

TEMPLATE 3: INTERNAL REVIEW

Name Organisation under review:
Wissenschaftszentrum Berlin für Sozialforschung

Organisation's contact details:
Reichpietschufer 50, Berlin, 10785

Web-link to published version of organisation's HR Strategy and Action Plan:
<https://www.wzb.eu/en/the-wzb/working-at-the-wzb/hr-excellence-in-research>

Web-link to organisational recruitment policy (OTM-R principles):
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SUBMISSION DATE TO THE EUROPEAN COMMISSION:

1. ORGANISATIONAL INFORMATION

Please provide an update of the key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research*	165.8
Of whom are international (i.e. foreign nationality)*	36.14
Of whom are externally funded (i.e. for whom the organisation is host organisation)*	84.60
Of whom are women*	80.27
Of whom are stage R3 or R4 ¹ = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.*	21.47
Of whom are stage R2 = in most organisations corresponding with postdoctoral level*	72.12
Of whom are stage R1 = in most organisations corresponding with doctoral level*	74.07
Total number of students (if relevant)	0
Total number of staff (including management, administrative, teaching and research staff)*	341.13
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	29,520,000
Annual organisational direct government funding (block funding, used for teaching, research, infrastructure,...)	20,538,000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	4,285,000
Annual funding from private, non-government sources, designated for research	4,575,000
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
The WZB is one of Europe's largest research institutes conducting basic interdisciplinary social research. The German and international researchers at the WZB include sociologists, political scientists, economists and legal scholars. The WZB is a nonprofit limited company jointly financed by the Federal Government of Germany and the State of Berlin. Research results are published for the scientific community as well as for	

¹ http://ec.europa.eu/euraxess/pdf/research_policies/Towards_a_European_Framework_for_Research_Careers_final.pdf

experts in politics, business, the media and civic organizations. As a non-university research institute, the WZB is member of the Leibniz-Association.

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2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE (NARRATIVE)

Please review the strengths and weaknesses under the 4 thematic areas of the Charter and Code, as provided by your organisation in the initial assessment phase. When doing so, you should do not only look back, but also consider new priorities, strategic decisions, etc. which may further influence the action plan. Please also provide a brief commentary in the "Remarks" column if major changes have occurred versus the initial plan.

Ethical and professional aspects

*Strengths and Weaknesses (max 500 words)**

Important developments and innovations regarding ethical and professional aspects at the WZB, introduced in the initial action plan and the first self-assessment, are now a stable and successful part of the institute. At the same time, the WZB aims for continuous improvement and advancement.

The appointment of a second Ombudsperson for good scientific practice has proven to be a sound decision. Both Ombudspersons are well respected and enjoy the trust of researchers and research-support staff alike. They were re-elected in 2017 and report annually to the Academic Council (the body representing the researchers at the WZB). The election and the reports provide important occasions to foster the awareness of their role as persons of trust as well as potential mediators in cases of conflict. The Ombudspersons will continue to provide their services to WZB's employees and set up new initiatives in response to the staff's needs. For example, the Ombudspersons are currently developing authorship guidelines for the WZB in order to safeguard the highest possible standards of research integrity (to be finalized in 2019).

The Ethics Committee, which was set up in 2015 as a result of the establishment of the WZB's own Research Ethics Policy, will continue its work. The institute's researchers make increasing use of the committee's services, as evident in the numbers of proposals reviewed by the committee (e.g. 22 in 2017) and the numbers of self-certifications conducted by researchers (e.g. 12 in 2017). As required by the WZB Research Ethics Policy, the committee has been searching for a new member with no affiliation to the WZB after the previous external member stood down from the committee in July 2018. The new external member will be appointed in 2019. There exists a close collaboration between the different units at the WZB. For example: In October 2018 the WZB Research Ethics Committee was consulted by the Ombudspersons on the development of authorship guidelines as part of the WZB's overall framework to ensure good scientific practice. Based on the experience of the past years, the ethics committee will revise the WZB Research Ethics Policy and Procedures, starting in 2019.

The new unit "Research Information" was established in 2017 by merging the library and the data management in one central service. Among the services offered by this unit are the retrodigitalization of past publications and free access to selected publications. The numbers of open access publications in the past years (e.g. 3,371 in 2017) show the efforts of the WZB to make its research results publicly available to all interested parties (including the public). Furthermore, the WZB strives to foster the dissemination of quantitative and qualitative research data via data repositories. The publication of the first data set in cooperation with the SowiDataNet (a research data repository for the social and economic sciences) is expected in 2019. The newly appointed open access advisor is a staff member of this unit. Another focus of this unit is the constant raising of awareness and consulting regarding data protection. (495)

Remarks (max 500 words)

A topic that was not addressed in the previous action plan is the principle of “research freedom”. There are several legal regulations that guarantee research freedom in Germany, most important Article 5(3) German Basic Law: “Art and scholarship, research, and teaching shall be free. The freedom of teaching shall not release any person from allegiance to the constitution”. The WZB is committed to the Recommendations of the German Research Foundation DFG “Safeguarding Good Scientific Practice” (updated July 2013), which are available to all researchers on the institute’s own intranet, as are the “Guidelines on Safeguarding Good Scientific Practice and on Dealing with Allegations of Scientific Misconduct within the Leibniz Association”. The WZB is fully committed to the freedom of research for its researchers. It is noteworthy that the WZB as a non-university research institute conducts almost no contract research.

