

**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**

**Internal review:**

**Implementation of the Action Plan of November 2016**

April 2019

## 1 The HRS4R process at the University of Siegen

The University of Siegen, conscious of the fact that maintaining and expanding attractiveness for the best researchers from around the world is essential for the success of research as well as research-based teaching, has decided to bring together its human resources activities for researchers within the framework of the European “Human Resources Strategy for Researchers” (HRS4R)<sup>1</sup>, including

- The “European Charter for Researchers”
- The “Code of Conduct for the Recruitment of Researchers”

The HRS4R process has thus been strategically aligned with the process of the drafting of a Human Resources Development Concept for all employees of the University.

As a result of this process, a comprehensive internal gap analysis, numerous measures have already been undertaken within the last few years. A large part of the more momentous actions agreed upon has already come to fruition in the second half of 2015 and the first half of 2016.

In November 2016, the University of Siegen sent its endorsement letter and shortly afterwards its application for the HR Excellence in Research award, including the complete gap analysis and action plan containing nine actions.

In February 2017, the University was notified that the application had been accepted and the HR Excellence in Research award granted.

## 2 Organisational Profile

The University of Siegen is a young (est. 1972) university dedicated to research and research-based teaching, located in the south of the German state of Northrhine-Westphalia. With 250 full professors, some 1,000 other academic staff, and almost 20,000 students, it is a mid-size university. Research strengths are concentrated in Media/Cultural Studies and other Humanities on the one hand and the STEM subjects, especially Engineering, Computer Science, Physics, and Chemistry, on the other, with Pedagogy/Social Work/Psychology and Economics/Law recently advancing in research as well, and a Faculty of Life Sciences in the process of being founded.

## 3 Strengths and Weaknesses

### 3.1 Ethical and professional aspects

All points enumerated in the original gap analysis still apply.

The University has moved strongly in 2015/2016 towards improved implementation – and accompanying sustainable, institutional support – for all the relevant aspects of

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<sup>1</sup> <http://ec.europa.eu/euraxess/index.cfm/rights/strategy4Researcher>

Charter and Code. A policy of Good Scientific Practice was passed by all relevant bodies, a Council for Ethics in Research was established to deal with cases effecting general ethics, as was an ombuds system to engage proactively in the prevention, and retroactively in the sanctioning, of questionable research practices and academic misconduct.

The use of these systems is gradually increasing, but a stronger dissemination of the available support mechanisms and their respective functions are still needed. If there is a major weakness in the system, then it is that a significant number of researchers – concentrated in the R1 and R2 career stages, but not restricted to them – are still unaware of the rather new support systems.

The House of Young Talents and the University Library in particular, aided by the Centre for Media and Information Technology and the Human Resources Department, have engaged on a sustained campaign to raise the awareness of academics for the importance of aspects of good scientific practice.

This includes one workshop – in English – in each Semester (Summer/Winter) on the Rules of Good Scientific Practice within the House of Young Talents and open to all researchers, although focused on new and incoming researchers. This format has been presented as a best-practice example at the annual conference In addition to internal workshops, there was also input from external lecturers on this topic, by Dr. Julia Verse from the Berlin “Scientific Integrity” Team (16 July 2018), and especially by Professor Bernard Rentier (rector emeritus of the University of Liège) on "Open Science" (26 March 2019).

In April 2019, the head of the University’s postgraduate academy also joined a working group of the German University Association for Advanced Graduate Training (GUAT), on Open Science and Research Integrity, for the first time.

The University is implementing additional strategies to disseminate research integrity and to prevent academic misconduct, but there are no major changes envisaged or deemed necessary.

## 3.2 Recruitment and Selection

All points enumerated in the original gap analysis still apply.

In recruitment and selection, the University Rectorate and the HR Department are moving towards improving the Open, Transparent and Merit-Based Recruitment of scientists. Many aspects of OTM-R are already enshrined in German labour law, and are in addition upheld by the Staff Council legally representing the interests of the academic and artistic personnel. Thus scientific positions are generally advertised widely and for a significant time, and in English where applicable (in culture-sensitive fields, where a very good knowledge of German is necessary e. g. for academic teaching, advertising is done in German only. (Academic teaching is mandatory for all scientists in public universities in Northrhine-Westphalia unless their positions are fully funded

by third-party financed projects; for a full-time research and teaching assistant on a term-limited contract, the amount is 2 courses of 90 minutes weekly every semester.) There are only a few English-speaking study courses, and in those fields (Mechatronics, Nanoscience and Nanotechnology etc.), advertising in English is common anyway.

