

EURAXESS

Internal Review

Case number

2019DE383943

Name Organisation under review

University of Siegen

Organisation's contact details

Adolf-Reichwein-Str. 2a, Siegen, 57068, Germany

Submission date to the European Commission

15/08/2022

1. Organisational Information

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

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	1204,24
Of whom are international (i.e. foreign nationality) *	227
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	365,55
Of whom are women *	407,33
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	249,99
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	287,18
Of whom are stage R1 = in most organisations corresponding with doctoral level *	667,07
Total number of students (if relevant) *	17659
Total number of staff (including management, administrative, teaching and research staff) *	1901,95
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	193592814
Annual organisational direct government funding (designated for research)	130676517
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	36880547

RESEARCH FUNDING (figures for most recent fiscal year)

€

Annual funding from private, non-government sources, designated for research

513287

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

The University of Siegen is a young (established 1972) university dedicated to research and research-based teaching, located in the extreme south of Germany's most populous state of North Rhine-Westphalia. With some 250 full professors, 1,000 other academic staff, and almost 18,000 students, it is mid-size. 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 Educational Sciences/Social Work and Economics/Law advancing in research prominence as well, and a Faculty of Life Sciences in the process of being founded.

2. Strengths and weaknesses of the current practice

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

Note: Click on the name of each of the four thematic headings of the Charter & Code to open the editor and provide your answers in the Internal Review for Interim Assessment dedicated section.

Ethical and professional aspects*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

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 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 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.

Strengths and Weaknesses (Award Renewal, max 500 words) *

After the improvements of the prior phases which the university is also trying to expand upon, the university has focused its efforts in this area on two aspects: **diversity** and **Open Science**.

Major changes after the publication of the University of Siegen's Guidelines for Good Scientific Practice (22 December 2015) concern the field of Open Science, two aspects of which were debated by the Rectorate while the initial assessment was ongoing and passed immediately after:

- Research-Data-Policy of the University of Siegen. Adopted by the Rectorate of the University of Siegen on March 30th 2017 (https://www.uni-siegen.de/start/die_universitaet/ueber_uns/hochschulentwicklung/research_data_policy_en.pdf)
- Open-Access-Policy of the University of Siegen. Adopted by the Rector's Office of the University of Siegen on March 30th, 2017 http://www.uni-siegen.de/start/die_universitaet/ueber_uns/hochschulentwicklung/open_access_policy_en.pdf

These two fields (Research Data Management and Open Access) are increasingly fusing (with others) in the more general field of Open Science, which is a major priority of the University, under the project leadership of the University Library (*Universitätsbibliothek UB*) and the Centre for Information and Media Technology (*Zentrum für Informations- und Medientechnologie ZIMT*). In order to offer concentrated support here, *UB* and *ZIMT* have set up a joint institution with one permanent qualified member from each, the e-Science-Service (eSs) in **Action 13**. This institution e.g.

- offers individual guidance
- helps with proposals
- offers courses for researchers R2-R4, including for research groups of any type of composition or funding, often in conjunction with the postgraduate centre "House of Young Talents" (HYT) and with the Data Protection Officer
- manages a repository for publications. This repository FoDaSi (*Forschungsdaten Siegen* = Research Data Siegen), successfully launched within the responsibility of the e-Science-Service in 2021, in itself constitutes **Action 14**.

The University is attempting to move also into more advanced fields of Open Science, like preregistration, but as the repositories for such purposes are generally centralized somewhere (or indeed hosted by subject-related entities like scientific societies, as is the case for many repositories also), this is not so visible; preregistration is mostly followed by chairs in psychology (Faculty V).

The University Library is proactively pushing Open Access publications, comprehensively supporting researchers R1-R4 in this regard (**Action 15**). Tools include

- the University publishing house universi
- the Publication platform Open Journal Systems (OJS) for publishing Open Access journals
- an Open Access publishing fund for articles in journals, plus Open Access financing via consortia or cooperations
- OPUS Siege = **O**nline **P**ublication **S**ervice, with which the *UB* provides an Open Access server for publications and documentes free of charge and gradually increasing in scope (i.e. inclusion of ORCID identity).