Additionally, the WZB is committed to addressing the topic of research freedom publicly. Several events related to this issue are already planned for 2019.

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Recruitment and selection

*Strengths and Weaknesses (max 500 words)**

Fundamental regulations concerning recruitment and selection of researchers as well as research support staff have been developed, adopted and revised at the WZB over the last years, particularly, the “Booklet for recruitment procedures and induction” (which is the fundamental document for all procedures with respect to hiring and on-boarding of new staff), the “Company agreement on job advertisement”, the “Guidelines for career development at the WZB” and the “Standards for the appointment of academic leading positions at the Leibniz Association”. Their implementation will be assessed. Based on this assessment, the regulations will be revised and updated to adapt them to new circumstances and developments.

The WZB is fully committed to the open, transparent and merit-based recruitment of researchers (OTM-R), as defined in the OTM-R Package for the entire European Research Area. Many aspects are already covered by German law. Key elements of OTM-R are included in the “Booklet for recruitment procedures and induction”, which outlines the complete recruitment process, i.e. developing 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. One example from the booklet shows vividly the dedication of the WZB to OTM-R: the booklet contains examples of systematic errors of judgement and encourages those involved in the process to reflect on potential biases in their decision making and gender-specific performances in order to avoid these errors.

The WZB is fully aware that OTM-R is very much in its own interest if it wants to attract and recruit the best possible candidates in their respective fields. An e-tool for the recruitment process is currently being developed. Among other things, it aims to act as a central point for gathering data on the recruitment processes at the WZB. The tool will also support compliance with the WZB standards.

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Remarks (max 500 words)

(0)

Working conditions

*Strengths and Weaknesses (max 500 words)**

The WZB takes many actions, covering a wide range, to provide good working conditions.

The WZB constantly strives to establish a culture of welcome for all its new researchers and guests. In addition to the individual induction, the WZB welcomes all new researchers with a brochure (Welcome to the WZB – Information for guests and researchers) that contains a variety of information updated on an ongoing basis. The Research Managers invite new researchers to a presentation (Welcome to the WZB culture). The Office for Personnel Development and Research Funding regularly invites new researchers to an introduction to the academic career development measures offered at the WZB. Furthermore, all new researchers and guests are invited to introduce themselves at the meetings of the Academic Council. Every new group leading researcher meets the President and the Managing Director to discuss questions related to the WZB strategy and leadership responsibilities.

Family friendliness is an important concern for the WZB. The WZB was re-awarded the certificate *auditberufundfamilie* in January 2017 because of its efforts to establish a working atmosphere that allows employees to reconcile family and work responsibilities. 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 2020.

The majority of researchers at the WZB have fixed-term contracts, as it is standard in Germany and regulated by the *Wissenschaftszeitvertragsgesetz WissZeitVG* (Act on Academic Fixed-Term Contracts). Scholarships are only awarded in exceptional cases. The options under the *WissZeitVG* should be exhausted. As a rule periods of absence due to parental leave should be added to the duration of the contract, whenever possible.

New guidelines for switching contracts of researchers from fixed-term to permanent were implemented in 2014. They established a quota of at least 40 per cent for each sex. These guidelines are being revised based on the experience gathered since their introduction. The revision will be completed in 2019.

The WZB is an international research institute. This is, among other things, evidenced by the high share of international researchers and guests but also by the many research stays abroad of our researchers. International exchange is further facilitated by the WZB Merit Fellowships. The Fellowships currently consist of two exchange programs (Harvard and Sydney) and one research travel grant for doctoral candidates.

The researchers at the WZB are involved in important decision-making bodies, such as the Academic Council, short-term committees (e.g. for the WZB Merit Fellowships) or working groups (e.g. for revision of the “Guidelines and procedural rules for switching contracts of researchers from fixed-term to permanent at WZB”).

Good working conditions also mean healthy working conditions. In 2019 an online survey for all WZB employees will take place as part of the risk analysis on working conditions and psychological stress.

(469)

Remarks (max 500 words)

A new document “Equal opportunities and achieving a work-life balance at the WZB Social Science Center” has been added to the WZB webpage. The paper provides a summary of the central measures and regulations implemented to make the WZB a fair working environment. It primarily draws on the following documents, which include specific elements relating to equal opportunities and/or the compatibility of work and home life.

