

Code of Conduct for the University of Siegen

– A Statement of Values

University of Siegen

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Preamble

As befits its abiding social and academic mission, the University of Siegen is committed to serving as a model of exemplary conduct in all regards. To ensure unwavering compliance with all applicable laws, regulations, decrees, and third-party agreements, the university's administration, senate, and board of directors ratified this Code of Conduct as a guiding beacon for all community members and partners. It is intended to help them understand, honor, and adhere to the fundamental principles contained within.

This Code of Conduct reflects the university's active commitment to peaceful objectives and serves as an acknowledgment of its special responsibility for sustainable development and to building a world shaped by democracy, equitable society, the rule of law, and the values enshrined in the German constitution. Above and beyond this, the university is actively committed to achieving the United Nations' Sustainable Development Goals as laid out in Agenda 2030

In this sense, the university's motto of "Shaping a Human Future" is best viewed as a call to action, as an invitation to responsible participation in establishing enduring global, peaceable, and equitable interactions with and for one another across all levels of the ecosphere. The University of Siegen sees itself as a regional leader in instruction and qualification, research, and knowledge transfer and thus bears responsibility to set and maintain a standard worthy of the global stage in its education, training, and the exploration of general cultural questions. The University of Siegen embraces its overarching obligation to build a worthy

future for people and takes full ownership its accountability to people and society. For this reason, the mission statement of the University of Siegen covers a broad range of objectives, including

- **Targeted nurturing of students and early-career researchers**
- **Independence and freedom in scientific research and instruction**
- **Cultivation of participation and co-responsibility**
- **Fostering the concept of a European university space and of internationality and mobility, including support for international scientific cooperations and student exchanges**
- **Establishment of a culture of quality**
- **Embrace of diversity and an environment of inclusion and belonging founded on the principle of equal opportunity**
- **Promotion of equal opportunities between genders**
- **Unwavering dedication to equal opportunity for all members of the university community, especially those with disabilities or chronic illnesses**
- **Championing of a university that supports the needs of families and parents**
- **Accommodation to special needs arising from the university's location, Driving of cultural life in the city, region, and state**



- Long-term engagement with former students (alumni), Celebration of lifelong learning, Inspiring a good working environment
- Promotion of the health of members and affiliates of the university
- Encouragement for greater permeability between Germany's educational tracks
- Demonstration of sustainability in research, instruction, transfer, and administration
- Informing the general public about the fulfillment of its tasks.

Drawing on this mission statement of "Shaping a Human Future," the University of Siegen and its members and affiliates commit themselves to the following:

§1 Good Scientific Practices

§2 Fairness, Respect, Participation, and Transparency

§3 Acting with Integrity

§4 Business Processes

§5 Privacy Protection and IT Security

§6 Commitment to Environmental Sustainability

§7 Compliance with this Code of Conduct



Good Scientific Practices

One pillar of the University of Siegen's mission is training students to engage in independent scientific thought, analysis, and work, in preparation for professions requiring an education in the sciences. The members and affiliates of the University of Siegen in particular are expected to serve as models for their students in all matters of good scientific practice. This begins with a comprehensive quality assurance system.

The University of Siegen tolerates no scientific misconduct. In particular, an ombuds system has been established to ensure good scientific practice. Where our community members must commit to ethical codices from external funding partners regarding good scientific practice, these too must be followed.

The members and affiliates of the University of Siegen do not preempt research results of others, nor do they plagiarize. Intellectual property — copyrights, patents, brands, designs, models, prototypes, and information provided on a confidential basis — is always to be acknowledged as such and safeguarded. This in no way contradicts the goal of open science, which seeks greater transparency in knowledge, research data, and information about research processes and a willingness to share this information within collaborative research networks to achieve greater dissemination, reproduction, and refinement.

§2

Fairness, Respect, Participation, and Transparency

The University of Siegen tolerates no discrimination or hate directed at specific groups, sexual harassment, bullying, stalking, or disrespectful behavior in any form. No one at the University of Siegen should be advantaged, disadvantaged, or excluded based on their ethnic background, gender, religion or world view, disability, age, or sexual identity. The University of Siegen's official equal opportunities policy provides concrete details on this.

Inclusion is a fundamental principle in involving all members and affiliates of the University of Siegen in the shaping of their own future. To interest and involve as many persons as possible in the decisions being made at the University of

Siegen, decision-makers at the university will provide transparent information (as permitted by law) and comprehensible documentation of relevant assessment processes.

The University of Siegen commits to building a working environment where employees can perform their best and pursue self-development, which in turn promotes the long-term goals of the university itself. As befits the nature of the institution, a special emphasis is placed on helping early career researchers achieve their qualification goals.

