

HR STRATEGY – ACTION PLAN

Name Organisation under review:

ifo Institute – Leibniz Institute for Economic Research at the University of Munich

Organisation's contact details:

Stephanie Dittmer, Member of the Executive Board

Web link to published version of organisation's HR Strategy and Action Plan:
<http://www.ifo.de/w/34K4VJxRE>
SUBMISSION DATE: 18TH AUGUST 2017, **RE-SUBMISSION DATE:** 26TH OCTOBER 2018

1. ORGANISATIONAL INFORMATION

STAFF & STUDENTS	FTE
<i>Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research</i>	*83,67 (excluding guests stage R1)
<i>Of whom are international (i.e. foreign nationality)</i>	*15,22
<i>Of whom are externally funded (i.e. for whom the organisation is host organisation)</i>	*2 (guests stage R1)
<i>Of whom are women</i>	*25,87
<i>Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.</i>	*8,25
<i>Of whom are stage R2 = in most organisations corresponding with postdoctoral level</i>	*37,17
<i>Of whom are stage R1 = in most organisations corresponding with doctoral level</i>	*38,25
<i>Total number of students (if relevant)</i>	
<i>Total number of staff (including management, administrative, teaching and research staff)</i>	*173,32 (excluding guests stage R1)
RESEARCH FUNDING (figures for most recent fiscal year)	€
<i>Total annual organisational budget</i>	17.567.970
<i>Annual organisational direct government funding (designated for research)</i>	10.541.000
<i>Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)</i>	3.368.941
<i>Annual funding from private, non-government sources, designated for research</i>	2.895.634
ORGANISATIONAL PROFILE	
Information and Forschung (research): This is what the ifo Institute has stood for since its foundation in 1949. Its legal form is that of a registered, non-profit association. The ifo Institute is one of the leading and	

most often quoted economic research institutes in Europe. A co-operative agreement links it closely with the Ludwig Maximilian University (LMU) in Munich, and in 2002 it was officially proclaimed an “Institute at the University of Munich”. In the CESifo Group it co-operates closely with the Center for Economic Studies of the LMU (CES) and CESifo GmbH, a joint subsidiary of the LMU and the ifo Institute, which is mainly responsible for the CESifo Research Network, which numbers some 1400 economists from all over the world. The ifo Institute is a member of the Leibniz Association and receives institutional financing based on Article 91b of the German constitution (Basic Law: GG) from the German federal and state governments.

2. NARRATIVE

The ifo Institute is a European think tank that strives to achieve the highest scientific standards in research; it contributes to policy advice and to the political debate. An integral part of the research is the intensive promotion of young economists. The research results are published above all in the form of articles in internationally recognized peer-reviewed journals, thereby enriching the discussion among economists. In its economic policy advisory function, the ifo Institute’s goal is to meet the needs of business, government and the public administration, and thereby improve the decision-making process. In addition, the general public is provided with scientifically founded contributions to the public policy debate in important economic-policy issues. The services provided by the ifo Institute for researchers and the general public include, in particular, the collection and provision of data and information. A key factor in achieving the high quality and guiding objectives of the ifo Institute is the continuous further development of the institutional framework of research is. As a result, a major portion of the principles of Code and Charter are already fully implemented and firmly anchored at the ifo Institute. However the Gap Analysis still showed potential for improvement in various points. Therefore ifo created an Action Plan to close the still existing gaps.

2.1 Ethical and professional aspects

The ifo Institute’s relationship to its stakeholders is characterized by the underlying legal framework. This means that the management of the ifo Institute is subject, to a considerable degree, to both public and private legal provisions. These statutory regulations as well as the tariff agreements applicable to the ifo Institute and the internal agreements (*Betriebsvereinbarung*) within the Institute are available on the Intranet as well as on the ifo website.

To ensure scientific quality, compliance with the “Rules of Good Scientific Practice” must be adhered to. The guidelines issued by the German Research Association have been adopted by the Leibniz Association as a guideline for the Leibniz Institutes. They are incorporated into the Institute’s internal regulations by means of an internal agreement. For many years, the ifo Institute has had an appointed ombudsperson – the contact person for all questions concerning compliance with the rules of good scientific practice. However the Gap Analysis identified potential for increasing transparency of the rules of good scientific practice. Therefore measures for more transparency were included in the Action Plan.

All the data that form the basis of research at the ifo Institute is subject to special protection. For the storage, provision and archiving of research data, the ifo Institute, together with the LMU, operates the Economics and Business Data Center (EBDC), which has been accredited as a research data center by the Council for Social and Economic Data (Rat SWD). The Data Protection Officer verifies compliance with the provisions on data protection, especially in the collection of data, the conducting of research projects as well as within the EBDC, and provides staff members with support in matters of the data protection law. Data protection at the ifo Institute is also supervised by the Government of Upper Bavaria in accordance with Section 38 of the

Action Plan - ifo Institute

Federal Data Protection Act. With regard to the increasing research with Big Data and new requirements regarding data security and data protection an expansion of the IT infrastructure as well as a continuous examination of all processes regarding data within ifo is necessary. Measures for doing this were included in the Action Plan.