In some cases, these measures are illustrated with explanatory examples:

- Company agreement on equal opportunities for women and men working in research and infrastructure at the WZB
- Company agreement on working time, including the possibility of longer periods of leave
- Company agreement on personnel and skill development
- Code of conduct for a family-friendly WZB
- Guidelines for career development for doctoral candidates and postdoctoral researchers
- Principles of good leadership
- Booklet for recruitment and induction
- Guidelines for switching contracts from fixed-term to permanent
- Annual staff appraisal meetings – Booklet for research and research support staff

The document on equal opportunities and work-life balance can be found here:

https://www.wzb.eu/system/files/docs/gf/gba/Equal_opportunities_and_achieving_a_Work-Life_Balance-WZB-February2019.pdf

Training and development

*Strengths and Weaknesses (max 500 words)**

The career development of both researchers and research-support staff is a matter of highest importance at the WZB. A comprehensive set of academic development measures are described in the “Guidelines for career development”, which are regularly updated and extended. The guidelines cover, for instance, measures like mentoring, coaching, didactic qualification and opportunities to travel and research abroad. Important aspects of career development of all WZB employees are regulated in the “Company agreement on skills development and training”. It was agreed upon by the management and the Works Council in April 2017.

The team of the Office for Personnel Development and Research Funding provides advice regarding career development. It also advises and decides on concrete training activities. The team also provides support in matters regarding research funding. The office organizes in-house workshops as well as language courses. The measures of the Office for Personnel Development are regularly evaluated and an annual report on its activities was published on the intranet in 2018.

The officers are in close and regular exchange with the researchers of the WZB, for example through meetings with the elected representatives of the doctoral candidates and the representatives of the postdoctoral researchers. Therefore, the identification and analysis of needs takes place in close collaboration with the researchers. The training interventions and workshops are designed to cover the different aspects of a researcher’s career, such as academic writing, presentation of research results, application for funds and grants, teaching and publishing. Training on transferable skills, like self-organization, communication, conflict management and career planning, is also offered.

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.

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, and includes the most important issues and possible questions. The booklet will be evaluated and revised in 2019.

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Remarks (max 500 words)

Due to legal restrictions, the cooperation of training schemes with the Dahlem Research School had to be discontinued at the end of 2016. To offset this, the WZB has increased the number of in-house workshops and individual trainings.

Have any of the priorities for the short- and medium term changed? *(max 500 words)*

No

Have any of the circumstances in which your organisation operates, changed and as such have had an impact on your HR strategy? *(max 500 words)*

No

Are any strategic decisions under way that may influence the action plan? *(max 500 words)*

No

3. ACTIONS

Please consult the list of all actions you have submitted as part of your HR strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered, omitted or added, please provide a commentary for each action.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their implementation ratings:

<i>Proposed actions</i>	<i>Gap Principle(s)</i>	<i>Timing</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target</i>	<i>Current status</i>	<i>Remarks</i>
Ethical and Professional Aspects						
New: Raising awareness of research freedom and its limitations	Research freedom (1)	2019	Management, Research Units, Information and Communication Department	- Participation and organization of public events on the topic "research freedom"	New	
Fostering awareness of the Ombudsperson's role as mediator	Ethical principles (2), Professional responsibility (3), Professional attitude (4), Contractual and legal obligations (5), Accountability (6), Good practice in research (7), Complaints/ Appeals (34)	Annually	Ombudsperson for Good Scientific Practice	- Report of the Ombudspersons: Meeting of the Academic Council, April 4, 2017 - Presentation of the re-elected Ombudspersons, Meeting of the Academic Council, March 17, 2017	Extended	"Company agreement on good scientific practice"
New: Development of authorship guidelines for the WZB	Ethical principles (2), Professional responsibility and good scientific practice (3-7), Co-authorship (32)	2019	Ombudsperson for Good Scientific Practice	- Approval of the Academic Council and publication on the intranet page on good scientific practice	New	
Continuous ethical reviews of scientific projects	Professional responsibility and good scientific Practice (3-7)	Annually	Office for Research Planning and Coordination and Ethics Committee	- Number of meetings of the ethics Committee and number of proposals reviewed by the Committee - Number of meetings/applications submitted for ethical review: 2016: 1 / 5 2017: 4 / 22 2018: 4 / 18	Extended	Research Ethics Policy
New: Search for a new external committee member	Professional responsibility and good scientific practice (3-7)	2019	Office for Research Planning and Coordination and Ethics Committee	- As required by the WZB Research Ethics Policy, the committee has been looking for a new member with no affiliation with the WZB since the previous external member retired from the committee in July 2018 - Aiming at a gender balance, the committee is searching only for male candidates	New	
New: Appointment of new external member to the WZB Research Ethics Committee	Professional responsibility and Good scientific practice (3-7)	2019	Ethics Committee and Academic Council	- Appointment of a new external member	New	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
New: Revision of the WZB Research Ethics Policy and Procedures	Professional responsibility and Good scientific practice (3-7)	2019	Office for Research Planning and Coordination and Ethics Committee	- Revised version of ethics policy and revised application template	New	
Evaluation and improvement of the services of the central data management	Professional responsibility and Good scientific practice (3-7)	Annually	Head of Research Information	- 11/2016: Report on Research Data Management in Academic Council - 10/2017: Report on WIN Survey Institute in Academic Council - 11/2017: Data policy written and finalized in November by Academic Council	Extended	
Monitoring and reporting on scientific achievements and knowledge transfer activity	Accountability (6), Evaluation systems (11)	Quarterly	Head of Finance and Accounting	- KLR performance indicators - Monitoring results quarterly reported to the management and the research units.	Extended	"Company agreement on cost and activity accounting"
Monitoring and reporting on scientific achievements and knowledge transfer activity	Accountability (6), Evaluation systems (11)	Quarterly	Scientific and Desk Officer of the Managing Director	- Reports via WZBaktiv, monthly reported to the Academic Council	Extended	"Company agreement on the introduction and operation of an internal reporting system on scientific achievements"
Fostering the dissemination of results through publication workshops	Dissemination of results (8), Public engagement (9)	Annually	Office for Personnel Development and Research Funding, and Head of Research Information	- Number of events and workshops: 2016: 1 (Research Metrics as Service: Challenges and Institutional Impact) / 20 participants - 2018: 1 (Digital Profile of Researchers) / 11 participants	Extended	Open Access Policy
Retro-digitalization of past publications and free access to selected publications	Dissemination of results (8), Public engagement (9)	2018	Head of Research Information	- 2016: Establishment of a self-archiving workflow in Academic Council - 2018: Retro-digitalization of more than 900 old discussion papers	Completed	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Fostering the dissemination of quantitative and qualitative research data via data repositories	Dissemination of results (8), Public engagement (9)	Annually	Head of Research Information	<ul style="list-style-type: none"> - Number of open access publications: December 31, 2016: 3,251 publications December 31, 2017: 3,371 publications December 31, 2018: 3,546 publications 	Extended	
Fostering the dissemination of quantitative and qualitative research data via data repositories	Dissemination of results (8), Public engagement (9)	Annually	Head of Research Information	<ul style="list-style-type: none"> - Number of datasets: Absolut numbers not documented - Cooperation within SowiDataNet (research data repository for social and Economic sciences) since April 2014 - Publication of first data set in 2019 	In progress	
Merging the services of the library and the data management as one central service unit	Dissemination of results (8), Public engagement (9)	January 2017	Management	<ul style="list-style-type: none"> - Establishment of a new service unit: "Research Information" - Hiring of a Head of Research Information in September 2016 	Completed	
Constant raising of awareness and consulting on data protection	Professional responsibility and Good scientific practice (3-7)	Annually	Data Protection Commissioner	<ul style="list-style-type: none"> - Report of the Data Protection Officer 	Extended	"Company agreement on information technology systems"
New: Raising awareness on confidentiality and data protection	Ethical principles (2), Professional responsibility (3), Professional attitude (4), Contractual and legal obligations (5), Accountability (6), Good practice in research (7)	2018	Data Protection Commissioner	<ul style="list-style-type: none"> - Information upon entering work contract 	Extended	
New: Implementation of the General Data Protection Regulation (GDPR)	Ethical principles (2), Professional responsibility (3), Professional attitude (4), Contractual and legal obligations (5), Accountability (6), Good practice in research (7)	2018	Data Protection Commissioner	<ul style="list-style-type: none"> - Information with Frequently Asked Questions 	Completed	
New: Raising awareness on data protection for all employees	Ethical principles (2), Professional responsibility (3), Professional attitude (4), Contractual and legal obligations (5), Accountability (6), Good practice in research (7)	2019	Data Protection Commissioner	<ul style="list-style-type: none"> - Workshop on data protection 	New	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
New: Raising awareness on data protection for new employees	Ethical principles (2), Professional responsibility (3), Professional attitude (4), Contractual and legal obligations (5), Accountability (6), Good practice in research (7)	2019	Data Protection Commissioner	- Information sheet on data protection upon entering work contract	New	
Recruitment and Selection						
Revision of standards and procedures for appointment (professorship positions) and recruitment (Postdoc and PhD positions)	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20), Postdoctoral appointments (Code) (21)	End 2013	Academic council working group	- Definition of standards to define W1, W2 and habilitation equivalent merit - A survey describing standards for W1, W2 and habilitation equivalent merits (presented to the Academic Council on June 24, 2014). The results are in use to prepare researchers for further career steps (e.g. appointment as professors)	Completed	"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"
Revision of standards and procedures for appointment (professorship positions)	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20)	Nov 2016	Office for Research Planning and Coordination	- Development of a manual on appointment procedures	Completed	Standards for the Appointment of Academic Leading Positions at the Leibnitz Association
Revision of standards and procedures for appointment (professorship positions) and recruitment (Postdoc and PhD positions)	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20), Postdoctoral appointments (Code) (21)	Mid-2015	Office for Personnel Development and Research Funding	- Development of a booklet for recruitment procedures and induction (<i>Wegeweiser Personalgewinnung und Einarbeitung</i>), finalized and presented to the Academic Council on March 15, 2016	Completed	"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"