Remarks (max 500 words)

Recruitment and selection* **Strengths and Weaknesses (Initial Phase)****Strengths and Weaknesses (Interim Assessment)**

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 on compliance with 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.

Strengths and Weaknesses (Award Renewal, max 500 words) *

A dedicated team from the HR Department (*Personaldezernat*) has focused on improving our OTM-R policy, congruent with the area of recruitment/selection. A recruitment handbook of (currently) 122 pages was prepared with this in view (**Action 19**).

Key to the OTM-R policy is the successfully implemented dedicated website (**Action 20**) as a jobs portal for scientists, https://jobs.uni-siegen.de/?locale=en_US, which is directly connected to the SuccessFactors HR module in SAP, a leading software in this field. The surface is bilingual (German or English can be chosen). This bilingual portal reduces barriers for outside candidates massively; there is no e-mail (let alone “snail-mail”) needed, and data is secure according to high standards. In addition, a direct interface to EURAXESS (**Action 21**) is provided for chairs who are hiring. This may sound technical, but for the University, these nuts and bolts are actually part of the core of what OTM-R means. In the OTM-R field, Siegen is an innovator not only in Germany, but even beyond, as was also confirmed by the Euraxess bridgehead organisation in Germany at the German Aerospace Center (*Deutsches Zentrum für Luft- und Raumfahrt DLR*) in Bonn. The following German universities contacted the University of Siegen to partake of our SuccessFactors expertise during the implementation phase after learning about it e.g. at SAP Higher Education and Research User Group HERUG: Bonn (RFWU), Dortmund (TU), Dresden (TU), Fulda (HS), Hagen (FU), Köln (DSH). Beyond Germany, we were also contacted by the universities of Helsinki and Vienna.

Contrary to the (to be clear: generally correct!) perception of the Interim Report reviewers that we prioritized R4 over R1-R3 researchers in OTM-R, in this case it was the other way around, the portal has been live since early 2021 for R1-R2, but the version for R3 (junior professorships, W1 grade) and R4 (full professorships, grades W2 and W3) is only scheduled to go live (as confirmed by the Rectorate 21 July 2022) on 15 August 2022. This was a more “political” process, and governed by different statutes, but it must also be acknowledged that the University of Siegen has the coveted award for “Fair and Transparent Professorial Recruitment Process” by the German Association of University Professors and Lecturers (*Deutscher Hochschulverband DHV*), the (32,927 members in 2022) “trade union” of professors W1-W3 in Germany. This award (Siegen was an early adopter there, too) was renewed during the implementation phase. From 15 August, then, all hiring processes are fully digitalized.

In addition, the University is currently in the process of implementing two more significant improvements regarding OTM-R. There will be a candidate-specific hiring monitor where candidates can check their status (in their profile) on the portal in real time (**Action 22**); and the university is changing its job advertisements to distinguish fully and finally between hiring criteria which are mandatory and which are optional (**Action 23**). This is of great importance as it decreases “wobble room” for the hiring committee and ensures that they stick to the criteria as agreed upon beforehand and enshrined in the advert.

Remarks (max 500 words)

Working conditions*



Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

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.

Strengths and Weaknesses (Award Renewal, max 500 words) *

Many aspects of working conditions (as confirmed also by a cursory study of award renewal reports by other award-holding universities) can be found on the borderline with training and development, and indeed most pressing needs and resulting actions are located there.

The overwhelming majority of positions at R1 level, and (although to a lesser degree) at R2 level as well, are term-limited, according to the German system where most R1 researchers are being paid, as research assistants, as opposed to having to pay (as doctoral

students, for tuition).