Particular strengths have been achieved regarding R4 and R3 appointments. Regarding full professors, the University of Siegen has, in 2014, issued an Order and Guidelines for Professorial Appointments (*Berufungsordnung, Berufungsleitfaden*) 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 (*Deutscher Hochschulverband DHV*) in 2015 (as the seventh institution of higher education in Germany). The impartiality of the new approach has resulted in a significant increase in the number of newly tenured full professors recruited directly from abroad, e. g. including several each from Italy and China.

Recruiting, especially below the R4 level, with very minor exceptions, is extremely decentralized. Generally, each individual professor hires/selects their own R1-R3 team members according to the available funding. Obviously they are bound by all existing law and statutes, and the HR Department and the Staff Council, the Disabled Employees’ Representative and the Equal Opportunities Officer have full rights to accompany the proceedings and get hold of all documentation in compliance with the General Data Protection Regulation (GDPR), with the HR Department providing all possible support, templates, a workflow etc., but a fully centralized policy can thus hardly be implemented, as for most professors recruitment and selection form only a minute, but cherished, part of their work.

The University of Siegen has since 2016 participated in all meetings of the HRS4R Working Group of the German University Rectors’ Conference, hosting one at Siegen (Nov. 22, 2018), including one in Düsseldorf (2017) largely dedicated to OTM-R (keynote by Professor Fulvio Esposito). The University is committed to the gradual implementation of OTM-R.

The University of Siegen has selected the software for an e-recruitment tool which will help with the monitoring and related issues.

To the best of the HRS4R working group’s knowledge, no German university has as yet fully implemented the OTM-R principles for the reasons set out above; most or all have concentrated, like Siegen, on the R4 group regarding OTM-R. The e-recruitment tool may make it possible to expand this in the future.

### 3.3 Working Conditions

All points enumerated in the original gap analysis still apply.

The University of Siegen has generally very good working conditions which have been further improved repeatedly in the last few years. Both federal (German) and

state (Northrhine-Westphalian) laws and regulations have in addition improved the conditions across the board. Numerous regulations cover the general well-being and representation of the scientific staff, and the special safeguards for family rights, for equal opportunities, and for health impairments and disabilities, maternity leave, on-campus childcare, and much more.

The major problem according to researchers is the term-limited nature of most contracts in the R1-R3 groups. The percentage of term-limited contracts is indeed particularly high in Germany when compared to other European academic systems; although it is indeed lower in Siegen than elsewhere, it is still far higher than is common in the EU. The major reason for this, however, is that in Germany doctoral researchers are as a rule hired as Research assistants (if fully third-party funded) or as Research and Teaching Assistants (including the obligation to teach courses) if partly funded by the budget of the respective state, and fully partake in collective agreements including statutory pay and fringe benefits (including insurance), whereas in many other academic systems they do not appear on the payroll at all but are treated as “PhD students”. This procedure very much swells the number of the academic staff, but by nature almost all these doctoral as well as many postdoctoral positions in research cannot be permanent (to be differentiated from scientists mainly working in teaching or administrative positions). Some structural adjustments for more permanent positions seem desirable, but the basic equation leading to term-limited PhD positions cannot be changed. During the doctorate, Siegen was among the first universities to apply the three-year contract rule now enshrined in federal law.

The University of Siegen has achieved extremely high standards of working conditions. Incremental improvements are undertaken on a regular basis, but the focus in the foreseeable future will be more on continued full compliance, sustainability and maintenance of the existing systems.

### 3.4 Training and Development

All points enumerated in the original gap analysis still apply.

Here again the University of Siegen has made major improvements in the recent past. In 2017, the University set up a Sub-Department of HR Development within the HR Department and recruited a permanent head for this position. This group is responsible for coordinating training and development during the whole course of the employee lifecycle, including for researchers R1-R4.

Immediately following this, the University of Siegen has officially joined the HR development network in Germany (*UniNetz PE*) in the autumn of 2017 and regularly attends its annual conference.