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
New: Revision of standards and procedures for appointment (professorship positions) and recruitment (Postdoc and PhD positions)	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20), Postdoctoral appointments (Code) (21)	2020	Office for Personnel Development and Research Funding	- Updated "Booklet for recruitment procedures and induction"	In progress	
Efficient and international publication of all open scientific positions	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20)	End 2016	Research Managers of all research areas	- Creation of a best practice catalogue on publishing job advertisements - Systematic collection	Completed	
Efficient and international publication of all open scientific positions	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20)	Annually	Management	- Number of published positions on Euraxess: 2016: 4 (only November and December 16, no further data available) 2017: 22 2018: 5	Completed	
Integrating the Open, Transparent and Merit-based recruitment (OTM-R) practices in the WZB's policy	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20)	Continually	Office for Personnel Development and Research Funding	- Promoting the use of the "Booklet for recruitment procedures and induction" as standard for open, transparent and merit-based recruitment	Extended	"Booklet for recruitment procedures and induction", "Company agreement job advertisement"

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Integrating the Open, Transparent and Merit-based recruitment (OTM-R) practices in the WZB's policy	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14), Transparency (Code) (15), Judging merit (Code) (16), Variations in the chronological order of CVs (Code) (17), Recognition of mobility experience (Code) (18), Recognition of qualifications (Code) (19), Seniority (Code) (20)	Mid-2017	Office for Personnel Development and Research Funding	- Training of responsible persons regarding professional recruitment: <ul style="list-style-type: none"> • Job interviews • Personnel and labor law • Job description/ job evaluation • Employee management in academia • Labor law compact • Selection of personnel 	Completed	"Booklet for recruitment procedures and induction", "Company agreement job advertisement"
New: E-Tool for recruitment	Recruitment (12), Recruitment (Code) (13), Selection (Code) (14)	2020	Managing Director	- Implementation of an online tool for recruitment	New	
New: Revision of dual training at the WZB with a stronger focus on operational needs and strengthening of the young administrative staff	Recruitment (12), Recruitment (Code) (13), Research environment (23), Working conditions (24)	2020	Head of the Personnel Service	- Improved administrative service for researchers	New	
Working Conditions and Social Security						
Re-auditing process for the auditberufund-familie (Work-Family Audit) certificate	Research environment (23), Working conditions (24)	January 15, 2017	Equal Opportunities Commissioner	- Accomplishment of re-audit - Certificate re-awarded on March 15, 2017	Completed	
New: Re-auditing process for the auditberufund-familie	Research environment (23), Working conditions (24)	January 15, 2020	Equal Opportunities Commissioner	- Accomplishment of re-audit	New	
Standard presentation "Introduction to the WZB Culture" for new researchers	Research environment (23), Working conditions (24)	Fall 2013	Head of Personnel Service and Research Managers of all research areas	- Concept development: Introductory presentation for new arrivals developed and constantly updated (last updated: November 2, 2018)	Completed	
Standard presentation "Introduction to the WZB Culture" for new researchers	Research environment (23), Working conditions (24)	Annually	Research Managers of all research areas	- Biannual (spring/fall) presentation for the new arrivals at WZB - Number of participants: between 8 and 11	Extended	
New: Brochure "Welcome to the WZB - Information for guests and new staff"	Research environment (23), Working conditions (24)	Regularly	Information and Communication Department	- Last updated: November 2018	Extended	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
New: Talk with the management for newly appointed heads of a research unit	Research environment (23), Working conditions (24)	Regularly	Management	- All new heads of research units were invited for welcome talks: 2016: 2 2017: 3 2018: 1	Extended	
Welcome Meetings with the Office for Personnel Development and Research Funding	Research environment (23), Working conditions (24)	Regularly	Office for Personnel Development and Research Funding	- Number of Welcome Meetings: 2016: 4 2017: 8 2018: 6	Extended	
New: Study on Careers of Postdoc Alumni (Verbleibstudie: Postdocs)	Career development (28)	2018	Office for Personnel Development and Research Funding	- Tracking of career paths of Postdocs once employed at the WZB	Completed	
New: Study on Careers of Doctoral student Alumni (Verbleibstudie: Doctoral Candidates)	Career development (28)	2020	Office for Personnel Development and Research Funding	- Extension of Career tracking to (former) Doctoral students once employed at the WZB	New	
New: Service to conduct internal surveys	Research Environment (23)	2017	Head of Research Information	- Internal Surveys conducted in 2017: - Survey on the working conditions of postdocs (Postdoc-Survey) - Survey on the working conditions of doctoral candidates (Nawi-Survey)	Completed	
New: Matching for in-housementoring (Doctoral candidates and Postdocs)	Research environment (23), Working conditions (24), Career development (28)	2019	Office for Personnel Development and Research Funding	- Development of concept and measures	New	
Fostering the stability of employment/ Exhausting WissZeitVG	Stability and permanence of employment (25)	2014	Equal Opportunities Commissioner	- Number and duration of contracts: Analysis Report 2013 about duration of fixed-term contracts, presented to the Academic Council on October 14, 2014	Completed	
Fostering the stability of employment/Exhausting WissZeitVG	Stability and permanence of employment (25)	Regularly	Research Managers of all research areas	- Early warning system for researchers with expiring contracts to all heads of research units	Completed	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Fostering the stability of employment/Exhausting WissZeitVG	Stability and permanence of employment (25)	Mid-2015	Management and Works Council	<ul style="list-style-type: none"> - Revision of the "Guidelines and procedural rules for switching contracts of researchers from fixed-term to permanent at WZB" (<i>Entfristungsleitlinien</i>) - Final report of the working group "Evaluation of rules and practices for switching contracts of researchers from fixed-term to permanent at the WZB" (<i>AG Evaluierung der Entfristungsrichtlinien und Befristungspraxis des WZB</i>) 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" (<i>Entfristungsleitlinien</i>) - On this basis, 3 researchers were granted permanent positions (September 2015) 	Completed	
New: Fostering the stability of employment	Stability and permanence of employment (25)	2019	Management, Working Group (consisting of representatives of the researchers' Works Council, Office for Personnel Development and Research Funding, Research Managers, Management)	<ul style="list-style-type: none"> - Revision of the "Guidelines and procedural rules for switching contracts of researchers from fixed-term to permanent at WZB" 	New	
New: Fostering insurable employment for researches (instead of scholarships)	Recognition of the profession (22), Funding and salaries (26)	Regularly	Management	<ul style="list-style-type: none"> - Job vacancies for researchers at the WZB are, as a rule, offered with insurable employment at the doctoral and postdoctoral level 	New	"Career guidelines of the Leibniz Association", "Guidelines for career development at the WZB"