Major changes regarding working conditions, mostly possible transitory, of course had to do with the Covid/Corona pandemic. The federal “Law on Fixed-Term Employment in Science” (*Wissenschaftszeitvertragsgesetz WissZeitVG*), covering early-career researchers R1 and R2, was e.g. amended to enable the extension of contracts of researchers who hit term limits during or due to the pandemic. This, of course, is mandatory as federal law and only the implementation is done locally.

The one area where major changes are being implemented by the university is the follow-up to Action 2 in the original Action Plan of 2016, the implementation of a tenure-track model. Historically, the so-called junior professors (W1 pay grade, term-limited to 3+3 years with an obligatory evaluation in the middle) were a somewhat problematic innovation introduced in Germany in 2002. These positions provided early career advancement and responsibility, but quite often lacked the perspective for the move to a permanent professorship after the completion of the 3+3 years at this level, which is regarded as equivalent to R3. A significant number of W1 professors even lacked the prerequisites for a permanent (R4) appointment, so their chances were slim to begin with.

To remedy this, the University of Siegen has, in 2016/17, begun to switch to a tenure-track model for all W1 and some term-limited (5-year) W2 professorships. That is, all term-limited professors (all W1, and those few W2 with term limits), if feasible (i.e., no project-financing for a limited time) are, already in the process of being hired for the term-limited W1/W2 position, negotiating a clear and transparent contract whereby both parties, the University and the tenure-track professor, agree on certain performance indicators in research (publications, grants, etc.) for the 3+3 or 5 years. If the professor then fulfils these criteria, a permanent professorship is de facto guaranteed them, including the denomination and the concrete value, W2 or W3. All forms of tenure-track exist: W1ttW2, W1ttW3, W2ttW2, and W2ttW3.

In order to ensure a comparable, if not unitary (because of major differences between quality criteria across subjects) standards, the university felt the need to establish a Tenure Board (**Action 24**) consisting of one very experienced R4 researcher from each of the (five) faculties. The role of the board is to ensure that criteria to be agreed upon for attaining the full professorship do not diverge too much between faculties. The board was constituted in February 2022 (after pertinent changes to the Tenure Track Order in July 2021) and has already completed several cases.

Remarks (max 500 words)

Training and development* ▼

Strengths and Weaknesses (Initial Phase)

Strengths and Weaknesses (Interim Assessment)

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 conferences.

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.

Strengths and Weaknesses (Award Renewal, max 500 words) *

The delayed external evaluation of the postgraduate centre “House of Young Talents” (HYT) (**Action 25**) took place at the end of 2020. It was carried out by peers including the long-time Vice-Rector for Junior Researchers of RWTH Aachen and the heads of the postgraduate centres at Karlsruhe (KIT) and Regensburg University. After the successful evaluation and despite the difficult financial circumstances, the HYT was expanded from 3.0 to 3.5 FTE (addition of a secretariat as recommended by the reviewers), the HYT programme having been at times overwhelmed with participants due to the possibility of attending online via videoconferencing without commute during the pandemic.

Also as a result of the evaluation, the HYT is adding a coaching module (external coaches) for postdocs (**Action 26**). The same target group, R2, is also aimed at with **Action 27** (which is also a follow-up to actions 3 and 7 of the original action plan): The HYT has pushed for a certificate to enable researchers with a PhD also to demonstrate their acquired skills in a compact form in applications. After two years of preparatory work, this certificate has started in the Winter Semester 2021 and comes in three forms: extra-university career; career in research/science; and career in research management. The intersectoral, extra-university variant has been cross-endorsed by seven North Rhine-Westphalian universities' rectorates. This form was partly modelled on the very successful certificate for Teaching in Higher Education which is offered by the Center for the Promotion of University Teaching (*Zentrum zur Förderung der Hochschullehre ZFH*).

Also partly expanding on Action 7 as well as the evaluation process, the HYT has started a dedicated programme (**Action 28**) to help ESRs in Collaborative Research Centres (CRCs), Research Training Groups (RTGs), Innovative Training Networks (ITNs) and the like. Some 20 dedicated workshops (“closed shop”) for these groups have taken place since 2020, mostly online or in hybrid form due to the

pandemic, but also to the geographical dispersal of ESRs e.g. of the ITNs.