R4 researchers in particular are welcomed to the university in a joint session with Department heads to take note of their wishes and needs; they also get a budget for their own further qualification.

Regarding the R1-R3 researchers, the “House of Young Talents” postgraduate academy, in coordination with the other stakeholders and in particular the faculties, has coordinated a massive increase in offerings for training and development for junior researchers, including in close cooperation with external and internal trainers and coaches.

The HYT has received 3.0 FTE permanent positions, aligned with the faculties, for this. It is closely coordinating with:

- Alumni Association
- Career Service
- Centre for Supporting Teaching in Higher Education (Courses in didactics)
- Computer and Media Centre
- Connect.US (Transfer service)
- Dual Career Service
- Entrepreneurs’ Office
- Family Service Office
- FoKoS Research “Centre Shaping the Future”
- Language Centre
- Research-Support Unit
- University Library
- University Publishing House “universi”
- Women-Specific Mentoring Programme and Women Career Service

as well as with various faculty-based programmes.

The major aim must be to coordinate and complement, and incrementally upgrade, but not to further enlarge, the programme. The HYT itself is up for external review in 2019 according to guidelines issued by the German University Association for Advanced Graduate Training (GUAT), of which the University of Siegen has been a member since the HYT’s inception early in 2016. In 2019, the HYT’s head also joined a GUAT working group (on Open Science and Research Integrity) for the first time.

In 2019 the University, a long-time EUA member, has also joined the EUA-CDE, and the head of the HYT delivered a short paper at the thematic workshop in Amsterdam in January 2019. The University is increasing its best-practice cooperation across Europe and has forged contacts with several ERA institutions.

In this field, too, a phase of consolidation and instituting benchmarking, taking into account input from best-practice examples across Germany and indeed the ERA, seems to be the order of the day as opposed to a further expansion at this point.

## 4 Monitoring of Phase I Actions of November 2016

### Main Action 1. Conclusion of a Supervision Agreement for PhD Researchers<sup>2</sup>

The University of Siegen has the legal obligation to conclude the template of a supervision agreement (*Betreuungsvereinbarung, Promotionsvereinbarung*) specifying the mutual obligations of doctoral researchers and their supervisors. A draft is currently being debated and revised in talks with the faculties, especially the Faculty Councils (*Fakultätsräte*) and PhD Committees (*Promotionsausschüsse*).

**Intended beneficiaries.** Doctoral researchers

**Responsibility.** The University Rectorate, with lead responsibility assumed by the Vice-President for Research and Junior Academics, supported by the head of the House of Young Talents and his team, will pursue its talks on the existing draft of a supervision agreement with the competent institutions (Faculty Councils and PhD Committees) of the four faculties and in consultation with the Legal Department. The responsible organs (Rectorate and Senate) of the University as well as of the faculties will pass the finalized agreement.

**Timeline for Implementation:** The process is ongoing; the final supervision agreement is to be passed by December 2017.

**Monitoring:** In the original application in 2016, the University of Siegen planned to conclude the template of a supervision agreement (*Betreuungsvereinbarung, Promotionsvereinbarung*) specifying the mutual obligations of doctoral researchers and their supervisors. This template has been passed unanimously by the Academic Senate in the Summer Semester 2018 (later than originally intended because of significantly extended discussions with the faculties).

**Status:** Completed in quarter 2/2018. The further implementation will be transferred to a new action.

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<sup>2</sup> Referring to the principles "Relations with Supervisors" [No 10], "Supervision and Managerial Duties" [No 11] and "Supervision" [No 26].



## Main Action 2. Implementation of a Tenure-Track Model<sup>3</sup>

The University of Siegen is in the final stages of developing a tenure-track model for junior professors (*Juniorprofessoren*), focused in particular on making the options included in the Federal/State “Pact for Junior Academics” (*Nachwuchspakt*) both innovative and sustainable in the long run. This model will provide for clear goals and performance agreements (*Ziel- und Leistungsvereinbarungen*) and how they are to be evaluated, thus providing full transparency on the paths towards tenure.

**Intended beneficiaries.** Junior professors

**Responsibility.** The University Rectorate, with lead responsibility assumed by the Vice-President for Research and Junior Academics, based on proposals to be submitted by the faculties and by the head of the Human Resources Department (*Personnaldezernat*), and supported by the House of Young Talents (regarding best-practice examples) and the Departments of University Planning and of Finance (regarding sustainability), will pass a tenure-track model.