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
New: Fostering homogeneous contract conditions for researchers	Funding and salaries (26),	2019	Management	<ul style="list-style-type: none"> - Workshop on salary groups (<i>Eingruppierung</i>) - Guidelines on pay grade (<i>Einstufung</i>) of Postdocs - Regular information for all people involved in classification of working contracts - Regular Jour Fixe between Research Managers and personnel service 	New	"Career guidelines of the Leibniz Association "
Monitoring of gender balance in all salarygroups and hierarchy levels	Nondiscrimination (10) and Gender balance (27)	Annually	Equal Opportunities Commissioner	<ul style="list-style-type: none"> - Achievement of target quotas - Report of the Equal Opportunities Commissioner presented at the meetings of the Works Assembly on December 7, 2016, December 12, 2017 and December 4, 2018 	Extended	"Company agreement on equal treatment", "Company agreement on job advertisements"
New: Fostering compatibility of work and private life: Sabbaticals	Working conditions (24)	2017	Management and Works Council	<ul style="list-style-type: none"> - Company agreement on working time was signed in March 2017 	Completed	
Improving the coordination of teaching between the WZB and the cooperating universities	Teaching (33)	In negotiation	Office for Research Planning and Coordination	<ul style="list-style-type: none"> - Accomplishment of a joint solution: 3 new cooperations (FU Berlin, University Potsdam, University of Hildesheim) - Support for didactic qualifications has been codified in the Guidelines for Career Development (last updated: December 13, 2017) 	Extended	
Monitoring international mobility	Value of mobility (29)	Annually	Head of Personnel Service	<ul style="list-style-type: none"> - Number of international researchers at the WZB: 2016: 27 (18%) 2017: 43 (23%) 2018: 48 (23%) 	Extended	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Fostering mobility between sectors through a temporary staff exchange	Value of mobility (29)	End of 2013	Management	<ul style="list-style-type: none"> - development of a staff exchange scheme: WZB-Program "Science in Practice" has been running since 2013. - Number of exchanges: 2016: 1 2017: 1 2018: 1 	Completed	
New: Fostering international mobility	Career development (28), Value of mobility (29)	Annually	Office for Personnel Development and Research Funding	<ul style="list-style-type: none"> - WZB Merit Fellowships: <ul style="list-style-type: none"> - Harvard: 1 Postdoc for 6 months - Sydney: 1 Postdoc and 1 doctoral student for up to 3 months - World: 1 doctoral student for up to 6 months 	Extended	"Guidelines for career development at the WZB"
Comprehensive and steady integration of researchers in various decision making processes and bodies	Participation in decision-making bodies (35)	Regularly	Management, Works Council, Office for Research Planning and Coordination, Office for Personnel Development and Research Funding, Academic Council	<ul style="list-style-type: none"> - Representatives of researchers in important decision-making processes and bodies such as: - Academic Council - Works Council - Long-term and temporal working groups on specific topics or decision making committees (flexible funding, in-house travel grants, ethics committee, appointment committees, working group for Guidelines and procedural rules for switching contracts of researchers from fixed-term to permanent) 	Completed	
New: Establishing an open access advisor	Intellectual Property Rights (31)	October 2016	Management and Head of Research Information	<ul style="list-style-type: none"> - Hiring of an open access advisor in October 2016 	Completed	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
New: Survey on working conditions and psychological stress	Good practice in research (7), research environment (23), Working conditions (24)	Early 2019	Management and Scientific and Desk Officer of the Managing Director	- An online survey for all WZB employees will be conducted as part of the risk analysis on working conditions and psychological stress	New	
Training and Development						
Fostering annual staff appraisal meetings (<i>Jahresgespräche</i>)	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	Since 2013	Management and Works Council	- Development of a booklet for annual staff appraisal meetings - "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)	Completed	
Fostering supervision and regular talks	Relation with supervisors (36), Supervision and managerial duties (37), Supervision (40)	End 2013	Office for Personnel Development and Research Funding	- Development of a "Progress Report Outline" (<i>Gesprächsleitfaden</i>), 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	Completed	
Evaluation and revision of the "Booklet for annual staff appraisal meetings"	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	End 2019	Office for Personnel Development and Research Funding	- Evaluation and revision	New	"Annual staff appraisal meetings at the WZB – Booklet for research and research support staff"