On the initiative of the Research Service (*Referat Forschungsförderung*) and supported by the International Office's Welcome Center and the HYT, the Research in Europe (RiE) event (**Action 29**) with numerous funding organisations and several hundred attendees will take place in Siegen for the first time on 10 November 2022, to raise awareness R1-R4 on funding options.

The HR Development Section (*Abteilung Personalentwicklung*) of the HR Department (*Personaldezernat*) and the HYT are working, also in connection with the implementation of the tenure-track model at Siegen, on increased trainings and career development targetting R3 and R4 researchers (**Action 30**).

The Women-Specific Mentoring Siegen (*Frauenspezifisches Mentoring Siegen FraMeS*) is expanding (**Action 31**), having temporary funding due to a successful proposal, to more specifically address a) women postdocs as opposed to predocs, and international women researchers (English-language cohort).

Last but not least, the Equal Opportunities Office (*Gleichstellungsbüro*), the ZFH, HR Development and the HYT are working on a certificate on Gender & Diversity (**Action 32**).

Remarks (max 500 words)

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

The university has continued to participate in the meetings of the HRS4R working group of the German University Rectors' Conference (*Hochschulrektorenkonferenz HRK*). In discussions with numerous persons responsible for HRS4R across Germany (universities, universities of applied science, extra-university research institutions), and taking into account the significant successes already achieved in preparation of the endorsement letter since at least 2015 as well as in the phases between 2016 and 2019 and from 2019, the University has been focusing on four topical fields:

1. OTM-R and the systematization and standardization of open, transparent and merit-based recruitment of all personnel, including all researchers R1-R4. This is reflected in the major steps forward achieved in this regard with the SAP SuccessFactors tool since the interim assessment of April 2019, successes which have been widely diffused to other interested universities in Germany and beyond.

Anecdotal evidence leads to the assumption that OTM-R commitments are a major factor in holding German universities back from embarking on the HRS4R process. As of the award renewal phase in August 2022, only 22 awards had been granted in Germany, including 10 granted to universities (of which there are 114), and 4 to universities of applied sciences (of which there are 210). In this sense, Siegen sees itself as a pioneering institution in the tradition of our chancellor's participation as the sole German representative in the original OTM-R Steering Group reporting in July 2015, coinciding with the receipt of the "Fair and Transparent Professorial Recruitment Process" by the German Association of University Professors and Lecturers (*Deutscher Hochschulverband DHV*) that same year, which has since been re-awarded twice. So this is not a changed priority, but a refocused and reinforced one.

2. A more inclusive and proactively diversity-supporting university. Again, this is not really a "new" priority. Especially with regard to equal opportunities for women as well as family-friendliness, Siegen has been a pioneering institution, as shown by the successful applications/certifications consistently renewed for many years:

- Total E-Quality (https://www.uni-siegen.de/gleichstellung/chancengleichheit/auszeichnungen_zertifikate/equality.html.en?lang=en)
- Research-oriented equality standards of the German Research Foundation (https://www.uni-siegen.de/gleichstellung/chancengleichheit/auszeichnungen_zertifikate/standards.html.en?lang=en)
- Women professors programme, currently round III (https://www.uni-siegen.de/gleichstellung/chancengleichheit/auszeichnungen_zertifikate/professorinnenprogramm.html.en?lang=en)
- Family-friendly universities audit (https://www.uni-siegen.de/gleichstellung/chancengleichheit/auszeichnungen_zertifikate/audit.html.en?lang=en)

However, this has been augmented by an additional push towards the proactive support of diversity in general, with the certificate "Managing Diversity" (*Vielfalt gestalten*) of the Founders' Association for German Science (*Stifterverband für die deutsche Wissenschaft*), first awarded to Siegen University in February 2020 (<https://www.uni-siegen.de/diversity/aktuelles/891898.html>). This process has been enshrined in a Strategy Paper on Diversity Policies (https://www.uni-siegen.de/diversity/diversity_policies_of_the_university_of_siegen.pdf).