**Timeline for Implementation:** The process is ongoing; the model is to be passed by February 2017.

**Monitoring:** In the original application in 2016, the University of Siegen planned to develop a tenure-track model for junior professors (*Juniorprofessoren*), focused in particular on making the options included in the Federal/State “Pact for Junior Academics” (*Nachwuchspakt*) both innovative and sustainable in the long run.

This model was to provide for clear goals and performance agreements (*Ziel- und Leistungsvereinbarungen*) and how they are to be evaluated, thus providing full transparency on the paths towards tenure. The relevant statute has been passed unanimously by the Academic Senate in the Summer Semester 2018 and is already fully implemented.

**Status:** Completed in quarter 3/2018.

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<sup>3</sup> Referring to the principles “Stability and Permanence of Employment” [No 17], “Career Development” [No 20], “Supervision” [No 26], “Evaluation/Appraisal Systems” [No 28] and “Postdoctoral Appointments” [No 40].



### **Main Action 3. Improved Transparency and Perspectives for Postdoctoral Researchers<sup>4</sup>**

The University of Siegen recognizes a need to provide greater transparency and to work towards greater stability of postdoctoral careers and career options. This effort includes the tenure-track model (see Main Action 2), but also alternative paths. Natural mentors regarding career paths, not only in academia but also in other public institutions, in private firms/industry or as entrepreneurs, are the immediate superiors (professors) working in a similar area with similar expertise. Complementing this, existing counselling, coaching and mentoring opportunities are to be expanded in reach and depth, on a strictly voluntary basis and taking into account career paths inside and outside the university system.

**Intended beneficiaries.** Postdoctoral researchers, especially those in an early-post-doc stage

**Responsibility.** The Human Resources Department, assuming lead responsibility but working closely with the faculties, the House of Young Talents, the Vice-President for Research and Junior Academics and all actors engaged in counselling, mentoring and coaching; taking into account best-practice examples; and consulting with the Staff Council for Academic and Artistic Personnel (*Personalrat für wissenschaftliches und künstlerisches Personal*), will develop measures to improve transparency and stability of career paths for postdoctoral researchers.

**Timeline for Implementation:** The measures are to be presented to the responsible organs (Rectorate, Senate) by the end of 2017 and to be passed by March 2018.

**Monitoring:** In the original application in 2016, the University of Siegen planned to provide greater transparency and to work towards greater stability of postdoctoral careers and career options. The Postgraduate Academy “House of Young Talents”, working with the HR Department, the Research Support Office and the German Association of University Professors and Lecturers, has implemented workshops directed at postdoctoral researchers in every term since Winter 2017/18, including e. g. on ERC grant proposals.

**Status:** Completed in quarter 1/2018. The workshop programme will continue along these lines indefinitely.

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<sup>4</sup> Referring to the principles “Stability and Permanence of Employment” [No 17], “Career Development” [No 20], “Supervision” [No 26] and “Postdoctoral Appointments” [No 40].

## **Main Action 4. Review of Current Recruitment Policies and Practices with Respect to the OTM-R Principles<sup>5</sup>**

The University of Siegen has in recent years instituted quality control mechanisms incorporating many elements of the “Open, Transparent and Merit-Based Recruitment of Researchers” (OTM-R); these include general quality control mechanisms (including specific elements on recruitment) as well as an order and guidelines for professorial appointments and general guidelines for recruitment, securing e. g. transparency, non-discrimination (including gender balance in recruiting commissions), openness and other relevant points.

**Intended beneficiaries.** All researchers

**Responsibility.** The Human Resources Department, assuming lead responsibility, will install a working group including relevant stakeholders of the University, in particular the faculties, 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. 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.

**Timeline for Implementation:** 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.

**Monitoring:** In the original application in 2016, the University of Siegen planned to install a working group including relevant stakeholders of the University, in particular the faculties, 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.

Consultations of the working group have so far focused on the professorial (R4) level. The University of Siegen has in addition attended all sessions of the HRS4R Working Group of the German University Rectors’ conference, including one (at Düsseldorf in 2017 largely dedicated to OTM-R, keynote by Professor Fulvio Esposito). The synopsis is ongoing.