§3

Acting with Integrity

All units at the University of Siegen base their decision making on the university's published "Practices of Good Governance," its regulations and business policies, and its "General Planning Principles" for orderly university planning, which are based upon the principles of thoroughness, precision, materiality, consistency, economy, verifiability, uniformity, and sustainability. In this way, the University of Siegen ensures that its business processes — especially those which are innovative and those for which practical experience is limited, including self-financed construction projects, public-private partnerships, and financing of new faculties — all undergo relevant reviews of their risks and finances, documented in an orderly

and transparent manner by the project stakeholders. Employees whose responsibilities include the entry or sharing of accounting or financial data, calculation and transmission of indicators, and management and dissemination of other types of information must ensure that any such data, indicators, and information are accurate, reliable, and true. Correct and complete recording of invoice-related information is safeguarded through adequate internal control systems. Decisions that affect specific persons, such as appointment negotiations, are governed by suitable standards and regulations



The University of Siegen complies with labor law. This applies to its recordkeeping, wage classifications, hiring and promotion procedures, and its approach to equal opportunities. It respects the legally mandated minimum wages and adheres to the applicable labor law in all matters involving working hours and paid vacation time. It respects the freedom of association of its employees and their right to representation. It adheres to the

applicable safety and occupational health regulations, informs its members and affiliates routinely about applicable safety regulations, especially as regards changes to these, and obligates its members and affiliates to acknowledge and adhere to these safety regulations as well as active participation in preventing accidents, risks, and damage.

§4

Business Processes

The members and affiliates of the University of Siegen adhere to the state and university anti-corruption regulations, and as such tolerate no unethical self-enrichment by public officials, corruption, granting of undue advantage, bribery, contracts with family members, or failure to disclose commercial activities outside the institution.

The commercial activities and decisions by the members and affiliates of the University of Siegen must serve the common good of the University of Siegen and may not be motivated by personal interest or relationships with cooperation partners in research, instruction and third mission, suppliers, other employees, or persons connected to employees. Employees whose duties require them to negotiate

with business partners of the University of Siegen and to reach agreements on goods and services commit to adhering at all times to the requirements of the applicable procurement laws. They do not engage in fraud related to grant, misuse of finances or unauthorized reassignment of funds, nor in forgery of documents such as invoicing receipts or timekeeping logs, nor engage in embezzlement. They are meticulous in their mandated record-keeping. They also adhere to export and import laws and the applicable embargo regulations when importing or exporting goods, especially dual use goods, and when engaging in knowledge transfer.

§5

Privacy Protection and IT Security

The University of Siegen takes the protection of its employees' personal data seriously. In compliance with applicable data privacy laws, personal data of employees is only processed to the extent required for employment.

All members and affiliates at the University of Siegen and its business and cooperative partners are obligated to protect sensitive information (documents, digital data) regardless of whether these are publicly available or whether employees have received explicit access to them. Employees at the University of Siegen whose duties require them to communicate with interest groups at the university regarding financial and non-financial information will handle these

responsibilities openly and in accordance with the applicable laws and regulations.

With reference to IT security, the members and affiliates of the University of Siegen as well as their commercial and cooperative partners are expected to observe and adhere to the instructions, guidelines, and contracts put in place by the University of Siegen for confidentiality and IT security. Each individual acknowledges that their individual behavior in handling data and using the internet impacts the overall state of IT security at the University of Siegen.

§6

Commitment to Environmental Sustainability



To University of Siegen's sees ecological responsibility as a central pillar in its work. Its members and affiliates comply with guidelines and instructions put in place by the University of Siegen to preserve natural resources, protect the environment, reduce energy consumption, and recycle waste products, and ensure that business and cooperative partners are aware of and adhere to these requirements as well.

When making procurement decisions regarding goods, the members and affiliates of the University of Siegen engage in due diligence and assess not only the economic factors, but also criteria involving ecological and social sustainability. The use of goods for which unethical production practices are suspected is to be avoided.

§7

Compliance with this Code of Conduct

The members and affiliates of the University of Siegen endeavor at all times to do the right thing. This requires learning the rules of proper conduct and, in case of doubt, pausing their work and consulting with their managers or university administration about what the right thing might be in their specific situation. If a person is of the opinion that something is not running properly at the University of Siegen, a mechanism must be in place for these concerns to be addressed.

The University of Siegen provides members and affiliates with consulting and support programs to help fulfill their own ethical understanding of themselves and their job. The various contact points and partners for such themes include supervisors, the Human Resources department, the university's equal opportunity officer, the staff councils, the liaison for the severely disabled, the representative of youth and trainees, the AStA as well as the student council, the ombudsperson and the ombuds committee for clarification of scientific misconduct, the Council for Ethics in Research, the Quality Center Siegen, and the psycho-social consultation office. The staff of the Rector's Office and the Legal and Academic Affairs division are also available for consultation in cases of doubt about compliance with this Code of Conduct and or other impermissible behavior. Beyond this, all stakeholders are also free to take advantage of other internal or external consultation options. All consulting and support contacts are entrusted with ensuring

that members and affiliates of the University of Siegen who bring forward a complaint are protected against threats, harassment, prosecution, or other retaliation.

In particular, the management at the University of Siegen is expected to create a university culture in which all members and affiliates at the University of Siegen community can properly live out the expectations in this Code of Conduct. In addition, the managers will ensure that goals of the University of Siegen are not achieved through unfair means.