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Regular evaluation of the measures for continuing professional development (e.g. seed money, scholarships)	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	Annually	Office for Personnel Development and Research Funding	<ul style="list-style-type: none"> - Permanent evaluation and adaption of the Guidelines for Career Development (last updated: December 13, 2017) - All measures, stays abroad, and training courses are evaluated regularly - Report „PostDoc-Survey 2017“, discussed in the meeting of the Academic Council on November 14, 2017 - Report „NaWi-Survey 2017“, discussed in the meeting of the Academic Council on February 29, 2018 	Completed	“Guidelines for career development at the WZB”
Development and provision of executive training for junior research group leaders	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	End 2013	Office for Personnel Development and Research Funding	<ul style="list-style-type: none"> - Development of a training scheme 	Completed	Due to legal restrictions, the cooperation with the Dahlem Research School (Freie Universität Berlin), which began in 2014 had to be discontinued at the end of 2016
Development and provision of executive training for junior research group leaders	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	Biannually	Office for Personnel Development and Research Funding	<ul style="list-style-type: none"> - Number of training sessions: <ul style="list-style-type: none"> - Leadership workshops at the Dahlem Research School and WZB: <ul style="list-style-type: none"> 2016 (1): 9 2016 (2): 2 - Number of participants: <ul style="list-style-type: none"> 2016 (1): 9 2016 (2): 3 	Completed	

Proposed actions	Gap Principle(s)	Timing	Responsible Unit	Indicator(s) / Target	Current status	Remarks
Development and provision of executive training for junior research group leaders	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	End 2013	Office for Personnel Development and Research Funding	- Establishment of a collegial advice group of the junior research group leaders together with the President	Completed	
Devising a personnel development concept	Research environment (23), Working conditions (24), Continuing Professional Development (38), Access to research training and continuous development (39)	Spring 2016	Office for Personnel Development and Research Funding	- Development of concept and measures	Completed	
New: Fostering skills development and training	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	2017	Management and Works Council	- "Company agreement on skills development and training" was signed in April 2017	Completed	
New: Annual report on the activities of the Office for Career Development	Research environment (23), Working conditions (24), Access to Career Advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	2018	Office for Personnel Development and Research Funding	- Development of a reporting format - Publication of the report on the intranet (first report published in Spring 2018) - 2017: 70 individual consultation meetings with researchers, 5 in-house workshops - 2018: 131 consultation meetings, 10 in-house workshops	Extended	"Company agreement on skills development and training"
New: Evaluation of "Company agreement on skills development and training" and the WZB Competency Model	Research Environment (23), Working conditions (24), Continuing Professional Development (38), Access to research training and continuous development (39)	2019	Office for Personnel Development and Research Funding	- Development of concept and measures	New	"Company agreement on skills development and training"

<i>Proposed actions</i>	<i>Gap Principle(s)</i>	<i>Timing</i>	<i>Responsible Unit</i>	<i>Indicator(s) / Target</i>	<i>Current status</i>	<i>Remarks</i>
New: Development and provision of executive training for junior research group leaders (in-house and individual measures)	Career development (28), Access to career advice (30), Continuing Professional Development (38), Access to research training and continuous development (39)	Regularly	Office for Personnel Development and Research Funding	<ul style="list-style-type: none"> - In-house leadership workshops: 2017: "Conducting Job Interviews Professionally", 12 participants 2017: "Effective Grant Proposal Writing", 9 participants 2018: "Application Procedures in Science", 11 participants 2018: „Leadership in Academia“, 5 participants - Number of individual measures on leadership: 2016: 1 2017: 3 2018: 3 	Completed	
New: Online Evaluation of Workshops	Continuing Professional Development (38)	2019	Head of Research Information and Office for Personnel Development and Research Funding	<ul style="list-style-type: none"> - Number of workshop evaluations 	New	

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL: <https://www.wzb.eu/en/the-wzb/working-at-the-wzb/hr-excellence-in-research>

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles (Internal Review for Award Renewal)

Many aspects of OTM-R are already covered by German law. Furthermore, key elements of OTM-R are included in central documents such as the "Booklet for recruitment and Induction", the "Company agreement on job advertisement", the "Guidelines for career development at the WZB", and the "Standards for the appointment of academic leading positions at the Leibniz Association". Their implementation will be assessed. Based on this assessment, the regulations will be revised and updated to adapt them to new circumstances and developments.