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<sup>5</sup> Referring to the principle “Recruitment” of the “Charter for Researchers” [No 31] as well as to the complete “Code of Conduct for the Recruitment of Researchers”: “Recruitment” [No 32], “Selection” [No 33], “Transparency” [No 34], “Judging Merit” [No 35], “Variations in the Chronological Order of CVs” [No 36], “Recognition of Mobility Experience” [No 37], “Recognition of Qualifications” [No 38], “Seniority” [No 39] and “Postdoctoral Appointments” [No 40].

The e-recruitment tool currently being implemented by a working group at the HR Department (not including the members of the HRS4R working group, but closely cooperating with them) may move the University of Siegen forward towards a full implementation of OTM-R. It has nonetheless not been found suitable to include the e-recruitment tool and its OTM-R implications as a separate action, as the pressing needs for the tool are intrinsic and the University is moving as fast as it can on this count, but various delays based on stakeholder input and software adaptation cannot be estimated, meaning that the actual OTM-R monitoring role of the tool may be postponed for an indeterminate, but significant number of months, even years.

**Status:** In Progress. The synopsis is ongoing in consultation with other universities in the HRS4R Working Group.

## **Supplementary Action 1 (Action 5). Finalization of a Human Resources Development Concept<sup>6</sup>**

The University of Siegen has aligned its Human Resources Strategy for Researchers with the process streamlining existing modules into a comprehensive and sustainable Human Resources Development Concept (*Personalentwicklungskonzept*) comprising all personnel, including staff in administrative and technical support of research and academic teaching. As the processes have been moving in tandem, the Human Resources Development Concept is almost finalized.

**Intended beneficiaries.** All employees of the University, including all researchers

**Responsibility.** The Human Resources Department, assuming lead responsibility, with support from the House of Young Talents (regarding junior researchers), will present the concept, after mandated consultations with employee representatives (Staff Councils, Equal Opportunities Officer, Representative of Employees with Disabilities) to the responsible organs (Rectorate, Senate) of the University.

**Timeline for Implementation:** The current drafts being optimized will be finalized and merged by January 2017. The responsible organs will pass the concept by February 2017.

**Monitoring:** In the original application in 2016, the University of Siegen planned to finalize and pass a Human Resources Development Concept.

This concept, after consultation with stakeholders, was indeed passed by the University Rectorate in May 2017 and published: [https://www.uni-siegen.de/zuv/dezernat4/abteilung\\_4\\_1/arbeitshilfen/personalentwicklungskonzept-universitaet-siegen.pdf](https://www.uni-siegen.de/zuv/dezernat4/abteilung_4_1/arbeitshilfen/personalentwicklungskonzept-universitaet-siegen.pdf) (German only). Regarding researchers, it is closely aligned with the HRS4R strategy.

**Status:** Completed in Quarter 2/2017. The concept will be reviewed periodically.

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<sup>6</sup> Referring to the principles “Continuing Professional Development” [No 12] and “Career Development” [20], but in a more general sense to all principles of the “European Charter for Researchers” and the “Code of Conduct for the Recruitment of Researchers”.

## **Supplementary Action 2 (Action 6). Optimized Information of Early-Stage and Experienced Researchers on the Rules of Good Scientific Practice and the Ethics of Science<sup>7</sup>**

For most junior researchers, the professor is a natural guide regarding good scientific practice. In addition, the University of Siegen has established several organs, including a Council for Ethics in Research, and has various quality control mechanisms in place, to address ethical concerns and prevent academic misconduct. To optimize the proactive information of all researchers, but with a particular focus on junior and incoming researchers, the House of Young Talents and the Human Resources Department will jointly organize regular workshops, incorporating input from other stakeholders, at least one in English and one in German at least once a year each, open to all researchers on a voluntary basis and addressing all aspects of the Charter for Researchers and related issues. Relevant material will also be made available to researchers in electronic form. New employees will receive a “Welcome Folder” with pertinent information.

**Intended beneficiaries.** All researchers, with a focus on junior and incoming staff

**Responsibility.** The House of Young Talents (regarding junior researchers) and the Human Resources Department (regarding full professors) assume lead responsibility, aggregating input from external experts and other stakeholders, especially the faculties.