3. Another field exponentially growing in importance for researchers and increasingly focused is the whole area of Open Science, where the University has moved in particular regarding Open Access and Research Data Management/Open Data, but is also expanding in other areas.

4. Finally, the University is increasing its offerings for further education and training for all status groups, including researchers R1-R4.

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

The Corona/Covid pandemic has created unique challenges with regard to all aspects of university life since it began in early 2020. All teaching had to shift online, and even after the lifting of restrictions, courses had to be provided in hybrid or dual formats to accommodate "shielders" or

persons in general who could not attend in-person classes for health reasons. The challenges were generally met very successfully and provided an major (if involuntary) push towards digitalization, but they still took up a lot of bandwidth everywhere.

The University of Siegen is also in a once in a generation shift which also takes up an enormous amount of funding and bandwidth: Founded in 1972 to the north of the city of Siegen as it then was, in the city of Hüttental (fused with Siegen only on January 1, 1975), the university campus was newly erected on a hill, the “Education Hillock” (*Bildungshügel*) quite a distance from the urban centres and certainly Siegen city centre. In the last several years, the university, with the help of the state government, has been strategically buying, building, renovating and rehabilitating suitable structures in the very heart of Siegen (including one of the two castles, the lower castle), and the University is gradually moving there with most faculties and central facilities. This process is ongoing. Conversely, a major state-of-the-art building to carry out STEM subject research –micro- and nano-analytics – on several thousand square metres of new, customized lab space is currently being erected on top of the “Education Hillock” to augment the existing facilities of (the university’s largest) faculty (IV), the Faculty of Natural Sciences and Technology, which will stay in place and indeed be concentrated here.

Additionally, the University of Siegen is still in the process of establishing its Faculty V (Life Sciences).

Like all universities, Siegen faces demographic (decline of the number of students) as well as financial challenges as well, as the state of North Rhine-Westphalia from which the core funding (other than third-party funding) is derived, faces massive challenges: regarding a quickly ageing society; regarding the climate and biodiversity crises and the necessary shift to sustainability and decarbonization; regarding the corona virus pandemic and its long-term consequences; and now regarding the massive challenges to peace, security and globalization (fragmentation of supply chains) especially in the wake of Russia’s invasion of Ukraine.

There are numerous minor, but still significant changes (like e.g. the changed VAT regime) tangentially impacting research, but it would not be possible to spell those out here.

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

The priorities and commitments regarding the HR culture at the University are generally long-term and enshrined in all pertinent documents and structures, so it is not expected that they would negatively impact any of the new and/or ongoing actions according to the four priority topical areas outlined.

The University Development Plan (*Hochschulentwicklungsplan*) of 2015 is currently being adapted; it is fully in accord with the principles of Charter and Code.

https://www.uni-siegen.de/start/die_universitaet/ueber_uns/hochschulentwicklung/hochschulentwicklungsplan_web_03_2017.pdf

The University Compact North Rhine-Westphalia 2026 (*Hochschulvereinbarung NRW 2026*) between the state government of North Rhine-

Westphalia and its universities espouses general principles which also in no way contradict or impact the principles of Charter and Code.

https://www.uni-siegen.de/start/die_universitaet/ueber_uns/hochschulentwicklung/hochschulvereinbarung_nrw_2026.pdf

3. Actions

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

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

Proposed ACTIONS

Action 1	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
Main Action 1. Conclusion of a Supervision Agreement for PhD Researchers 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).	36. Relation with supervisors			Passed by the University Senate
	37. Supervision and managerial duties	2/2018	Rectorate	
	40. Supervision			
	Current Status	Remarks		
	COMPLETED	The further implementation will be transferred to a new action		

