

**Human Resources Strategy for Researchers (HRS4R)**

**The European Charter for Researchers**

**The Code of Conduct for the Recruitment of Researchers**

**at the University of Siegen**

**Appendix I: Gap Analysis and Action Plan in Tables**

## **The 40 Principles**

**(The European Charter for Researchers & The Code of Conduct for the Recruitment of Researchers)**

**[I] The European Charter for Researchers:**

**1. General Principles and Requirements applicable to Researchers**

**[1] Research Freedom (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Charter of Fundamental Rights of the European Union, Article 13, proclaims the freedom of scientific research from constraints (2000/C364/01).</li> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 5, Paragraph 3, Sentence 1, guarantees the freedom of science.</li> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 4, confirms this.</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen has endorsed the Rules of Good Scientific Practice of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>) proclaiming freedom of research.</li> <li>• The University of Siegen has instituted a Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>) in 2016.</li> <li>• The University of Siegen has, in 2016, appointed ombudspersons in the faculties to provide redress and mediation in cases of potential misconduct regarding aspects of the ethics of science.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions:</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) and the House of Young Talents HYT (an institution supporting the careers of junior academics) will organize regular workshops in German and English at least once a year and open to all researchers on all aspects of the European Charter for Researchers, including ethical and professional principles as well as legal and contractual rules.</li> <li>• Relevant material will be collected and made available to researchers. New employees will receive a 'Welcome Folder' (<i>Begrüßungsmappe</i>) with relevant information beginning in 2018.</li> </ul>

**[2] Ethical principles (The European Charter for Researchers/General Principles and Requirements applicable to Researchers)**

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 4, Paragraph 4, binds all University members to conform to generally recognized rules of scientific practice.</li> </ul>	<ul style="list-style-type: none"> <li>The Basic Order (<i>Grundordnung</i>) of the University of Siegen (May 13, 2015) contains ethical principles.</li> <li>The University of Siegen has endorsed the recommendation of the general assembly (<i>Mitgliederversammlung</i>) of the University Rectors' Conference (<i>Hochschulrektorenkonferenz HRK</i>) on Good scientific practice (May 14, 2013).</li> <li>The University of Siegen has endorsed the Rules of Good Scientific Practice of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>).</li> <li>The University of Siegen has instituted a Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>) in 2016.</li> <li>The University of Siegen has, in 2016, appointed ombudspersons in the faculties to provide redress and mediation in cases of potential misconduct regarding aspects of the ethics of science.</li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> <li>Supplementary actions: see Table [1]</li> </ul>

**[3] Professional responsibility (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.

Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 5, Paragraph 3, Sentence 1, guarantees the freedom of science; that precludes any classification by relevance undertaken by state authorities.</li> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 4, Paragraph 4, binds all University members to conform to generally recognized rules of scientific practice.</li> <li>• The Federal Law on Intellectual Property (<i>Urheberrechtsgesetz UrhG</i>) and Law on Patents (<i>Patentgesetz PatG</i>) protect intellectual property; Germany is a party to European and world-wide agreements regarding intellectual property rights.</li> </ul>	<ul style="list-style-type: none"> <li>• The Basic Order (<i>Grundordnung</i>) of the University of Siegen (May 13, 2015) contains ethical principles.</li> <li>• The University of Siegen has endorsed the recommendation of the general assembly (<i>Mitgliederversammlung</i>) of the University Rectors' Conference (<i>Hochschulrektorenkonferenz HRK</i>) on Good scientific practice (May 14, 2013).</li> <li>• The University of Siegen has endorsed the Rules of Good Scientific Practice of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>).</li> <li>• The University of Siegen has instituted a Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>) in 2016.</li> <li>• The University of Siegen has, in 2016, appointed ombudspersons in the faculties to provide redress and mediation in cases of potential misconduct regarding aspects of the ethics of science.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions: see Table [1]</li> </ul>

**[4] Professional attitude** (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided. They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>General laws and rules apply; there are no specific legal norms regarding this principle. Timely information of employers or funders as an obligation is indirectly derived from employment contracts, it can receive a more concrete form in third-party funded projects.</li> </ul>	<ul style="list-style-type: none"> <li>The Basic Order (<i>Grundordnung</i>) of the University of Siegen (May 13, 2015) contains ethical principles.</li> <li>The University of Siegen has endorsed the recommendation of the general assembly (<i>Mitgliederversammlung</i>) of the University Rectors' Conference (<i>Hochschulrektorenkonferenz HRK</i>) on Good scientific practice (May 14, 2013).</li> <li>The Research-Support Unit (<i>Referat Forschungsförderung</i>) provides information about legal obligations resulting from the submission and acceptance of proposals for third-party funding.</li> <li>Contracts are supervised and monitored by the Legal Department (<i>Dezernat Recht und Akademisches</i>).</li> <li>The Internal Auditing Office (<i>Stabsstelle Innenrevision</i>), newly set up in 2016, monitors compliance with legal and contractual obligations.</li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> <li>Supplementary actions: see Table [1]</li> </ul>

**[5] Contractual and legal obligations (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

<p>Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc.) as set out in the terms and conditions of the contract or equivalent document.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• General laws and rules apply; there are no specific legal norms regarding this principle.</li> <li>• The minor exception are patents, where the Federal Law on Intellectual Property (<i>Urheberrechtsgesetz UrhG</i>) and Law on Patents (<i>Patentgesetz PatG</i>) protect intellectual property; Germany is a party to European and world-wide agreements regarding intellectual property rights.</li> <li>• All aspects of the federal employment laws apply, as do general contract laws.</li> </ul>	<ul style="list-style-type: none"> <li>• The Research-Support Unit (<i>Referat Forschungsförderung</i>) provides information about legal obligations resulting from the submission and acceptance of proposals for third-party funding.</li> <li>• Compliance and contractual issues are monitored by the Legal Department (<i>Dezernat Recht und Akademisches</i>) and the Internal Auditing Office (<i>Stabsstelle Innenrevision</i>).</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) proactively provides information to all newly hired employees and on request. There is a Guideline for New Employees (<i>Leitfaden für neue Mitarbeiter</i>), available online, and a web presence offers a collection of relevant information and contacts for new employees.</li> <li>• The Staff Council for Academic and Artistic Personnel (<i>Personalrat für wissenschaftliches und künstlerisches Personal</i>) actively informs the persons it represents, and participates in decision-</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions: see Table [1]</li> </ul>

	<p>making regarding working conditions going beyond the legal requirements.</p> <ul style="list-style-type: none"><li>• An initiative of scientific personnel, the Exchange of Experiences by Employees Engaged in Teaching (<i>Erfahrungsaustausch der Mitarbeiter in der Lehre EMIL</i>) provides additional bottom-up information to all new academic employees (including those not involved in teaching); this information is offered four times every year and supported logistically by the Human Resources Department (<i>Personaldezernat</i>).</li></ul>	
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**[6] Accountability (The European Charter for Researchers/General Principles and Requirements applicable to Researchers)**

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees. Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>General laws and rules apply; there are no specific legal norms regarding this principle.</li> </ul>	<ul style="list-style-type: none"> <li>Compliance and contractual issues are monitored by the Legal Department (<i>Dezernat Recht und Akademisches</i>). Compliance with all obligatory standards in budgetary issues in particular is the prerogative of the Finance Department (<i>Dezernat Finanzen</i>) and the Internal Auditing Office (<i>Stabsstelle Innenrevision</i>) set up in 2016 and reporting directly to the Chancellor (<i>Kanzler</i>) as head of the university administration.</li> <li>The State Auditing Court (<i>Landesrechnungshof</i>) of the state of North Rhine-Westphalia monitors expenditures by all public universities closely.</li> <li>The University of Siegen has endorsed pertinent rules of good scientific practice and set up bodies to monitor and address misconduct, including the Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>), founded in 2016. External access is ensured.</li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> <li>Supplementary actions: see Table [1]</li> </ul>

