the Academic Council on December 8, 2015	🟩
Value of Mobility (21)	Monitoring international mobility		Number of international researchers at the WZB	Head of Personnel Service	Annually	– December 31, 2013: 33 (21%) – December 31, 2014: 30 (20%) – December 31, 2015: 32 (21%)	🟩
	Fostering mobility between sectors through a temporary staff exchange		Successful development of a staff exchange scheme	Management	End of 2013	– WZB–Program "Science in Practice" has been running since 2013.	🟩
			Number of staff exchanged	Management	Annually	– 2013: 1 – 2014: 1 – 2015: 3	🟩

4.3 Career Development and Training

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
Career Development and Continuous Training (12, 20, 22, 23)	Fostering annual staff appraisal meetings (Jahresge-spräche)		*Updated: Successful development of a booklet for annual staff appraisal meetings* *(previous:* Accomplish-ment of a Company Agreement on Annual Staff Appraisal Meetings)	Management and Works Council	End 2013	– "Annual staff appraisal meetings at the WZB – Booklet for research and research support staff" presented to the Academic Council on June 23, 2015; currently in a test phase	■
	New: Evaluation and revision of the booklet for annual staff appraisal meetings	*Annual staff appraisal meetings at the WZB – Booklet for research and research support staff*	*Successful evaluation and revision*	*Office for Research and Career Development*	*End 2016*		*new*
	Regular Evaluation of the Measures for Continuing Professional Development (e.g. seed money,	Standards and Guidelines for Career Development	Evaluation report	Career Development Officer	Annually	– Permanent evaluation and adaption of the Guidelines for Career Development (latest version adopted by the Academic Council on December 8, 2015) – All measures, stays abroad and training courses are being	■

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
	scholarships)					evaluated regularly. - Report „NaWi–Survey 2013", discussed in the meeting of the Academic Council on April 29, 2014	
	Development and provision of executive training for junior research group leaders		Successful development of a training scheme	Career Development Officer	End 2013	- Cooperation of training schemes with the Dahlem Research School (Freie Universität Berlin) running since 2014 - Establishment of a collegial advice group of the junior research group leaders together with the President	🟩
			Number of training sessions		Biannu- ally	- Leadership workshops at the Dahlem Research School and WZB: - 2014/1: 1 - 2014/2: 2 - 2015/1: 3 - 2015/2: 1	🟩
			Number of participants		Biannu- ally	- 2014/1: 1 - 2014/2: 14 - 2015/1: 3 - 2015/2: 1	🟩
Supervision (26, 10, 11)	Fostering supervision and regular talks	Standards and Guidelines for Career Development	Accomplishme nt of a "Pro- gress Report Outline" (Gesprächsleit faden)	Career Development Officer	End 2013	- As part of the document "Annual staff appraisal meetings at the WZB – Booklet for research and research support staff" presented to the Academic Council on June 23, 2015	🟩

4.4 Recruitment

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
Recruitment (31–40)	Revision of standards and procedures for appointment (professorship positions) and recruitment (Postdoc and PhD positions)	Company Agreement on Equal Treatment, Company Agreement on Job Advertisements, Standards and Guidelines for Career Development at the WZB, Code of Conduct Family-Friendliness at the WZB	Successful elaboration of standards to define W1, W2 and habilitation equivalent merit	Academic council working group	End 2013	– A working group carried out a survey and described standards for W1, W2 and habilitation equivalent merits (presented to the Academic Council on June 24, 2014). The results are in use for preparing researchers for further career steps (e.g. appointment as professors).	🟩
			Accomplishment of a manual on appointment procedures (Berufungsleitfaden)	*Updated:* Office for Research Planning	End 2015	– Manual on appointment procedures is being developed stepwise; important parts were adopted in Mid 2015 (establishing research units, appointment of directors)	🟧
			New: Finalization of the appoint–ment procedures	*Office for Research Planning*	*End 2016*		*new*
			Updated: Accomplish–ment of a booklet for recruitment procedures and induction	Office for Research and Career Development	Mid 2015	– The booklet for recruitment procedures and induction is expected to be finalized and presented to the Academic Council in early 2016.	🟥

Topic/Principle	Action	Reference to internal documents	Indicators	Responsible	Term/ Deadline	Review by December 31, 2015	Status
			(Wegweiser Stellenbe- setzung und Einarbeitung)				
	Efficient and international publication of all open scientific positions		Successful elaboration of a best practice catalogue on publishing job advertise- ments	Research Managers of all research areas	*updated*: End 2016	– Systematic collection currently under development	🟧
			Number of published positions on Euraxess	Management	Annually	– 2014: 8 – 2015: 11	🟩
	New: Integrating the Open, Transparent and Merit–based recruitment (OTM–R) practices in the WZB's policy	*Booklet for recruitment procedures and induction (Wegweiser Stellenbesetzung und Einarbeitung)*	*Promoting the use of the booklet as standard for open, transparent and merit– based recruitment*	*Career Development Officer*	*Constantly*		*new*
			Training of responsible persons regarding professional recruitment	*Career Development Officer*	*Mid 2017*		*new*