Human Resources Strategy for Researchers (HRS4R) – Action Plan

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Introduction

To increase scientific mobility and make the recruitment of researchers more transparent and merit-based, the EU Commission has published the "European Charter for Researchers and Code of Conduct for the Recruitment of Researchers" (Charter & Code). These include a set of general principles and requirements that define roles, responsibilities and entitlements of researchers as well as those of employers and/or funders. Through the Charter, the relationship between researchers and employers and/or funders should be conducive to successful performance in the generation, transfer, exchange and dissemination of knowledge and technological development, as well as to the career development of researchers. The Charter also recognizes all forms of mobility as a means of professional development for researchers.

In February 2019, the University of Lübeck fully endorsed the principles of Charter & Code. In order to implement the principles defined therein, the Executive Board has decided on focused reflection and critical examination of the existing conditions and processes in the context of implementing the "Human Resources Strategy for Researchers" (HRS4R).

HRS4R Initial Phase

The responsibility for this project lies with the departments of Human Resources Development, Research Management and International Affairs, Human Resources, Research funding EU and the Center for Doctoral Studies Lübeck, these form a specially established working group to implement HRS4R. Members of the Executive Board (President and Chancellor), the Academic Personnel Council, the Equal Opportunities Officer and the Representative of Severely Disabled Persons also participated in the process. The HRS4R working group has been meeting every two weeks for a period of one and a half years in order to conduct a systematic, detailed gap analysis for the UzL with the participation of scientists from all scientific career levels (R1-R4) and, upon this, to develop a strategic action plan as well as an implementation design, which was finally approved by the UzL Executive Board and the Academic Personnel Council. Over the next five years, the action plan will be implemented in close cooperation with all relevant departments and scientists of all scientific career levels (R1-R4).

The following table provides an overview of the actions planned at UzL, time frames envisaged for them, responsible entities and associated objectives that will guide their implementation. It is structured in sections corresponding to the four major thematic areas of Charter & Code:

1. Ethical and Professional Aspects
2. Recruitment and Selection
3. Working Conditions and Social Security
4. Training and Development

No.	Action	Timing	Responsibility	Target
1.	Conducting an initial HRS4R survey in which all UzL scientists are asked about the four topics defined in C&C	4th quarter 2021	Quality and organizational development + HRS4R working group	- Initial survey is completed by the end of 2021
2.	Evaluation of the survey results and integration into the action plan (adjustment of defined measures)	1st quarter 2022	Quality and organizational development + HRS4R working group	- Survey results are evaluated in the 1st quarter of 2022 - Action plan is adjusted accordingly
3.	Conducting a follow-up survey 2 years after the initial survey to monitor implementation status	4th quarter 2021	Quality and organizational development + HRS4R working group	- Follow-up survey is completed by the end of 2023
4.	Development of a questionnaire for self-assessment of the research project and the research data with regard to "dual use", establishment of handouts for dealing with security-relevant aspects and possible risks of one's own research, expansion and more effective communication of corresponding consulting and support services	4th quarter 2023/ ongoing process	Department of Research, Innovation and Transfer (FIT) + Ethics Committee + Central University Library + Communication department	- Creation of a questionnaire - Standard integration of an information document on dual use in welcome documents for new employees - Integration of dual use into the external funding process in the form of an active, obligatory query by the administration during the application phase of research projects

5.	Development of a self-reflection form on ethical and social aspects of own research, implementation of an information format	4th quarter 2022	Ethical Innovation Hub (EIH)	- Implementation of a self-reflection questionnaire on ethical and social aspects of one's own research - Workshop on ethical and social aspects will be offered once a year in the internal center for further education starting in 2022 - Basic and in-depth workshop "Ethics in Science" will be offered 6 times a year in the internal center for further education
6.	Development of an event format to deepen communication between scientists and the executive board of the university, e.g. in the form of a question-and-answer session	4th quarter 2022	Executive board + Communication department	- question-and-answer session with the Executive Board takes place once a quarter (open format, all scientists of the UzL are addressed)
7.	Development of training measures on the topic of research data management that transfer the necessary knowledge in a sustainable, target group-specific and interdisciplinary manner and are part	4th quarter 2023/ ongoing process	Department of Research, Innovation and Transfer (FIT) + Executive board delegate for data management + Internal center for further education	- A course "Good scientific practice - Dealing with research data" will be offered once a year from 2021 onwards in the internal center for further education

	of the teaching portfolio of the internal center for further education as a standard feature		6	
8.	Development of an IP strategy	4th quarter 2022	Department of Research, Innovation and Transfer (FIT) + Executive board	- Existing IP strategy is expanded into a comprehensive IP strategy in accordance with EU criteria and published
9.	Introduction of a professional personnel management system including an online application portal	Start of preliminary project by 4th quarter 2021 / Main project 2st quarter 2022 to 4th quarter 2024	Executive board + Human Resources + Quality and organizational development + IT Service Center + Human Resources development	- Completed implementation of the system - All recruitment procedures will be mapped via the HR management system as standard from 2025 onwards
10.	Comprehensive English translation of the UzL webpage	4th quarter 2023	Executive board + Communication department	- 100% availability of webpage content in English by the end of 2023
11.	Consistent publication of scientific positions in English	4th quarter 2023	Human Resources + Communication department	- 100% availability of job postings for scientific positions in English
12.	For equivalent application procedures, development of a catalog of criteria for personnel selection and target group-specific guidelines (R1-R3): a) initial selection b) interviews c) final selection	4th quarter 2023	Human Resources + Human Resources development + HRS4R working group + HRS4R steering committee	- Compulsory implementation of the criteria catalog - Standard documents are used in 100% of recruitment procedures