**Timeline for Implementation:** The workshops are to be offered for the first time not later than 2018. The “Welcome Folders” are to be handed out to all newly employed researchers from January 2018.

**Monitoring:** In the original application in 2016, the University of Siegen planned to organize regular workshops, incorporating input from other stakeholders, at least one in English and one in German at least once a year each, open to all researchers on a voluntary basis and addressing all aspects of the Charter for Researchers and related issues. Relevant material was also be made available to researchers in electronic form, and included in a “Welcome Folder” for new employees.

This has been implemented and is gradually being expanded (webinars).

**Status:** Completed in Quarter 3/2017. The workshop programme will continue along these lines indefinitely. The welcome folder is in the process of revision.

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<sup>7</sup> Referring to the principles “Research Freedom” [No 1], “Ethical Principles” [No 2], “Professional Responsibility” [No 3], “Professional Attitude” [No 4], “Contractual and Legal Obligations” [No 5], “Accountability” [No 6], “Good Practice in Research” [No 7], “Dissemination, Exploitation of Results” [No 8], “Public Engagement” [No 9], “Intellectual Property Rights” [No 24] and “Co-Authorship” [No 25].

### **Supplementary Action 3 (Action 7). Optimization of Cross-Faculty Professional Development Courses<sup>8</sup>**

Subject-oriented professional development of researchers takes place in the faculties and their departments, seminars, institutes, chairs and groups. In addition, co-operation with external (including intersectoral) partners and participation in national and international expert associations and professional societies and attendance at their conferences and meetings guarantee continuing professional development. Support mechanisms regarding such participation are in place. For cross-faculty (interdisciplinary) professional courses, the House of Young Talents and the Human Resources Department will upgrade a curriculum of voluntary courses and analyse potentially unmet needs, including regarding distance learning (e-learning, blended learning).

**Intended beneficiaries.** All researchers, with a focus on junior and incoming staff

**Responsibility.** The House of Young Talents (regarding junior researchers) and the Human Resources Department (regarding full professors) assume lead responsibility, systematically collecting evaluations from researchers and moving to fill perceived gaps.

**Timeline for Implementation:** The analysis of existing offers, begun in 2015/16, will be continued until February 2019, with changes to the available formats incorporated regularly (every six months) on the basis of feedback. A full report will be issued in June 2019.

**Monitoring:** In the original application in 2016, the University of Siegen planned to upgrade a curriculum of voluntary courses and analyse potentially unmet needs, including regarding distance learning (e-learning, blended learning).

This has been implemented, including the start of a set of webinars targeted also at ITN and RISE consortia involving the University of Siegen.

**Status:** Completed in Quarter 3/2017. The workshop programme will continue along these lines indefinitely. The webinar programme is being developed.

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<sup>8</sup> Referring to the principles “Continuing Professional Development” [No 12], “Access to Research Training and Continuous Development” [No 22] and “Access to Career Service” [No 23].

## **Supplementary Action 4 (Action 8). Joint Web Presence of Actors in Human Resources Development<sup>9</sup>**

At the University of Siegen, various actors complement each other in providing interdisciplinary workshops, courses and events, as well as offering counselling, coaching and mentoring to a range of groups from students to full professors, with unavoidable and indeed desirable overlap. To make finding and choosing suitable courses and other offers easier for the intended beneficiaries, a joint web presence is to be implemented providing annotated links to individual actors.

**Intended beneficiaries.** All members of the University, including all researchers

**Responsibility.** The Human Resources Department, assuming lead responsibility, with support from the Press Office and the Computer and Media Centre, will coordinate the website, incorporating input delivered by the Working Group Human Resources Development (*Arbeitskreis Personalentwicklung*) set up by actors in 2016.

**Timeline for Implementation:** The web presence will be made available by the end of 2017.

**Monitoring:** In the original application in 2016, the University of Siegen planned to implement a joint web presence providing annotated links to individual actors.

This has so far been implemented only in a rudimentary fashion. The newly established Sub-Department for HR Development within the HR Department is developing the plan in regular meetings with other stakeholders.

**Status:** Extended, to be completed in Quarter 4/2019. The near-future implementation also depends on envisaged changes to the Content Management System (CMS).