Proposed ACTIONS**Action 2**

Main Action 2. Implementation of a Tenure-Track Model 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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
11. Evaluation/ appraisal systems			
21. Postdoctoral appointments (Code)			
25. Stability and permanence of employment	3/2018	Rectorate	Passed by the University Senate
28. Career development			
40. Supervision			
Current Status	Remarks		
COMPLETED			

Proposed ACTIONS

Action 3

Main Action 3. Improved Transparency and Perspectives for Postdoctoral Researchers 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 centre "House of Young Talents" (HYT), working with the HR Department and the Research Service (Referat Forschungsförderung) 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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
21. Postdoctoral appointments (Code)			
25. Stability and permanence of employment	1/2018	HR Dept	HYT Semester Programmes (online)
28. Career development			
40. Supervision			
Current Status	Remarks		
COMPLETED	The workshop programme will continue along these lines indefinitely.		

Proposed ACTIONS**Action 4**

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
12. Recruitment			
13. Recruitment (Code)			
14. Selection (Code)			
15. Transparency (Code)			
16. Judging merit (Code)			
17. Variations in the chronological order of CVs (Code)	4/2020	HR Dept	OTM-R Policy regarding professorships
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			
20. Seniority (Code)			
21. Postdoctoral appointments (Code)			
Current Status	Remarks		

Proposed ACTIONS

Action 4	Current Status	Remarks
<p>Main Action 4. Review of Current Recruitment Policies and Practices with Respect to the OTM-R Principles 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 Rector's conference, including one (at Düsseldorf in 2017 largely dedicated to OTM-R, keynote by Professor Fulvio Esposito). The synopsis is ongoing. 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</p>	COMPLETED	The synopsis has formed the basis for major new actions related to OTM-R.

Proposed ACTIONS

Action 4

may be postponed for an indeterminate, but significant number of months, even years.

Action 5

Supplementary Action 1. Finalization of a Human Resources Development Concept 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 (German only) Regarding researchers, it is closely aligned with the HRS4R strategy.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development			
38. Continuing Professional Development	2/2017	HR Dept	Publication on HR Dept website
Current Status	Remarks		
COMPLETED	The concept will be reviewed periodically.		

Proposed ACTIONS

Action 6

Supplementary Action 2. Optimized Information of Early-Stage and Experienced Researchers on the Rules of Good Scientific Practice and the Ethics of Science 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).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Research freedom			
2. Ethical principles			
3. Professional responsibility			
4. Professional attitude			
5. Contractual and legal obligations			
6. Accountability	3/2017	HYT	HYT Semester Programmes (online)
7. Good practice in research			
8. Dissemination, exploitation of results			
9. Public engagement			
31. Intellectual Property Rights			
32. Co-authorship			
Current Status	Remarks		

Proposed ACTIONS

Current Status	Remarks
COMPLETED	The workshop programme will continue along these lines indefinitely. The Welcome Folder is in the process of revision.

Action 7

Supplementary Action 3. Optimization of Cross-Faculty Professional Development Courses 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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
30. Access to career advice			
38. Continuing Professional Development	1/2017	HYT	HYT Semester Programmes (online)
39. Access to research training and continuous development			

Current Status	Remarks
COMPLETED	The workshop programme will continue along these lines indefinitely. The webinar programme was involuntarily accelerated as a result of the Corona/Covid pandemic as well. Almost the whole curriculum is now available in videoconferencing form as well as face to face; and sometimes hybrid as well.