13.	Incorporation of the following characteristics into criteria catalog and guidelines for personnel selection (see previous action) with the aim of mandatory checking of all applications: diversity competence, multidimensional career paths, mobility experiences, work experience, and lifelong professional development	4th quarter 2023	Human Resources + Human Resources development + HRS4R working group + HRS4R steering committee	-	Criteria are included as standard in the personnel selection process
14.	Development of a Gender Equality Plan (GEP)	4th quarter 2021	Department of Equal Opportunity and Family + Research Management EU + Executive board	-	GEP is published
15.	Development of a special further training module for researchers with leadership responsibility on personnel selection and other personnel-relevant issues, e.g. gender diversity competence	4th quarter 2023	Human Resources development + Internal center for further education + Department of Equal Opportunity and Family + Department of Academic Structures	-	Thematic brownbag lunches for scientist with leadership responsibility take place at least once every six months (e.g. on personnel selection)
16.	Enhancement of individual coaching for the (further) development of the leadership quality of R4 researchers	4th quarter 2022	Human Resources development + Internal center for further education + Executive board	-	Each scientist with leadership responsibility is offered a training to strengthen his or her understanding of leadership and leadership competence, combined with up to 2 individual

				coaching sessions per year
17.	Development of information materials for the onboarding of new employees: process visualizations, unified welcome folders, e-learning courses	4th quarter 2023	Human Resources development + Quality and organizational development + Marketing referent	- A working group has been set up to develop a comprehensive onboarding concept - An e-learning onboarding course is developed and evaluated after participation
18.	Development of an internal, psychological measurement tool for measuring leadership competencies when appointing professors in the section of medicine; after successful piloting, expansion to the section of STEM	Development of the instrument by 4th quarter 2021 Piloting and expansion to section of STEM by 4th quarter 2023	Executive board + Personnel management working group + Appointments and personnel law unit	- Development of the instrument is finished - After successful piloting, comprehensive use in all appointment proceedings - Evaluation of the instrument
19.	Development of a mentoring concept for R2 researchers	4th quarter 2023	HRS4R working group + Executive board	- Query R2 on demand and format within the planned HRS4R survey (see Action 1) - In case of a positive response in the survey, development and implementation of an offer
20.	Expansion of career development trainings for postdocs (R2)	4th quarter 2021	HRS4R working group + Internal center for further education	- A new course offering ("How to start your own lab") is set up within the already existing

				career counselling offers until the end of 2021, subsequent evaluation
21.	Campaign to strengthen the representation of the interests of postdocs (R2) within the group of scientific employees and the university structures	4th quarter 2023 as part of the postdoc network, ongoing process	HRS4R working group + Board election management	- Trend in the number of R2 researchers put forward for election is systematically reviewed - Weighting of committee work is queried in HRS4R survey (see Action 1) and considered longitudinally whether awareness-raising campaign is effective
22.	Establishment of a working group to create technical and structural conditions for mobile working at UzL	1st quarter 2022	Executive board + IT Service Center + Quality and organizational development + Department of Academic Structures + Academic personnel council	- AG is in place - a new service agreement on mobile working is implemented
23.	Mandatory regulation of structured employee-supervisor meetings for scientific personnel	Implement mandatory regulation by 3rd quarter 2022	Academic personnel council + Human Resources + Human Resources development + Executive board	- Survey of academic staff is completed and evaluated - In case of a positive vote by the researchers, the obligatory regulation will be set out in writing and tracked

HRS4R Implementation Phase

Work on the implementation of HRS4R is being carried out at various levels, and progress is being monitored. Since HRS4R is considered an academic personnel development project, the main responsibility is in the field of strategic human resources development. The working group that has already worked on the GAP analysis and action plan in the initial phase will continue to drive the implementation of HRS4R at the working level. The work results are reviewed by a steering committee. This steering committee consists of the head of human resources, representatives from all research groups (R1-R4), the chancellor, the president, the academic personnel council, the equal opportunity representative and the representative of the severely disabled. The steering committee carries out a controlling function and assembles every six months to review the achievement of the milestones planned for the respective phase and to specify next implementation steps. To further ensure the implementation of the proposed measures, the working group reports to the Executive Board every six months on the progress of implementation. A formal annual report on implemented HRS4R measures will be published on the HRS4R webpage and presented once a year to the Senate, the central decision-making committee of UzL.

HRS4R will be integrated into two main HR concept papers as a strategic guiding principle for research and HR policy: firstly, into the UzL's HR development concept and secondly, into a framework code for good employment conditions. In addition, the establishment of HRS4R as a development target will be included in the new UzL structure and development plan (from 2022 to 2027) as well as integrated into an internationalization strategy to be developed.

The research community is involved in the HRS4R implementation process in several ways. Directly, through the participation of permanent representatives from all research groups (R1-R4) in the steering group, and indirectly, by assessing researchers' views of HRS4R implementation progress on a long-term basis through surveys. The results from employee surveys are systematically evaluated for the group of researchers according to the four thematic fields defined in Charter & Code. Furthermore a specially designed survey on HRS4R will systematically inquire about the implementation progress. All researchers will initially be surveyed in the 4th quarter of 2021, and a repetition of the survey takes place every two years. The survey results are in turn passed on to the Steering Committee, whereupon the implementation process is continuously adjusted.