**[7] Good practice in research (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

<p>Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Federal Law Regarding Occupational Safety and Safety in the Workplace (<i>Arbeitsschutzgesetz ArbSchG</i>) applies, as do a large number of implementation provisions.</li> <li>• The European guideline 95/46/EG on data protection (<i>Richtlinie Datenschutz</i>) in its current form applies and is embodied in German law.</li> <li>• The Federal Law on Data Protection (<i>Bundesdatenschutzgesetz BDatG</i>) and the Data Protection Law North Rhine-Westphalia (<i>Datenschutzgesetz Nordrhein-Westfalen DSG NRW</i>) apply.</li> <li>• The state Law on the Representatives of State Employees (<i>Landespersonalvertretungsgesetz LPVG</i>) in North Rhine-Westphalia gives far-reaching rights to employee codetermination regarding safety at work and data protection.</li> </ul>	<ul style="list-style-type: none"> <li>• Issues of workplace security and health are the responsibility of the Finance Department (<i>Dezernat Finanzen</i>), working closely with the Human Resources Department (<i>Personaldezernat</i>) and the Centre for Work-related medicine in the Siegen Area (<i>Arbeitsmedizinisches Zentrum Siegerland AMZ</i>) which is providing medical expertise. Hazards are monitored by local and regional authorities.</li> <li>• An internal mechanism for assessing risks and consequences inherent in research has been implemented; these assessments can then be evaluated by the Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>) newly established in 2016.</li> <li>• Issues regarding recovery from information technology disasters are the responsibility of the Chief Information Security Officer (CISO) working in conjunction with the Legal Department and the Information and Media Centre</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions: see Table [1]</li> </ul>

	<p><i>(Zentrum für Medien- und Informations-technologie ZIMT).</i></p> <ul style="list-style-type: none"><li>• Data protection issues are the responsibility of the Data Protection Officer (<i>Datenschutzbeauftragter</i>). The University has issued General Instructions on Individual-Related Data (<i>Allgemeine Dienstanweisung für den Umfang mit personenbezogenen Daten</i>) in February 2015.</li></ul>	
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**[8] Dissemination, exploitation of results** (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 5, guarantees the freedom of expression in all its forms, including the dissemination of research.</li> <li>• Contractual obligations in some cases restrict the publication of results (third-party funding, business secrets).</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen supports the publication of research results. One option is the Siegen University publishing house <i>universi</i>, which has been integrated into the University Library with an aim to streamline publication options and funding, including in digital repositories and through Open Access.</li> <li>• Publication of dissertations is obligatory in all PhD Regulations (<i>Promotionsordnungen</i>).</li> <li>• The University Library has been offering OPUS Siegen (Online Publications Server Siegen) as an online repository since 2016, providing a cost-free server for publishing and archiving publications and documents relating to the University of Siegen, especially PhD and advanced (<i>Habilitationsschriften</i>) dissertations as well as (upon recommendation of the advisor) Bachelor and Master theses.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> </ul>

	<ul style="list-style-type: none"><li>• Many third parties funding research at the University of Siegen explicitly expect that results be reported in publicly available reports and publications.</li><li>• The University of Siegen is actively working to increase the number of patents resulting from research. The University has become a member of the PROvendis patent utilization firm for the state of North Rhine-Westphalia. The University has hired a patent scout in the Legal Department (<i>Dezernat Recht und Akademisches</i>), who is also offering workshops informing about patents.</li><li>• In many areas, but especially in the STEM subjects and economics, Siegen University scholars are actively engaged in developments for industrial applications. Through its transfer department Connect.US, the Entrepreneurs' Office (<i>Gründerbüro</i>), and a close partnership with the regional Chamber of Commerce (<i>Industrie- und Handelskammer IHK</i>) with its head office in Siegen, a strong link to regional enterprises is maintained.</li></ul>	
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**[9] Public engagement** (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>German Basic Law (<i>Grundgesetz GG</i>), Article 5, guarantees the freedom of expression in all its forms, including the dissemination of research and all forms of media and journalism.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen actively supports the popularization and dissemination of research results in a generally accessible way. The Press Office (<i>Pressestelle</i>) of the University regularly informs the public via its website and through press releases and conferences.</li> <li>Many lectures across the University are open to the public and widely advertised, including in general-audience print media.</li> <li>The “Children’s University” (<i>Kinderuni</i>) popularizing lectures by leading professors reaches huge audiences of children and their guardians.</li> <li>The “Wednesday Academy” (<i>Mittwochsakademie</i>) and the ‘Forum Siegen’ have been engaging the educated general public with lectures for several decades.</li> <li>The Research College “Creating a Human Future” (<i>Forschungskolleg „Zukunft menschlich gestalten“</i>) hosts</li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> <li>Supplementary actions: see Table [1]</li> </ul>

	<p>prominent guests for talks publicizing its research to a wide audience.</p> <ul style="list-style-type: none"><li>• In the “Apollo” Theatre in Siegen, an “Apollo Science Slam” took place for the first time in 2015, renewed in 2016, giving scholars the opportunity to engage the public with short lectures of particular performativity.</li></ul>	
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**[10] Relation with supervisors (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative (s) so as to take full advantage of their relationship with them. This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 67, Paragraph 2, demands the conclusion of supervision agreements (<i>Betreuungsvereinbarungen</i>).</li> <li>• The separate PhD regulations (<i>Promotionsordnungen</i>) of the four faculties regulate the whole relationship between doctoral researchers and their advisors.</li> <li>• Study regulations (<i>Studienordnungen</i>) apply to students.</li> </ul>	<ul style="list-style-type: none"> <li>• The University is currently optimizing a draft supervision agreement (<i>Betreuungsvereinbarung, Promotionsvereinbarung</i>) following best-practice examples and the model template of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>) specifying mutual obligations of between PhD researchers and their supervisors.</li> <li>• The University has become a member of UniWiND/GUAT, the German University Association of Advanced Graduate Training, in 2016. This group actively promotes improved postgraduate training of researchers.</li> <li>• The University has for many years been a member of the European University Association (EUA) promoting the same goals on a European level.</li> </ul>	<ul style="list-style-type: none"> <li>• <b>The University of Siegen has the obligation to conclude a supervision agreement for doctoral researchers. A draft<sup>1</sup> of an agreement based on best-practice models is currently being debated and revised in talks with the faculties, especially the Faculty Councils (<i>Fakultätsräte</i>) and the PhD Committees (<i>Promotionsausschüsse</i>). This process is ongoing and will be completed by the end of 2017.</b></li> </ul>

<sup>1</sup> Like all other German-language internal documents mentioned in these tables, this draft of a supervision agreement (presented to the University Senate on February 25, 2016) can be made available, and an English translation provided, to reviewers at short notice via the HRS4R Office upon request.