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<sup>9</sup> Referring to the principles “Continuing Professional Development” [No 12], “Access to Research Training and Continuous Development” [No 22] and “Access to Career Service” [No 23].



## **Supplementary Action 5 (Action 9). Survey Regarding Tele-Work/Home Office and Optimization of Collective Agreement<sup>10</sup>**

Since 2006, the University of Siegen has been continuously re-certified as a family-friendly institution of higher education. Collective Agreements (*Dienstvereinbarungen*) regarding flexible working hours (last revised in 2015) and regarding tele-work/Home Office (2009) are in place, and a large number of individual models with respect to part-time work are practised. The Collective Agreement on tele-work/Home Office is currently being evaluated and reviewed.

**Intended beneficiaries.** All employees of the University, including all researchers

**Responsibility.** The Human Resources Department, assuming lead responsibility, in close contact with the working group which includes employee representatives (Staff Councils, Equal Opportunities Officer, Representative of Employees with Disabilities), 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.

**Timeline for Implementation:** The report on the survey will be completed by June 2017, and the agreement modified accordingly (if necessary) by the end of 2017, to be passed by the relevant organs (Rectorate, Senate) of the University by February 2018.

**Monitoring:** In the original application in 2016, the University of Siegen planned to evaluate and review the Collective Agreement on telework/Home Office.

This has been achieved and a new agreement drafted, which is currently debated with the relevant stakeholders (Staff Council).

**Status:** Completed in Quarter 3/2017. The amending/passing of the new draft is subject to negotiations.

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<sup>10</sup> Referring to the principle “Working Conditions” [No 16].

## 5 New Actions (Phase II Actions) of April 2019

### **10. Implementation of the Supervision Agreement Template for PhD Researchers in the Faculties<sup>11</sup>**

After the successful passing of the template for the whole university in its Academic Senate, not without some debate, but unanimously, the next phase includes the implementation across the university.

This will be jointly undertaken by the Vicerector for Research and the HYT in talks with the faculties, the respective PhD councils of which will ultimately decide on the procedures, as is their prerogative.

This is to be completed by Quarter 2/2020 (intended publication of the final faculty templates).

### **11. Information and Support Measures for Junior Researchers with Health Impairments<sup>12</sup>**

As part of its ongoing diversity audit, the University is undertaking a number of measures to improve the inclusive approach to junior researchers with health impairments. With this in view, the Vicerectorate for Lifelong Learning and Diversity, the Disabled Employees Representative, the Staff Council for Academic and Artistic Personnel and the HYT have jointly organised an event on "The Doctorate for researchers with disabilities or chronic illnesses" on June 25, 2018, and participated in a Germany-wide meeting of interested universities and stakeholders at Cologne in January 2019. The aim is to improve the information and support structure and offering the event every year.

Lead responsibility will be with the HYT.

This is to be completed by Quarter 4/2019. The work on the input for the yearly event and additional input has begun.

### **12. Increased Participation of Women in High-Quality Research Formats<sup>13</sup>**

As part of the "Equal Opportunities in the Future" Concept for the University of Siegen passed in 2018, the HYT and the Research Support Office have made pledges to try raising significantly the participation of women in high-quality research formats by directly targeting them for additional information. This has led to a significant increase of

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<sup>11</sup> Referring to the principles "Relations with Supervisors" [No 10], "Supervision and Managerial Duties" [No 11] and "Supervision" [No 26].

<sup>12</sup> Referring to the principles "Non-Discrimination" [No 14].

<sup>13</sup> Referring to the principles "Non-Discrimination" [No 14].

women participating in the ERC event organised by the two institutions on April 16, 2019. The policy is to be implemented across all funding information drives.

Lead responsibility will be with the HYT, in cooperation with the Research Support Office.

This is to be completed by Quarter 4/2019. The lessons learned from the ERC event are to be adapted to other events.

## 5 Conclusion

The University of Siegen has made significant progress in optimizing the situation of researchers at all stages of their careers and continues to be an attractive address for international researchers. Recently introduced changes will, it is hoped, go a long way towards strengthening further the attractiveness of Siegen. In ensuring the implementation of measures and of the sustainability of existing mechanisms benefitting the principles of Charter and Code, the University hopes to send a strong signal about its commitment to ever improving conditions for researchers from Germany, the European Research Area and beyond.