Gender equality and the promotion of the work-life balance are central elements of the personnel policy of the ifo Institute. The foundations for the equal-opportunity policy of the Institute are fixed in an internal agreement. Every two years, the Executive Board, with the close co-operation of the Equal Opportunities Officers, prepares an updated Equal Opportunity Promotion Plan. This describes the status quo as well as the targets and measures for gender equality. The Equal Opportunity Officer reports annually to the Administrative Council on the development of the gender equality situation at the ifo Institute. The ifo Institute is a member of the Bavarian Family Pact, established in 2017. At the doctoral students level ifo reached a female percentage of more than 50%. However on the postdoctoral level there is still a gap to the equal-opportunity targets. Therefore ifo has to create a strategy for finding more female candidates for positions at the postdoctoral level.

2.2 Recruitment process

In general, professors are jointly appointed together with the LMU. Appointment procedures are laid down in the corresponding cooperation contract and in the ifo Institute's Quality Management Manual, which also contains a corresponding procedural instruction. The Quality Management Manual also regulates the recruitment process for research staff and doctoral students. The current selection procedures were designed according to the current state of the theory of personnel management in such a way that the best possible personnel decisions are made under the framework conditions applicable to the Institute. The ifo Institute's Executive Board guidelines on scientific and scientific-related career groups at the ifo Institute (Career-Path Regulation), as well as internal agreements on working time, teleworking and vocational training all address the recognition and judgment of merit in case of variations to the normal chronological order in CVs or in the recognition of mobility. National law regulates the recognition of qualifications. An internal agreement (*Gleichstellungsförderplan*) addresses the promotion of gender equality. Since 2016 all open research-positions are published on the EURAXESS web portal. In the gap analysis the whole recruitment process was examined regarding the principles of Code and Charter. There was still found potential for improvement of the transparency of the recruitment. Measures to increase the transparency were included in the Action Plan.

2.3 Working conditions and social security

The ifo Institute offers a stimulating research environment. It provides adequate, state-of-the art work places, a library as well as meeting and conference rooms. The IT department constantly supports researcher mobility by providing mobile devices, virtual private networks (VPN) and video conference equipment. The working conditions for research also include the generous provision of the necessary funds for the collection of data, including the conducting of game-theory field tests and interviews, and the international orientation and networking of research carried out at the ifo Institute. International mobility is strongly fostered. The working language of the majority of the research departments is English. This facilitates the participation of new international researchers. The internationalization strategy is part of the personnel development concept for researchers. These include, among other things, the generous provision of funds for visits to international refereed conferences, the possibility of longer-term research stays at top international universities, staff exchanges in the framework of research projects as well as the involvement of numerous visiting researchers and research professors in the research work of the ifo Institute and participation at the conferences of the nine areas of the CESifo Research Network. ifo is seeking to prepare

Action Plan - ifo Institute

the research environment for new requirements in the future. Therefore strategic measures were included in the Action Plan for example regarding Big Data research or exchange of knowledge between employees via Intranet platforms.

The ifo Institute offers administrative and strategic advice especially regarding career development. The ifo Institute supports its employees in achieving a work-life balance. For the ifo staff, three day-care places are available at an external institution. The ifo Institute also assists in the job searches of the partners of new employees. Included in the family-friendly measures are flexible working hours and various part-time work models which take into account the personal situation of the employees. There is also an internal agreement on working hours and teleworking.

Regarding the stability and permanence of employment, salaries and social security provisions, the ifo Institute is bound to the national legislation, especially to the Collective Agreement for the Public Service-Sector of the Länder (TV-L) and the Academic Fixed-Term Contract Law (WissZeitVG). As laid down in the Career-Path Regulations, contracts are in general at first limited to three years and are then extended as far as the Academic Fixed-Term Contract Law permits. This practice is monitored by ifo's Works Council. Every ifo researcher has the opportunity to teach at the LMU to a self-determined extent. The research department heads have a reduced teaching load of two hours per week during the semester.

The ifo Institute's young researchers are well connected: doctoral students and post-doctoral researchers have their own representatives and organize regular events. The staff is represented by the Works Council at the meetings of the ifo Institute's Administrative Council. The research staff can run for election to the Works Council and be represented there. In addition, researchers can participate in the internal improvement proposal system and contribute to decision-making processes relevant to them.