**[11] Supervision and managerial duties (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 67, Paragraph 2, demands the conclusion of supervision agreements (<i>Betreuungsvereinbarungen</i>).</li> <li>• The separate PhD regulations (<i>Promotionsordnungen</i>) of the four faculties regulate the whole relationship between doctoral researchers and their advisors.</li> <li>• Study regulations (<i>Studienordnungen</i>) apply to students.</li> </ul>	<ul style="list-style-type: none"> <li>• The University is currently optimizing a draft supervision agreement (<i>Betreuungsvereinbarung, Promotionsvereinbarung</i>) following best-practice examples and the model template of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>) specifying mutual obligations of between PhD researchers and their supervisors.</li> <li>• The University is actively encouraging both tenured professors and non-tenured junior professors to participate in workshops of the German Association of University Professors and Lecturers (<i>Deutscher Hochschulverband DHV</i>) strengthening their leadership role and responsibility towards junior academics.</li> <li>• All faculties in their Faculty Councils (<i>Fakultätsräte</i>) and other committees and boards across the University discuss issues of professorial duties.</li> </ul>	<ul style="list-style-type: none"> <li>• See Table [10].</li> </ul>

**[12] Continuing Professional Development (*The European Charter for Researchers/General Principles and Requirements applicable to Researchers*)**

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one). This guarantees annual talks of employees with their superiors.</li> <li>• The Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft Wiss-ZeitVG</i>), § 2, Paragraph 1, mandates opportunity for individual scientific or artistic development.</li> <li>• For the minority covered by Civil Servant Law (<i>Beamtenrecht</i>), mutual obligations regarding personal development are set down in the State Civil Servants' Law North Rhine-Westphalia (<i>Landesbeamten-gesetz Nordrhein-Westfalen</i>), § 42, and the Career Regulations (<i>Laufbahnver-ordnung LVO</i>).</li> <li>• In the state of North Rhine-Westphalia, the Law on Professional Development of Employees (<i>Arbeitnehmerweiterbildungs-gesetz AWbG</i>) provides for paid leave for</li> </ul>	<ul style="list-style-type: none"> <li>• In the faculties (departments, seminars, institutes, chairs and groups), there are regular topical colloquia open to all researchers.</li> <li>• Transcending disciplines, the University offers a large variety of skills-oriented courses for employees, including many specifically intended for researchers.</li> <li>• The <i>House of Young Talents</i>, founded in 2016, is offering a variety of such courses intended especially for junior researchers.</li> <li>• Other courses are offered by the Human Resources Department (<i>Personaldezernat</i>), which also offers places in state-wide facilities like the IT Academy at Herne or the Cross-University Professional Development (<i>Hochschul-übergreifende Fortbildung HÜF</i>) at Hagen, including in-house trainings and coachings.</li> <li>• The Competence Centre Siegen (<i>Kompetenzzentrum Siegen KoSi</i>) offers courses focused on teaching and languages, particularly English.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions:</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) and the House of Young Talents are actively working on a Human Resources Development Concept (<i>Personalentwicklungskonzept</i>), which is to be discussed with all organs of the University and finalized by February 2017.</li> <li>• The University, taking into account the particular circumstances of junior academics, who are often on term-limited contracts, and of senior academics (tenured professors), who often have highly specialized demand for courses, is evaluating its offers to improve supply for these groups, focusing on the House of Young Talents for junior and the Human Resources Department (<i>Personaldezernat</i>) for senior researchers. A final report is to be issued by June 2019.</li> <li>• All actors engaged in training are working together in a Working Group Human Resources Development (<i>Arbeitskreis Personalentwicklung</i>) which is planning a new online presence, directed by the Human Resources Department, to go online by the end of 2017.</li> </ul>

<p>all employees for five working days per year, two years of which can be pooled.</p>	<ul style="list-style-type: none"><li>• The Women-Specific Mentoring Programme FraMeS offers pertinent courses, as do the Career Service, the Alumni Association (<i>Alumniverbund</i>), the University Library and several other actors including the Centre for Teacher Education (<i>Zentrum für Lehrerbildung ZLB</i>).</li></ul>	
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## **The 40 Principles**

**(The European Charter for Researchers & The Code of Conduct for the Recruitment of Researchers)**

**[II] The European Charter for Researchers:**

**2. General Principles and Requirements applicable to Employers and Funders**

**[13] Recognition of the profession (General Principles and Requirements applicable to Employers and Funders)**

All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), §§ 42 ff., demands scientific duties for all scientific (including auxiliary) employees.</li> <li>• Otherwise general laws and rules apply; there are no specific legal norms regarding this principle.</li> </ul>	<ul style="list-style-type: none"> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>), signed by the Rector in 2016, confirm strict rules for scientific employment.</li> <li>• The University of Siegen, like all other public universities in North Rhine-Westphalia and indeed in Germany, recognizes a large number of status groups, based on laws, regulations and collective agreements.</li> <li>• Each researcher may be classified by an academic degree achieved – i.e. Bachelor, Master, PhD, Advanced Dissertation (<i>Habilitation</i>) –, by their enrolment (matriculation) status, and by their employment status, from non-employed scholarship recipients and auxiliary staff with a Bachelor’s degree to full professors.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> </ul>

**[14] Non-discrimination (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 3, guarantees the equality before the law, and at the same time provides for proactive support to ensure equal opportunities for women.</li> <li>• The General Law on Equal Treatment (<i>Allgemeines Gleichstellungsgesetz AGG</i>) expressly prohibits discrimination in the labour market.</li> <li>• The Social Security Statute Book (<i>Sozialgesetzbuch SGB</i>) codifies numerous protections for persons with special needs or who are chronically ill.</li> </ul>	<ul style="list-style-type: none"> <li>• The Equal Opportunities Office (<i>Büro der Gleichstellungsbeauftragten</i>), established by law, works proactively and with significant legal prerogatives for the prevention of discrimination. This Office has the right to be included in all stages of recruitment processes.</li> <li>• The Representative of Employees with Disabilities (<i>Schwerbehindertenvertretung</i>) and the Representative of Disabled Persons (<i>Schwerbehindertenbeauftragter</i>) have special prerogatives and are involved in university policies and decisions. The Representative of Employees with Disabilities has the right to be included in all stages of recruitment processes, too.</li> <li>• The University has concluded a Collective Agreement (<i>Dienstvereinbarung</i>) about a Complaints Body (<i>Beschwerdestelle</i>) regarding the General Law on Equal Treatment (<i>Allgemeines Gleichstellungsgesetz AGG</i>) to handle any cases that may arise.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> </ul>

**[15] Research environment (General Principles and Requirements applicable to Employers and Funders)**

<p>Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Federal Law Regarding Occupational Safety and Safety in the Workplace (<i>Arbeitsschutzgesetz ArbSchG</i>) applies, as do a large number of implementation provisions. A risk assessment for each employee is mandated in § 5.</li> <li>• The state Law on the Representatives of State Employees (<i>Landespersonalvertretungsgesetz LPVG</i>) in North Rhine-Westphalia gives far-reaching rights to employee codetermination regarding safety at work.</li> </ul>	<ul style="list-style-type: none"> <li>• Issues of workplace security and health are the responsibility of the Finance Department (<i>Dezernat Finanzen</i>), which is working closely with the Human Resources Department (<i>Personaldezernat</i>) and the Centre for Work-related medicine in the Siegen Area (<i>Arbeitsmedizinisches Zentrum Siegerland AMZ</i>) providing medical expertise.</li> <li>• University-specific hazards (workshops and laboratories) are monitored by local and regional authorities: the Municipality of Siegen, the Siegen-Wittgenstein District (<i>Kreis</i>), and the Administrative Region (<i>Regierungsbezirk</i>) of Arnsberg.</li> <li>• The University of Siegen actively tries to provide the best research environment possible, out of evident self-interest.</li> <li>• Risk assessment for the employees, including psychological risks, is currently being rolled out.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> </ul>