Although these documents do not use the term "OTM-R", the OTM-R principles are fulfilled or will be in the near future. It is therefore appropriate to state that OTM-R is embedded in the WZB's HR Strategy. An e-tool for the recruitment process is currently being developed. The tool will further support compliance with the OTM-R standards.

In case your organisation has entered the HRS4R process prior to the publication of the OTM-R toolkit and recommendations by the European Commission (2015), please fill out the OTM-R checklist⁴⁵.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website. Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

Please be aware that your OTM-R policy should be 'embedded' into the institutional HR strategy at the award renewal phase. The extended version of the reviewed HR strategy including the OTM-R policy and actions should be published on your organisation's website.

4. IMPLEMENTATION

General overview of the implementation process: (max. 1000 words).

The WZB is fully committed to the HR Strategy for Researchers and strives to implement actions and measures to fulfil the highest standards of good HR policy. Conscious of the fact that this is rather a continuous task than a one-time success, constant efforts need to be taken in order to maintain and enhance the overall quality of the institute's HR processes.

The primary responsibility to achieve this goal lies with the Office for Personnel Development and Research Funding. Reflecting the strategic and institutional value of personnel development, this unit is part of the Presidential Department of the WZB. However, many other units and colleagues are responsible for the implementation process, e.g. the Administrative Management, the Personnel Management, the unit "Research Information", the Research Managers, the Works Council, the Ombudspersons, and the Equal opportunities

Commissioner. They are all constantly involved in this process through the implementation committee. The internal review, including the action plan, has been discussed in the Academic Council, the body representing all the institute's researchers.

Make sure you also cover all the aspects highlighted in the checklist, which you will need to describe in detail:

How will the implementation committee and/or steering group regularly oversee progress? *
Detailed description and duly justification (max. 500 words)

The implementation committee consists of:

- the Head of the Office for Personnel Development
- the Officer for Research and Career Development
- the Chairman of the Works Council
- the Head of the Personnel Service
- the Equal Opportunities Commissioner
- one representative of the Research Managers
- one representative of the research staff
- the Head of "Research Information"

The committee oversees the process of implementation according to the action plan. It was intensively involved in preparing the updated action plan on the basis of an analysis of all ongoing and completed measures as well as newly developed institutional requirements (which are transferred to actions, too, e.g. the intensified institutional activities regarding open access).

A comprehensive survey on working conditions and psychological stress will be conducted throughout the entire WZB in 2019. The results will be discussed in all bodies (including the Academic Council) and in the implementation committee. Further actions will be defined subsequently.

How do you intend to involve the research community, your main stakeholders, in the implementation process? * *Detailed description and duly justification (max. 500 words)*

The Academic Council, representing the institute's researchers, discussed the present report and all specified measures comprehensively. In order to give the researchers the opportunity to participate in the implementation, the Office for Personnel Development conducts regular meetings with the representatives of the doctoral candidates, the representatives of postdocs, and the board of research group leaders. Furthermore, the institute's President meets each year over pizza with doctoral candidates and postdocs (in separate meetings) to discuss their views and requirements. The President is, as a matter of fact, in continuous exchange with all research group leaders.

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 HR policy. * *Detailed description and duly justification (max. 500 words)*

All relevant documents and policies at the WZB are in line with the HR Strategy for Researchers, particularly:

- the "Booklet for recruitment and induction" (which is the fundamental document for all procedures with respect to hiring and on-boarding of new staff)
- the "Company agreement on job advertisement"
- the "Guidelines for career development at the WZB"
- the "Standards for the Appointment of Academic Leading Positions at the Leibniz Association"

How will you ensure that the proposed actions are implemented? * *Detailed description and duly justification (max. 500 words)*

All actions are, wherever possible, described SMART (specific, measurable, achievable, reasonable, time-bound). On this basis, the continuous monitoring of the implementation process is carried out by the Office for Career Development and Research Funding.

How will you monitor progress (timeline)? * *Detailed description and duly justification (max. 500 words)*

All actions are defined time-bound. The Office for Career Development and Research Funding will monitor the compliance of the objectives and report to the implementation committee.

How will you measure progress (indicators) in view of the next assessment? * *Detailed description and duly justification (max. 500 words)*

The updated action plan defines various ongoing and new measures for the upcoming reporting period, including the person responsible for it and a precise timeframe. The Office for Career Development and Research Funding together with the implementation committee will monitor the progress of these actions and update the action plan in due course for the next assessment.

Additional remarks/comments about the proposed implementation process: (max. 1000 words):

Please note that the revised HR strategy and Action Plan must also be published upon completion of the internal assessment.