2.4 Training of young academics and researchers

The promotion of young economists – especially the training of doctoral students – is one of the core tasks of the ifo Institute. The Institute is thus involved in the social task of training young academics in the field of political and application-oriented economics, which is not limited to the Institute's own requirements. The doctoral program at the ifo Institute is aimed at high-quality scientific training. Among other things, the doctoral students submit the results of their work to refereed journals in parallel to the preparation of their dissertations. They also participate in policy-oriented and application-oriented projects, as well as by offering courses at those universities with which the ifo Institute has cooperation agreements. The doctoral students are intensively supported in preparing and submitting papers for publication in specialist journals or for papers delivered at refereed international conferences, as well as for taking part in summer schools and further training courses. As a result of the obligatory participation in the graduate program, ongoing further education takes place.

Doctoral students are generally supervised in their dissertations by their department head. Regular contact is ensured by the daily presence of their supervisor at the Institute. In addition, the doctoral students are assigned a mentor from the research staff as a further contact person. The introduction of a compulsory supervision agreement between the doctoral student and the supervisor, which includes the definition of milestones, the monitoring of progress and regular meetings with supervisors, is fixed at an early stage and is meant as a step towards the further improvement of the already excellent support for the doctoral students. The further scientific qualification of postdocs receives similar intensive support. However at the moment there are no written agreement between doctoral students and supervisors or official PhD agreements for doctoral students as well as development agreements for postdocs. Ifo will be prepare these agreements in the future.

3. ACTIONS

	Title action	Timing	Responsible Units	Targets
1.1 Art.1	The obligation to adhere to the rules of good scientific practice will also be included in the employment contracts of research staff and doctoral students.	Spring 2019	HR unit	Increase the transparency of the rules of good scientific practice.
1.2 Art.5	Improved presentation of the applicable statutes and internal agreements for non-German-speaking employees by expanding the information areas of the Intranet to include texts in English.	2019 – continuously	HR unit and Internet Team	Reduction of language barriers with regard to information on national, sectoral or institutional regulations. Indicator: Translate 10-20% of the existing texts (intranet, company agreements, form documents, management handbook) per year and providing new documents also in English (company agreements, form documents, Executive Board's information).
1.3 Art.10	Designation of an official representative for inclusion.	2020	Executive Board	Further increase in transparency of the hiring process.
1.4 Art.10	Include a reference to “non-discrimination” in job postings.	2019	HR unit	Further increase in transparency of the hiring process.
1.5 Art.11	Evaluation of the Career-Path Regulation regarding points and formulations that are not specific enough.	2020	Executive Board, HR unit	Further increase in transparency of the classification of pay scales, removal of time limits, appraisals.
1.6 Art.11	Implementation of official feedback talks.	Long term	Executive Board, HR unit	Further increase in transparency of the classification of pay scales, removal of time limits, appraisals. Get input from researchers regarding further improvement regarding working conditions and other aspects.
1.7 Art.27	Finding new ways to increase the number of female candidates for positions at the postdoctoral level: <ul style="list-style-type: none"> • Creating a long term strategy with possible actions regarding gender balance for postdoctoral scientists. • Designing the contents of job postings more attractive for female 	2019 Continuous evaluation and revision	Executive Board, equal opportunities officer, HR unit, QM team, Scientific Advisory Council	Attracting more female candidates for positions at the postdoctoral level. Reaching the equal-opportunity targets from the existing plans based on the cascade model.

	<p>researchers.</p> <ul style="list-style-type: none"> • Directly addressing possible female candidates, i.e. on conferences, social networks etc. • Internal and external audits of the gender balance plans to evaluate the gender strategy. 			
1.8 Art.6	<p>Revision of the project documentation in the quality management system:</p> <ul style="list-style-type: none"> - Removing redundant information, - Examining whether an ERP system could be used. 	2019-2020	QM unit and Executive Board	Relief of the researchers regarding project documentation duties.
2.1 Art.18	<p>Mention of the advantage of international experience in job advertisements for doctoral students and on the website.</p>	Spring 2019	HR unit and Internet Team	Further increase in transparency of the hiring process.
3.1 Art.7	<p>Research with Big Data requires new concepts for data protection. For this reason a comprehensive data protection concept for research with mass data will be created.</p> <p>Internal (QM) and external (TÜV) audits of the data protection manager and the big data concept including the findings into an Action Plan.</p>	<p>Winter 2019</p> <p>Continuous evaluation and revision (at least every two years)</p>	ifo Institute Executive Board, IT unit, EBDC, QM team, data protection manager	Creation of a superior infrastructure for research with mass data and constant development regarding new requirements.
3.2 Art.23	<p>Personnel and infrastructure expansion of the research data centre as well as its responsibilities (archiving of research data, support in research with Big Data). Developing long term concepts. Internal and external audits of the EBDC.</p> <p>Creating a SharePoint platform for scientists.</p>	<p>2017 – 2019</p> <p>Continuous evaluation and revision</p>	ifo Institute Executive Board, EBDC	<p>Enhancing the excellence of the EBDC especially with regard to Big Data research.</p> <p>Constant increase of the yearly archived data from scientific papers at the EBDC.</p>
3.3 Art.31	<p>Pro-active references to the copyright claims that authors of publications have. New employees will be informed of how to register with VGWort and will receive an annual e-mail reminder to declare publications with VGWort.</p>	Winter 2019	HR unit and Ifo Library	Raising the awareness of ifo employees regarding their intellectual property rights.
3.4 Art.23	<p>Expansion of the Intranet. In particular an interactive knowledge platform for researchers will be created.</p> <p>Constant development of the platforms (intranet, SharePoint etc.)</p>	<p>Summer 2019</p> <p>Constant development</p>	Internet-Team, IT	Improving the exchange of knowledge between employees, thereby increasing synergy effects.