**[16] Working conditions (General Principles and Requirements applicable to Employers and Funders)**

<p>Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career (See SEC (2005) 260, Women and Science: Excellence and Innovation – Gender Equality in Science.). Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>A large body of federal laws and collective bargaining rights exist for working conditions, especially for employees with special needs, and for the compatibility of family life and the workplace.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen was certified as a family-friendly institution of higher education (<i>Audit Familiengerechte Hochschule</i>) in 2006, and successfully re-audited three times (2009, 2012, 2015) by berufundfamilie Service GmbH. Work in this field is coordinated by a separate Steering group (<i>Lenkungsgruppe</i>).</li> <li>The University of Siegen was certified with the seal of approval “TOTAL E-QUALITY” for gender equality in 2009 (reissued 2012, 2015) by TOTAL-E-QUALITY Deutschland e.V.</li> <li>The Family Service Office (<i>Familienservicebüro</i>) and the flexible child-care institution Flexi help parents and guardians to combine work/research and childrearing.</li> <li>The representative of employees with disabilities (<i>Schwerbehindertenvertre-</i></li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> <li>Supplementary actions:</li> <li>A working group chaired by the Human Resources Department (<i>Personaldezernat</i>) and including the Equal Opportunities Office (<i>Gleichstellungsbüro</i>) and the Staff Councils (<i>Personalräte</i>) is carrying out a survey of all employees who have ever participated in tele-work/Home Office, and of their superiors, to evaluate the current model. The report on this survey will be completed by June 2017, and the Collective Agreement (<i>Dienstvereinbarung</i>) modified accordingly (if necessary) by the end of 2017.</li> </ul>



	<p><i>tung</i>) and the representative of disabled persons (<i>Schwerbehindertenbeauftragter</i>) have special prerogatives and are co-determining University policies and decisions.</p> <ul style="list-style-type: none"><li>• There are Collective Agreements with the Staff councils (<i>Personalräte</i>) on the flexibility of working hours (last revised in 2015) and on tele-work/Home Office (2009).</li><li>• A large number of individualized models for part-time work exist.</li></ul>	
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**[17] Stability and permanence of employment (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• Council Directive 1999/70/EC concerning the “Framework Agreement on fixed-term work” concluded by ETUC, UNICE and CEEP, adopted on 28 June 1999, applies.</li> <li>• In Germany, term-limited contracts for all employers are legislated upon in the Law on Part-Time and Fixed-Term Employment (<i>Teilzeit- und Befristungsgesetz TzBfG</i>).</li> <li>• For scientific institutions, including universities, there is an additional special law covering the vast majority of junior researchers, the Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft WissZeitVG</i>), an amended version of which went into effect in 2016.</li> </ul>	<ul style="list-style-type: none"> <li>• The State of North Rhine-Westphalia has, in 2016, signed Contracts on Good Employment Conditions at Institutions of Higher Education (<i>Verträge über gute Beschäftigungsbedingungen an Hochschulen</i>) with all universities within the state, including Siegen.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>), signed by the Rector in 2016, go beyond the requirements of the federal law and the state contract.</li> <li>• Together these rules result in a significant improvement of employment stability, especially for doctoral researchers. In addition, the House of Young Talents offers scholarships for junior academics.</li> </ul>	<ul style="list-style-type: none"> <li>• See also Tables [20], [26], [40]</li> <li>• After improvements regarding doctoral researchers, measures seem particularly desirable regarding postdoctoral researchers and (among them) the junior professors (<i>Juniorprofessoren</i>):</li> <li>• The University Rectorate, based on proposals to be submitted by the Human Resources Department (<i>Personaldezernat</i>) and the House of Young Talents based on a best-practice synopsis to be concluded in 2016, will pass a tenure-track model, by February 2017.</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) and the House of Young Talents, working closely with the faculties and in cooperation with the Staff Council for Academic and Artistic Personnel, will develop measures to improve transparency and stability of career paths for postdoctoral researchers (other than the tenure-track model), and to offer pertinent counselling, coaching and mentoring. These offerings will take into account the diversity of career paths for researchers inside and outside academia. They will be passed by March 2018.</li> </ul>

**[18] Funding and salaries (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one), which provide binding rules for salaries and fringe benefits in great detail.</li> <li>• Professors and some other researchers are covered by the body of Civil Servant Law (<i>Beamtenrecht</i>) and Civil Servant Remuneration Law (<i>Besoldungsrecht</i>).</li> <li>• The State Auditing Court (<i>Landesrechnungshof</i>) prevents universities to a significant degree from offering bonuses over and upon the (generally very competitive) salaries of the <i>Tv-L</i> and the <i>Besoldungsrecht</i>.</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen is duty-bound to conform to existing laws, regulations, and collective agreements.</li> <li>• The University of Siegen, especially its Human Resources (<i>Personaldezernat</i>) and Legal (<i>Dezernat Recht und Akademisches</i>) Departments as well as the University leadership, are in close contact with all other universities of North Rhine-Westphalia to ensure a uniform application of the laws (where necessary).</li> <li>• The State Auditing Court (<i>Landesrechnungshof</i>) is supervising the compliance with collective agreements.</li> <li>• The Internal Auditing Office (<i>Stabsstelle Innenrevision</i>) is reviewing the compliance of salaries with existing laws and regulations.</li> </ul>	<p>No specific direct actions are required.</p>

**[19] Gender balance (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 3, guarantees the equality before the law, and at the same time provides for proactive support to ensure equal opportunities for women.</li> <li>• The federal General Law on Equal Treatment (<i>Allgemeines Gleichstellungsgesetz AGG</i>) expressly prohibits discrimination in the labour market.</li> <li>• The Federal Law on Gender Equality (<i>Bundesgleichstellungsgesetz BGleIG</i>) and the State Law on Gender Equality (<i>Landesgleichstellungsgesetz LGG</i>) contain numerous provisions regarding gender equality, including the priority of women in recruitment if equally qualified.</li> </ul>	<ul style="list-style-type: none"> <li>• The University has passed a Framework Plan for Equal Opportunities (<i>Rahmenplan zur Gleichstellung</i>) in 2002 and an Equal Opportunities Concept (<i>Gleichstellungskonzept</i>) in 2013. The latter includes a strong mandate for full gender balance in selection committees.</li> <li>• The Equal Opportunities Office (<i>Büro der Gleichstellungsbeauftragten</i>), established by law, works proactively and with significant legal prerogatives, for the advancement of women towards full gender equality. The Office monitors hiring processes, being informed in writing about all stages, and entitled to take part in all procedures (e. g. job interviews).</li> <li>• The University Senate has an Equal Opportunity Commission (<i>Gleichstellungskommission</i>), and the Rectorate has, from 2016, included a separate Vice-Rector for Educational Paths and Diversity (<i>Prorektor für Bildungswege</i></li> </ul>	<p style="color: green;">No specific direct actions are required.</p>

	<p><i>und Diversity</i>), actively championing diversity and equal opportunities for all.</p> <ul style="list-style-type: none"><li>• Plans for promoting/advancing women (<i>Frauenförderpläne</i>) are in place in many areas, and are updated regularly.</li><li>• Special services like the Women-Specific Mentoring Programme Siegen FraMeS and the Women Career Service actively recruit women for science and business careers and fight the effects of attrition and glass ceilings.</li><li>• The Family Service Office (<i>Familienservicebüro</i>) and the flexible child-care institution Flexi help parents and guardians to combine work/research and childrearing.</li><li>• The Dual Career Service in the Human Resources Department is helping spouses/partners of employees in finding employment.</li><li>• The University of Siegen was certified as a family-friendly institution of higher education (Audit <i>Familiengerechte Hochschule</i>) in 2006, and successfully re-audited three times (2009, 2012, 2015) by berufundfamilie Service GmbH. Work in this field is coordinated by a separate Steering group (<i>Lenkungsgruppe</i>).</li><li>• The University of Siegen was certified with the seal of approval "TOTAL E-QUALITY" for gender equality in 2009 (reissued 2012, 2015).</li><li>• Plans for promoting/advancing women (<i>Frauenförderpläne</i>) are in place in the</li></ul>	
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	faculties and for the central administration, and are updated regularly.	
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**[20] Career development (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>The Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft Wiss-ZeitVG</i>), § 2, Paragraph 1, mandates opportunity for individual scientific or artistic development.</li> </ul>	<ul style="list-style-type: none"> <li>Regarding full professors, the University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles. The University was awarded the seal of approval “Fair and Transparent Professorial Recruitment Process” by the German Association of University Professors and Lecturers (<i>Deutscher Hochschulverband DHV</i>) in 2015.</li> <li>Regarding junior professors (<i>Juniorprofessoren</i>), the University of Siegen has issued a Guideline on the Interim Evaluation of Junior Professors (<i>Leitfaden für die Zwischenevaluation von Juniorprofessorinnen/-professoren</i>) spelling out mutual obligations and providing transparency about the process.</li> <li>Regarding other academic staff, he Guidelines for Designing the Qualification Phase for Junior Academics at the</li> </ul>	<ul style="list-style-type: none"> <li>See Tables <a href="#">[12]</a>, <a href="#">[17]</a>, <a href="#">[26]</a>, <a href="#">[40]</a></li> </ul>