Intentional violations of this Code of Conduct or its fundamental policies, or inciting others to violate this Code of

Conduct, or retaliating against whistleblowers, can have far-ranging personal consequences. With the awareness that accusations of a violation against the Code of Conduct can threaten the professional existence of the accused party, the University of Siegen, and in particular those involved with investigating the matter, will always act with the greatest care and discretion in their efforts.

Appendices

All points in this Code of Conduct fall under detailed regulations already published by the University of Siegen and are available to all members and affiliates of the University of Siegen community. They have been primarily published in the original German in the Official Gazette of the university, or as procedures for the individual departments of the university administration. The following list contains key sources (in German only) for the most important regulations.

Preamble

Leitbild der Universität Siegen

Nachhaltigkeitsleitbild der Universität Siegen

Sustainable Development Goals der Vereinten Nationen

Good Scientific Practices

Publikationsrichtlinie der Universität Siegen (amtl. Mitteilung Nr. 39/2021)

Tenure-Track-Ordnung (amtl. Mitteilung Nr. 45/2018)

Ordnung über das Qualitätsmanagement (amtl. Mitteilung Nr. 55/2018)

Evaluationsordnung (amtl. Mitteilung Nr. 78/2017)

Ordnung für den Rat für Ethik in der Forschung (amtl. Mitteilung Nr. 129/2015)

Ordnung zur Sicherung guter wissenschaftlicher Praxis (Ombudssystem) (amtl. Mitteilung Nr. 48/2022)

DFG-Kodex „Leitlinien zur Sicherung guter wissenschaftlicher Praxis“

Urheberrecht in der Wissenschaft

Fairness, Respect, Participation, and Transparency

Richtlinie für einen respektvollen Umgang (amtl. Mitteilung Nr. 77/2020)

Gleichstellungskonzept

Hinweise zur geschlechtergerechten Sprache

Digital Diversity-Guide

Leitlinien für die Ausgestaltung der Qualifizierungsphase von Nachwuchswissenschaftlerinnen und Nachwuchswissenschaftlern an der Universität Siegen

Acting with Integrity

Grundsätze einer guten Hochschulführung (Beschlussfassung HSR Universität Siegen vom 30.11.2015)

Planungsgrundsätze

Berufungsordnung (amtl. Mitteilung Nr. 63/2014)

Business Processes

Grundordnung (amtl. Mitteilung Nr. 71/2020)

Wahlordnung (amtl. Mitteilung Nr. 76/2020)

Wahlordnung der Verfassten Studierendenschaft (amtl. Mitteilung Nr. 35/2019)

Verfahrensregelungen zur Durchführung von elektronischen Wahlen und geheimen Abstimmungen sowie Briefwahlen für die Gremien (amtl. Mitteilung Nr. 37/2021)

Geschäftsordnung für die Universitätsverwaltung (amtl. Mitteilung Nr. 20/2020)

Geschäftsordnung des Senats (amtl. Mitteilung Nr. 6/2010)

Geschäftsordnung des Hochschulrats (amtl. Mitteilung Nr. 113/2017)

Hausordnung (amtl. Mitteilung Nr. 79/2015)

Personalentwicklungskonzept

Rahmenvereinbarung zur Ausgestaltung des flexiblen Arbeitsortes

Dienstanweisung für die ordnungsgemäße Erledigung des Zahlungsverkehrs an der Universität Siegen

Dienstanweisung für die Anlagenbuchhaltung der Universität Siegen

Dienstanweisung für das Forderungsmanagement an der Universität Siegen

Bewirtungskostenrichtlinie

Trennungsrechnung an der Universität Siegen

Hinweise und Arbeitshilfen zu export-, import- und zollrechtlichen Vorschriften der Universität Siegen

Informationen zu Exportkontrolle und Wissenschaft (Academia) des Bundesamts für Wirtschaft und Ausfuhrkontrolle

Leitfaden zum Projektmanagement für Forscherinnen und Forscher

Merkblatt: Eigenanteil in Drittmittelprojekten

Richtlinien für die Erteilung und Vergütung von Lehraufträgen (amtl. Mitteilung Nr. 7/2019)

Appendices

Privacy Protection and IT Security

Informationssicherheit als strategische Aufgabe der Hochschulleitung

Leitlinie zur Informationssicherheit (amtl. Mitteilung Nr. 83/2020)

Richtlinie zur Nutzung von Meeting-System und Cloud-Diensten (amtl. Mitteilung Nr. 41/2020)

Richtlinie über die Aufbewahrung, Aussonderung, Archivierung und Vernichtung von Unterlagen (amtl. Mitteilung Nr. 14/2019)

Ordnung zum Datenschutz (amtl. Mitteilung Nr. 41/2006)

Handreichung Datenschutz Voraussetzungen einer wirksamen Einwilligung nach der DSGVO

Commitment to Environmental Sustainability

Nachhaltigkeitsleitbild der Universität Siegen

Kultur der Nachhaltigkeit

Compliance with this Code of Conduct

Richtlinie für einen respektvollen Umgang (amtl. Mitteilung Nr. 77/2020)