Action Plan - ifo Institute

4.1 Art.36 & 40	Introduction of a written agreement between doctoral students and supervisors, which includes the definition of milestones, the monitoring of progress and meetings with supervisors.	2020	ifo Institute Executive Board, responsible for the doctoral students	The procedures for the supervision of doctoral students are to be more firmly established.
4.2 Art.23	Closing of career development agreements with postdocs.	Long term	Executive Board, HR unit	Increase transparency.

Actions addressing the implementation of Open, Transparent, Merit-Based Recruitment principles:

	Title action	Timing	Responsible Units	Targets
5.1 Art.1 & 12	Development of an HR website with comprehensive information on the recruitment process, the ifo doctoral program, the development prospects (Career-Path Regulation), the equal opportunity advancement plan.	Spring 2019	HR unit and Internet-Team	Detailed and transparent documentation of the implementation of the principles of the Code and Charter at the ifo Institute.
5.2 Art.19	Inclusion of the OTM-R procedure in the Career-Path Regulation.	Winter 2019	HR unit	Completely transparent internal documentation of the OTM-R procedure.
5.3 Art.4	Introduction of an e-recruitment-tool.	2020	Executive Board with the HR unit	Simplification of job applications, both for the ifo Institute and the applicants.
5.4 Art.12	Inclusion of already existing incentives for researchers from abroad in the texts of the job advertisements (German language courses, assistance with moving costs).	Winter 2019	Executive Board with HR unit	Increase the share of applications of qualified researchers from abroad.
5.5 Art.12	Comprehensive information for the applicants in the job advertisements with reference to the new HR website	Summer 2018	Executive Board with HR unit	Improved presentation of information in the job advertisements. Increase in the number of adequate applications (indicator: at least 5 qualified candidates per position).
5.6 Art.5	Update the existing procedure for the recruitment of employees with regard to the following points: - composition of the selection	Spring 2019	HR unit with QM Team	Improved internal documentation of the recruitment procedures.

	committee - type and content of the invitation to attend the interview - procedure of the job interview			
--	---	--	--	--

4. IMPLEMENTATION

The implementation of the proposed measures is planned for the next two years. Monitoring the implementation is the responsibility of the Euraxess working group consisting of a member of the Executive Board (Ms. Dittmer), the Head of Human-Resources and Law (Ms. Wagner), ifo Researchers (Ms. Ciesielski, Mr. Schmitt), as well as the quality management officers (Ms. Schricker, Mr. Brandt and Mr. Sauer).

The working group meets regularly, every two months, to monitor the progress of the various measures. At these meetings, previously requested written or oral statements from the departments responsible for implementation are evaluated. If there is a need for correction in the Action Plan and the implementation, this is discussed and documented with the persons concerned and their departments. Other proposed measures are also incorporated into the Action Plan by the working group.

After the implementation of the measures, written assessments and individual discussions with the persons involved in the processes, as well as representatives of doctoral candidates and research staff, are used to evaluate whether the objectives set out in the Action Plan have been achieved and whether there is still potential for improvement.

As a long term strategy the yearly held internal and external audits in the departments (by the quality management unit and TÜV) will be used to examine the effectiveness of the measures implemented based on the targets and indicators in the Action plan. Moreover ifo continuously seeks to identify further potential for improvement which may have arisen. Therefore also the audits will be used as well as the results of official feedback talks with all ifo employees.

For the internal review, the Scientific Advisory Council of the ifo Institute will be involved as an external body in the process. Prior to this, the Council at its meetings will be informed by the Executive Board regarding the planning and progress in the implementation of the Code and Charter. In addition, the ifo Institute will inform the Evaluation Committee of the Senate of the Leibniz Association that will conduct its standard evaluation of the ifo Institute in 2019 with regard to the participation of the Institute in Euraxess and the status of the implementation of the requirements of Code and Charter.

For the preparation of the external review in four years the Euraxess working group will once again include all stakeholders and will also receive the support of the Scientific Advisory Council.