	<p>University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>), signed by the Rector in 2016, provide an overview of career paths.</p> <ul style="list-style-type: none"><li>• The University of Siegen has, in 2016, established the <i>House of Young Talents</i>, which is designed to increase strategic planning tools to help junior (non-tenured) researchers advance their career, including through counseling, coaching, and mentoring.</li><li>• The Women-Specific Mentoring Programme FraMeS makes pertinent offers specifically for women.</li><li>• These offers are flanked by those of the Competence Centre Siegen (<i>Kompetenzzentrum Siegen KoSi</i>), the Career Service, the Alumni Association (<i>Alumniverbund</i>), the Entrepreneurs' Office (<i>Gründerbüro</i>), the Research Support Group (<i>Referat Forschungsförderung</i>) including the EU project INSPIRE, and others.</li></ul>	
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**[21] Value of mobility (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.

This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one), which provide binding rules for salaries and fringe benefits in great detail.</li> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 34, Paragraph 2, stipulates that within a given pay grade previous pertinent employment in North Rhine-Westphalian Universities is recognized, whereas times at other German or foreign institutions are not recognized.</li> <li>• Professors and some other researchers are covered by the body of Civil Servant Law (<i>Beamtenrecht</i>) and Civil Servant Remuneration Law (<i>Besoldungsrecht</i>).</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen is duty-bound to conform to existing laws, regulations, and collective agreements.</li> <li>• In the recruitment of researchers, the recognition of international or intersectoral mobility is a given, as outlined in the Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>).</li> <li>• For employees wanting to leave the university, severance agreements will be entered by the university at any time and at very short notice.</li> <li>• The University of Siegen endeavours to recognize the value of mobility, including financially; regrettably the legal restrictions in the Law on the Institutions of Higher Education of the State of North Rhine-Westphalia and the Collective Agreement of the States limit the possibilities to do so.</li> </ul>	<p style="color: green;">No specific direct actions are required.</p>

**[22] Access to research training and continuous development (General Principles and Requirements applicable to Employers and Funders)**

<p>Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies. Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one). This guarantees annual development talks of employees with their superiors.</li> <li>• The Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft Wiss-ZeitVG</i>), § 2, Paragraph 1, mandates opportunity for individual scientific or artistic development.</li> <li>• For the minority covered by Civil Servant Law (<i>Beamtenrecht</i>), mutual obligations regarding personal development are set down in the State Civil Servants' Law North Rhine-Westphalia (<i>Landesbeamten-gesetz Nordrhein-Westfalen</i>), § 42, and the Career Regulations (<i>Laufbahnver-ordnung LVO</i>).</li> </ul>	<ul style="list-style-type: none"> <li>• In the faculties (departments, seminars, institutes) and some of the chairs and groups, there are regular topical colloquia open to all researchers.</li> <li>• Transcending disciplines, the University offers a large variety of skills-oriented courses for employees, including many specifically intended for researchers.</li> <li>• Some of these courses are offered by the Human Resources Department (<i>Personaldezernat</i>), which also offers places in state-wide facilities like the IT Academy at Herne or the Cross-University Professional Development (<i>Hochschulübergreifende Fortbildung HÜF</i>) at Hagen, including in-house trainings and coachings.</li> <li>• The <i>House of Young Talents</i>, founded in 2016, is been offering a variety of courses directed at junior researchers.</li> <li>• The Competence Centre Siegen (<i>Kompetenzzentrum Siegen KoSi</i>) offers courses focused on teaching and languages, particularly English.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions: see Table [12]</li> </ul>

<ul style="list-style-type: none"><li>• In the state of North Rhine-Westphalia, the Law on Professional Development of Employees (<i>Arbeitnehmerweiterbildungsgesetz (AWbG)</i>) provides for paid leave for all employees for five working days per year, two years of which can be pooled.</li></ul>	<ul style="list-style-type: none"><li>• The Women-Specific Mentoring Programme FraMeS offers pertinent courses, as do the Career Service, the Alumni Association (<i>Alumniverbund</i>), the University Library and several other actors including the Centre for Teacher Education (<i>Zentrum für Lehrerbildung ZLB</i>).</li></ul>	
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**[23] Access to career service (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• General laws and rules apply; there are no specific legal norms regarding this principle.</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016 and include stipulations regarding career support.</li> <li>• The University of Siegen has, in 2016, established the <i>House of Young Talents</i>, which is designed to increase strategic planning tools to help junior (non-tenured) researchers advance their career, including through counseling, coaching, and mentoring.</li> <li>• The Women-Specific Mentoring Programme FraMeS makes pertinent offers specifically for women.</li> <li>• These offers are flanked by those of the Career Service, the Alumni Association</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions: see Table [12]</li> </ul>

	<p>(<i>Alumniverbund</i>), the Entrepreneurs' Office (<i>Gründerbüro</i>), and others.</p> <ul style="list-style-type: none"><li>• All employees have the right to be served by the Labour Office (<i>Arbeitsagentur</i>), the regional head office of which (at Siegen) is in close contact with the University.</li></ul>	
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**[24] Intellectual Property Rights (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights. Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Federal Law on Inventions by Employees (<i>Arbeitnehmererfindungsgesetz ArbnerfG</i>) pertains to inventions by all employees, including those of universities.</li> <li>• The Federal Law on Intellectual Property (<i>Urheberrechtsgesetz UrhG</i>) and Law on Patents (<i>Patentgesetz PatG</i>) protect intellectual property; Germany is a party to European and world-wide agreements regarding intellectual property rights.</li> </ul>	<ul style="list-style-type: none"> <li>• The patent scout in the Legal Department (<i>Dezernat Recht und Akademisches</i>) and the House of Young Talents are already providing workshops on patents.</li> <li>• The Research-Support Unit (<i>Referat Forschungsförderung</i>) provides information about legal obligations resulting from the submission and acceptance of proposals for third-party funding.</li> <li>• Compliance and contractual issues are monitored by the Legal Department (<i>Dezernat Recht und Akademisches</i>).</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) proactively provides information to all newly hired employees and on request.</li> <li>• The University of Siegen has become a member of the PROvendis patent utilization firm for the state of North Rhine-Westphalia.</li> <li>• The Staff Council for Academic and Artistic Personnel (<i>Personalrat für wissen-</i></li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions: see Table [1]</li> </ul>

	<p><i>chaftliches und künstlerisches Personal</i>) actively informs the persons it represents, and participates in decision-making regarding working conditions going beyond the legal requirements.</p>	
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**[25] Co-authorship (General Principles and Requirements applicable to Employers and Funders)**

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc., or to publish their own research results independently from their supervisor(s).

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>The Federal Law on Intellectual Property (<i>Urheberrechtsgesetz UrhG</i>) and Law on Patents (<i>Patentgesetz PatG</i>) protect intellectual property; Germany is a party to European and world-wide agreements regarding intellectual property rights.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen has endorsed the Rules of Good Scientific Practice of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>) proclaiming the rights of authors, and disavowing the use of 'honorary authors'.</li> <li>The University of Siegen has instituted a Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>) in 2016.</li> <li>The University of Siegen has, in 2016, appointed ombudspersons in the faculties to provide redress and mediation in cases of potential misconduct regarding aspects of the ethics of science.</li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> <li>Supplementary actions: see Table [1]</li> </ul>



**[26] Supervision (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly. Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>), § 67, Paragraph 2, demands the conclusion of supervision agreements (<i>Betreuungsvereinbarungen</i>).</li> <li>• The separate PhD regulations (<i>Promotionsordnungen</i>) of the four Faculties regulate the whole relationship between doctoral researchers and their advisors.</li> <li>• Study regulations (<i>Studienordnungen</i>) apply to students.</li> </ul>	<ul style="list-style-type: none"> <li>• The University is currently optimizing a draft supervision agreement (<i>Betreuungsvereinbarung, Promotionsvereinbarung</i>) following best-practice examples and the model template of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>) specifying mutual obligations of between PhD researchers and their supervisors.</li> <li>• For postdoctoral researchers, the natural mentor is the immediate superior (professor).</li> <li>• The University has become a member of UniWiND/GUAT, the German University Association of Advanced Graduate Training, in 2016. This group actively promotes the interests of improved postgraduate training of researchers.</li> <li>• The University has for many years been a member of the European University Association (EUA) promoting the same goals on a European level.</li> </ul>	<ul style="list-style-type: none"> <li>• See also Tables [17], [20], [40]</li> <li>• For doctoral researchers, a Supervision Agreement spelling out mutual obligations of PhD researchers and their supervisors is to be completed and passed by the University organs by the end of 2017 (see Table [10]).</li> </ul>

**[27] Teaching (General Principles and Requirements applicable to Employers and Funders)**

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.

Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The rules for the amount of academic workload each University researcher is obliged to teach in the state of North Rhine-Westphalia is set out in the Teaching Obligation Ordinance (<i>Lehrverpflichtungsverordnung LVV</i>).</li> <li>• In contracts with funders, teaching is often expressly prohibited, as institutions (e. g. the German Research Foundation) fund research, not teaching (as a basic function of the University).</li> <li>• This incidentally is particularly true of European Union funded research projects, where involvement in teaching may constitute a breach of contract.</li> </ul>	<ul style="list-style-type: none"> <li>• Compliance and contractual issues are monitored by the Legal Department (<i>Dezernat Recht und Akademisches</i>) and the Internal Auditing Unit (<i>Stabsstelle Innenrevision</i>); the funders also generally have access to all data pertaining to their projects upon request.</li> <li>• In Siegen, as elsewhere in Germany, there is a clear ambivalence not conveyed in the principle of the Charter. For many researchers teaching is indeed a right they want, and an activity furthering their career and employment prospects. For other researchers, however, teaching is a burden preventing them from activities more central still to their advancement (depending on the subject, but also the career choice), like publications or proposal writing. That applies to researchers obliged to teach many courses, but sometimes even to those who have to teach just one or two</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> </ul>

	<p>courses. The University must, and does, balance these legitimate needs (some researchers who want more, some who want less teaching, and sometimes none at all) with its legal and contractual obligations.</p> <ul style="list-style-type: none"><li>• In purely German-language study courses, foreign researchers with insufficient German language skills are simply not able to teach, and this should not prevent them from being active in research (the University currently employs a significant number of such researchers, generally funded by third parties and thus not obliged to teach, or even contractually prohibited from teaching).</li><li>• The Competence Centre Siegen (<i>Kompetenzzentrum Siegen KoSi</i>) has a separate department for Higher Education Didactics (<i>Hochschuldidaktik</i>) offering a large array of workshops every year. The Competence Centre Siegen is part of the Network Higher Education Didactics (<i>Netzwerk Hochschuldidaktik</i>) of the North Rhine-Westphalian universities, which have a joint certificate programme to ensure cross-university quality management in teaching.</li></ul>	
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**[28] Evaluation/appraisal systems (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 5, Paragraph 3, Sentence 1, guarantees the freedom of science, which makes evaluation and appraisal systems inherently problematic according to common understanding.</li> <li>• A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one). This guarantees annual development talks of employees with their superiors.</li> </ul>	<ul style="list-style-type: none"> <li>• Regarding full professors, an individual Goals and Performance Agreement (<i>Ziel- und Leistungsvereinbarung</i>) is fixated upon recruitment</li> <li>• Regarding junior professors (<i>Juniorprofessoren</i>), the University of Siegen has issued a Guideline on the Interim Evaluation of Junior Professors (<i>Leitfaden für die Zwischenevaluation von Juniorprofessorinnen/-professoren</i>) spelling out mutual obligations and providing transparency about the process.</li> <li>• Other researchers and professors are systematically evaluated only in the course of recruitment, by the respective selection committees, and event-driven, e. g. in case of promotion to a high</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> <li>• Supplementary actions:</li> <li>• The Goals and Performance Agreements (<i>Ziel- und Leistungsvereinbarungen</i>) are to be extended to junior professors as part of the tenure-track model (see Table [17], [20]).</li> </ul>

**[29] Complaints/appeals (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>The state Law on the Representatives of State Employees (<i>Landespersonalvertretungsgesetz LPVG</i>) in North Rhine-Westphalia gives far-reaching rights to employee representatives in case of conflict.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen has instituted a Council for Ethics in Research (<i>Rat für Ethik in der Forschung</i>) in 2016.</li> <li>The University of Siegen has, in 2016, appointed ombudspersons in the faculties to provide redress and mediation in cases of potential conflict.</li> <li>The University of Siegen has endorsed the Rules of Good Scientific Practice of the German Research Foundation (<i>Deutsche Forschungsgemeinschaft DFG</i>) providing for an ombudsperson system.</li> <li>The Human Resources Department offers mediation and counselling, as does the House of Young Talents regarding pertinent issues.</li> <li>The Staff Council for Academic and Artistic Personnel (<i>Personalrat für wissenschaftliches und künstlerisches Personal</i>), the Equal Opportunities Office (<i>Büro der Gleichstellungsbeauftragten</i>) and the representative of employees</li> </ul>	<ul style="list-style-type: none"> <li>No specific direct actions are required.</li> </ul>

	<p>with disabilities (<i>Schwerbehindertenvertretung</i>) constitute contact points for seeking redress or mediation in conflicts; these institutions are elected every four years by all legally eligible employees, including all employed academics below the professoriate, out of their own number.</p> <ul style="list-style-type: none"><li>• The University has concluded a Collective Agreement about a Complaints Body (<i>Beschwerdestelle</i>) regarding the General Law on Equal Treatment (<i>Allgemeines Gleichstellungsgesetz AGG</i>) to handle any cases.</li></ul>	
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**[30] Participation in decision-making bodies (General Principles and Requirements applicable to Employers and Funders)**

<p>Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• The Law on the Institutions of Higher Education of the State of North Rhine-Westphalia (<i>Gesetz über die Hochschulen des Landes Nordrhein-Westfalen, Hochschulgesetz HG</i>) sets out basic principles on representative bodies of the universities, including aspects of gender balance.</li> <li>• The state Law on the Representatives of State Employees (<i>Landespersonalvertretungsgesetz LPVG</i>) in North Rhine-Westphalia provides for the Staff Councils as elected bodies.</li> </ul>	<ul style="list-style-type: none"> <li>• The Basic Order (<i>Grundordnung</i>) of the University provides for representation of researchers in all committees and decision-making bodies, both in University-wide bodies (Rectorate, Senate), but also in the Faculty Councils (<i>Fakultätsräte</i>) and in the PhD Committees (<i>Promotionsausschüsse</i>) and commissions derived from them.</li> <li>• The University of Siegen has, in 2016, appointed ombudspersons in the faculties to provide redress and mediation in cases of potential conflict.</li> <li>• In addition, the Staff Council for Academic and Artistic Personnel (<i>Personalrat für wissenschaftliches und künstlerisches Personal</i>) is an organ wholly consisting of academic personnel.</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required.</li> </ul>

**[31] Recruitment (General Principles and Requirements applicable to Employers and Funders)**

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.

Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• Entry and admission standards, as well as pay issues, are set out in employment laws including the Law on Fixed-Term Employment in Science (<i>Wissenschaftszeitvertragsgesetz WissZeitVG</i>), as well as in binding collective agreements (Tv-L).</li> <li>• The General Law on Equal Treatment (<i>Allgemeines Gleichstellungsgesetz AGG</i>) expressly prohibits discrimination in the labour market.</li> <li>• The Federal Law on Gender Equality (<i>Bundesgleichstellungsgesetz BGleG</i>) and the State Law on Gender Equality (<i>Landesgleichstellungsgesetz LGG</i>) contain numerous provisions regarding gender equality, including the priority of women in recruitment if equally qualified.</li> <li>• The Social Security Statute Book (<i>Sozialgesetzbuch SGB</i>) codifies numerous protections for persons with special needs or who are chronically ill.</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufsleitfaden</i>) setting out clear principles.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li> <li>• The Equal Opportunities Office (<i>Büro der Gleichstellungsbeauftragten</i>), established by law, works proactively and</li> </ul>	<ul style="list-style-type: none"> <li>• No specific direct actions are required. See Table [32]</li> </ul>



	<p>with significant legal prerogatives, for the advancement of women towards full gender equality.</p> <ul style="list-style-type: none"><li>• The University has passed a Framework Plan for Equal Opportunities (<i>Rahmenplan zur Gleichstellung</i>) in 2002 and an Equal Opportunities Concept (<i>Gleichstellungskonzept</i>) in 2013.</li><li>• The University Senate has an Equal Opportunity Commission (<i>Gleichstellungskommission</i>), and the Rectorate has, from 2016, included a separate Vice-Rector for Educational Paths and Diversity (<i>Prorektor für Bildungswege und Diversity</i>), actively championing diversity and equal opportunities for all.</li><li>• Plans for promoting/advancing women (<i>Frauenförderpläne</i>) are in place in many areas, and are updated regularly.</li><li>• Special services like the Women-Specific Mentoring Programme Siegen FraMeS and the Women Career Service actively recruit women for science and business careers and fight the effects of attrition and glass ceilings.</li><li>• The Family Service Office (<i>Familienervicebüro</i>) and the flexible childcare institution Flexi help parents and guardians to combine work/research and childrearing.</li><li>• The University has established a Dual Career Service in the Human Resources Department (<i>Personaldezernat</i>) to help spouses of employees</li></ul>	
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	<p>finding employment at the University or in the Siegen area.</p> <ul style="list-style-type: none"><li>• The representative of employees with disabilities (<i>Schwerbehindertenvertretung</i>) and the representative of disabled persons (<i>Schwerbehindertenbeauftragter</i>) have special prerogatives and are co-determining University policies and decisions.</li><li>• The University provides special assistance to expatriate and immigrant students and researchers.</li></ul>	
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## **The 40 Principles**

**(The European Charter for Researchers & The Code of Conduct for the Recruitment of Researchers)**

### **[III] The Code of Conduct for the Recruitment of Researchers**

**[32] Recruitment (Code of Conduct for Recruitment of Researchers)**

Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised. Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• German Basic Law (<i>Grundgesetz GG</i>), Article 33, Paragraph 2, guarantees equal access to all public positions for Germans; European treaties and settled case law have extended this to all EU and indeed European Economic Area (EEA) citizens, and to other states on a contractual basis outside the sovereign core areas (police, judiciary), thus including the universities. This applies even regarding the narrower group of Civil Servants (<i>Beamte</i>), to which most professors belong, as laid down in the Civil Servant Status Law for the States (<i>Beamtenstatusgesetz für die Beamtinnen und Beamten der Länder</i>), § 7.</li> <li>• Entry and admission standards, as well as pay issues, are set out in employment laws including the Law on Fixed-Term Employment in Science (<i>Wissenschaftszeitvertragsgesetz WissZeitVG</i>), as well as in binding collective agreements (Tv-L).</li> </ul>	<ul style="list-style-type: none"> <li>• Regarding full professors, the University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles. The University was awarded the seal of approval “Fair and Transparent Professorial Recruitment Process” by the German Association of University Professors and Lecturers (<i>Deutscher Hochschulverband DHV</i>) in 2015.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines</li> </ul>	<ul style="list-style-type: none"> <li>• See also Table [34]</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) will install a working group including relevant stakeholders of the University to undertake a review of current recruitment policies and practices, as recently amended in 2014-16, using the “toolkit” and especially the “checklist” developed by the OTM-R Steering Group. An intermediate report will be compiled by November 2018. The full review is to be completed by November 2020 and will incorporate all quality-safeguarding instruments developed by the University (which include specific tools for securing quality in recruitment).</li> <li>• As part of the review of recruitment policies and practices on all levels, opportunities to expand (e. g. to shortlisted candidates) and upgrade transparency of feedback regarding strengths and weaknesses to unsuccessful applicants as far as feasible will be a particular focus (see Table [34]).</li> </ul>

	for Recruitment ( <i>Leitfaden zur Bewerberauswahl</i> ), securing e. g. transparency, non-discrimination, openness and other relevant points.	
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**[33] Selection (Code of Conduct for Recruitment of Researchers)**

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>There are no particular legal rules regarding this principle. General rules to prevent discrimination and general labour and recruitment laws apply.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles.</li> <li>The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>The composition of commissions with regard to junior research positions is generally directed by the professor leading the chair in question. In view of the highly specialized and term-limited nature of most positions, intersectoral and international participation are impractical in many cases.</li> <li>The University has passed a Framework Plan for Equal Opportunities (<i>Rahmenplan zur Gleichstellung</i>) in</li> </ul>	<ul style="list-style-type: none"> <li>See Table [32]</li> </ul>

	<p>2002 and an Equal Opportunities Concept (<i>Gleichstellungskonzept</i>) in 2013, which expressly provides a strong mandate for gender balance in selection committees.</p> <ul style="list-style-type: none"><li>• The Equal Opportunities Office (<i>Büro der Gleichstellungsbeauftragten</i>), the Staff Council and the Representative of Employees with Special Needs have the right to be informed in writing about all stages, and to participate in all meetings, including job interviews.</li><li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li></ul>	
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**[34] Transparency (Code of Conduct for Recruitment of Researchers)**

<p>Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.</p>		
<p><b>Relevant legal documents</b></p>	<p><b>Existing rules or practices</b></p>	<p><b>Action plan</b></p>
<ul style="list-style-type: none"> <li>• There are no particular legal rules regarding this principle. General rules to prevent discrimination and general labour and recruitment laws apply.</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li> </ul>	<ul style="list-style-type: none"> <li>• See also Table [32]</li> <li>• As part of the review of recruitment policies and practices on all levels, opportunities to expand (e. g. to shortlisted candidates) and upgrade transparency of feedback regarding strengths and weaknesses to unsuccessful applicants as far as feasible will be a particular focus.</li> </ul>



**[35] Judging merit (Code of Conduct for Recruitment of Researchers)**

The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>There are no particular legal rules regarding this principle.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles.</li> <li>The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>Commissions are in no way obliged to rely solely or dominantly on bibliometric indicators, but can take other criteria into account. These must be clearly documented so as to provide fairness for all.</li> </ul>	<ul style="list-style-type: none"> <li>See Table [32]</li> </ul>

	<ul style="list-style-type: none"><li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li></ul>	
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**[36] Variations in the chronological order of CVs (Code of Conduct for Recruitment of Researchers)**

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>The Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft WissZeitVG</i>), § 2, Paragraph 5, provides for mandatory prolongation of contracts for maternity protection and maternity/paternity leave. Leaves of absence for academic or artistic purposes or training, including a stay abroad, also result in an automatic extension of the contract. This does not, however, apply to positions funded by third parties.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufsleitfaden</i>) setting out clear principles. Commissions are not in any obliged to rely on a streamlined, conventional, or break-free CV, but can take a holistic approach. This must be clearly documented so as to provide fairness for all.</li> <li>The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>The University voluntarily extends the protections of the Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft WissZeitVG</i>), § 2,</li> </ul>	<ul style="list-style-type: none"> <li>See Table [32]</li> </ul>

	<p>Paragraph 5, regarding maternity protection, maternity/paternity leave, and leaves of absence for academic or artistic purposes or training to employees funded by third parties within legal constraints.</p> <ul style="list-style-type: none"><li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li></ul>	
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**[37] Recognition of mobility experience (Code of Conduct for Recruitment of Researchers)**

<p>Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.</p>		
<p><b>Relevant legal documents</b></p>	<p><b>Existing rules or practices</b></p>	<p><b>Action plan</b></p>
<ul style="list-style-type: none"> <li>• There are no particular legal rules regarding this principle as far as recruitment is concerned.</li> <li>• Regarding salaries, A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one), which provide binding rules for salaries and fringe benefits in great detail.</li> <li>• Professors and some other researchers are covered by the body of Civil Servant Law (<i>Beamtenrecht</i>) and Civil Servant Remuneration Law (<i>Besoldungsrecht</i>).</li> <li>• These laws and agreements are sometimes inimical to intersectoral and international mobility, hindering the recognition of this experience in salaries.</li> <li>• The State Auditing Court (<i>Landesrechnungshof</i>) prevents universities to a significant degree from offering bonuses over and upon the salaries of the <i>Tv-L</i> and the <i>Besoldungsrecht</i>.</li> </ul>	<ul style="list-style-type: none"> <li>• The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li> <li>• Commissions generally take pertinent international and intersectoral experience into account, especially regarding experienced researchers and particu-</li> </ul>	<ul style="list-style-type: none"> <li>• See Table [32]</li> </ul>

	<p>larly the most senior positions (professorships). For many of those most senior positions, industry experience (e. g. in engineering, computer science, economics, law) and foreign experience, very often overseas, is seen as very desirable, if not a must.</p>	
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**[38] Recognition of qualifications (Code of Conduct for Recruitment of Researchers)**

<p>Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.</p>		
<p><b>Relevant legal documents</b></p>	<p><b>Existing rules or practices</b></p>	<p><b>Action plan</b></p>
<ul style="list-style-type: none"> <li>• The Federal Law on Improvement of the Determination and Recognition of Professional Qualifications Acquired Abroad (<i>Gesetz zur Verbesserung der Feststellung und Anerkennung im Ausland erworbener Berufsqualifikationen, Anerkennungs-gesetz</i>), based on the Lisbon convention and the pertinent EU guideline, mandates the recognition of European/foreign qualifications if equivalent.</li> </ul>	<ul style="list-style-type: none"> <li>• The ENIC-NARIC institutions (NARIC – National Academic Recognition Information Centres; ENIC – European Network of Information Centres) check the equivalence of foreign certificates with German counterparts.</li> <li>• In Germany this is done by the Central Office for Foreign Education in the Secretariat of the Standing Conference of the Ministers of Education and Cultural Affairs in the Federal Republic (<i>Zentralstelle für ausländisches Bildungswesen im Sekretariat der Ständigen Konferenz der Kultusminister der Länder in der Bundesrepublik</i>).</li> <li>• The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufsleitfaden</i>) setting out clear principles.</li> <li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für</i></li> </ul>	<ul style="list-style-type: none"> <li>• See Table [32]</li> </ul>

	<p><i>die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</p> <ul style="list-style-type: none"><li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li><li>• Commissions are not in any way obliged to rely solely or dominantly on bibliometric indicators, but can take other criteria into account. These must be clearly documented so as to provide fairness for all.</li></ul>	
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**[39] Seniority (Code of Conduct for Recruitment of Researchers)**

<p>The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</p>		
Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>Regarding salaries, A large majority of researchers is covered by the provisions of the Collective Agreement of the States (<i>Tarifvertrag der Länder Tv-L</i>), in its form pertaining to the West German signatory states (of which North Rhine-Westphalia is one), which provide binding rules for necessary qualifications, salaries and fringe benefits in great detail.</li> <li>Professors and some other researchers are covered by the body of Civil Servant Law (<i>Beamtenrecht</i>) and Civil Servant Remuneration Law (<i>Besoldungsrecht</i>).</li> <li>The General Law on Equal Treatment (<i>Allgemeines Gleichstellungsgesetz AGG</i>) expressly prohibits discrimination in the labour market.</li> </ul>	<ul style="list-style-type: none"> <li>The University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (<i>Berufungsordnung, Berufsleitfaden</i>) setting out clear principles.</li> <li>The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li> <li>The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li> <li>Commissions generally take an holistic approach to qualifications and potentials when evaluating applications.</li> </ul>	<ul style="list-style-type: none"> <li>See Table [32]</li> </ul>

**[40] Postdoctoral appointments (Code of Conduct for Recruitment of Researchers)**

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

Relevant legal documents	Existing rules or practices	Action plan
<ul style="list-style-type: none"> <li>• In Germany, term-limited contracts for all employers are legislated upon in the Law on Part-Time and Fixed-Term Employment (<i>Teilzeit- und Befristungsgesetz TzBfG</i>).</li> <li>• For scientific institutions, including universities, there is an additional special law covering the majority of researchers, the Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft WissZeitVG</i>), an amended version of which went into effect in 2016.</li> </ul>	<ul style="list-style-type: none"> <li>• Concerning professorships, the University of Siegen has, in 2014, issued an Order and Guideline for Professorial Appointments (<i>Berufungsordnung, Berufungsleitfaden</i>) setting out clear principles.</li> <li>• For other postdoctoral positions, the University of Siegen follows the pertinent laws. For the non-tenured majority of researchers, the Law on Fixed-Term Employment Contracts in Science (<i>Gesetz über befristete Arbeitsverträge in der Wissenschaft WissZeitVG</i>) applies in almost all cases.</li> <li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li> <li>• The State of North Rhine-Westphalia has, in 2016, signed Contracts on Good</li> </ul>	<ul style="list-style-type: none"> <li>• See Table [32]; also Tables [17], [20], [26]</li> </ul>

	<p>Employment Conditions at Institutions of Higher Education (<i>Verträge über gute Arbeitsbedingungen an Hochschulen</i>) with all universities within the state, including Siegen.</p> <ul style="list-style-type: none"><li>• In a collective agreement with the Staff Council for Academic and Artistic Personnel (<i>Personalrat für wissenschaftliches und künstlerisches Personal</i>), the University has gone beyond the (themselves improved) version of the Wiss-ZeitVG in Guidelines (<i>Leitlinien</i>) going beyond the legal requirements.</li><li>• The Guidelines for Designing the Qualification Phase for Junior Academics at the University of Siegen (<i>Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen</i>) were signed by the Rector in 2016.</li><li>• The Human Resources Department (<i>Personaldezernat</i>) has, in 2016, issued and published online Guidelines for Recruitment (<i>Leitfaden zur Bewerberauswahl</i>), securing e. g. transparency, non-discrimination, openness and other relevant points.</li></ul>	
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