Proposed ACTIONS

Action 8

Supplementary Action 4. Joint Web Presence of Actors in Human Resources Development 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 now been implemented after some initial delay.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
30. Access to career advice			
38. Continuing Professional Development	4/2019	HR Dept	Website
39. Access to research training and continuous development			
Current Status	Remarks		
COMPLETED	Website: https://www.uni-siegen.de/start/karriere/index.html.en?lang=en		

Proposed ACTIONS**Action 9**

Supplementary Action 5. Survey Regarding Tele-Work/Home Office and Optimization of Collective Agreement 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 finalized; this allows for flexible work from home of up to 50% of working time.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
24. Working conditions	3/2017	HR Dept	Website of Family Service Office
Current Status	Remarks		
COMPLETED			

Proposed ACTIONS**Action 10**

Implementation of the Supervision Agreement Template for PhD Researchers in the Faculties 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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
36. Relation with supervisors			
37. Supervision and managerial duties	2/2020	Vicerector for Research	Publication of Faculty templates
40. Supervision			
Current Status	Remarks		
EXTENDED	The implementation is continuing quite successfully, but there are still legal issues unresolved that have prevented a full, blanket implementation (legal advice of April 2019).		

Proposed ACTIONS

Action 11

Information for Impaired Candidates on Research Careers 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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
10. Non discrimination	4/2019	HYT	HYT Semester Programmes (online)
Current Status	Remarks		
COMPLETED	The workshop is going to be continued indefinitely.		

Proposed ACTIONS**Action 12**

Monitoring of Female Participation in Research-Oriented Information Events 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 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.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
27. Gender balance	4/2019	Research Service, HYT	Increase in eligible female participants in funding-oriented events
Current Status	Remarks		
EXTENDED	The monitoring is continuing. Female participation is currently above 50%.		

Proposed ACTIONS

Action 13

Setting up a dedicated institution, the e-Science-Service, to support researchers with regard to all questions regarding research data management. The e-Science-Service (eSs) is to cooperate with internal and external stakeholders, e.g. our partner universities in North Rhine-Westphalia (especially Düsseldorf and Wuppertal) and beyond (Research Data Alliance). It • offers individual guidance to researchers • offers tools for the preparation of Research Data Management Plans • helps researchers with proposals • offers courses for R2-R4, including for research groups of any type of composition or funding, often in conjunction with the postgraduate centre “House of Young Talents” (HYT) and with the Data Protection Officer • manages a repository for data, but also provides counselling regarding other repositories which may be better suited for particular datasets.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Research freedom			
2. Ethical principles			
6. Accountability			
7. Good practice in research		University Library + Centre for Information and Media Technology	Website https://e-science-service.uni-siegen.de/
8. Dissemination, exploitation of results	2020		
9. Public engagement			
23. Research environment			
31. Intellectual Property Rights			
Current Status	Remarks		
COMPLETED			

Proposed ACTIONS

Action 14

Setting up a dedicated, state of the art repository for research data, FoDaSi (Forschungsdaten Siegen = Research Data Siegen), within the responsibility of the e-Science-Service (eSs). FoDaSi is to be the repository for long-term storage of research data at the University of Siegen, in which scientific objects can be found, searched, and made accessible in digital form. It is available to all academics of the University of Siegen free of charge. FoDaSi is based on the freely available software DSpace. By means of DSpace an extensive rights management (delayed publication optional) is possible. Different (subject-specific) metadata formats for indexing the research data can be integrated. All digital objects receive a persistent identifier (e.g. DOI). It is possible to link data with publications that are located on the publication and document server OPUS of the Siegen University Library.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Research freedom			
2. Ethical principles			
6. Accountability			
7. Good practice in research			Website
8. Dissemination, exploitation of results	3/2021	eScience-Service (eSs)	https://e-science-service.uni-siegen.de/fodasi/
9. Public engagement			
23. Research environment			
31. Intellectual Property Rights			
Current Status	Remarks		
COMPLETED			

Proposed ACTIONS

Action 15

Expanding comprehensive support for Open Access Publications. The University Library offers proactive support and advice for researchers at the University of Siegen to make their publications available Open Access as a first or second publication. Tools include • the University publishing house universi • Publication platform Open Journal Systems (OJS) for publishing Open Access Journals • an Open Access Publishing Fund for articles in journals, plus access to Open Access financing via consortia or co-operations • OPUS Siegen = Online Publication Service, with which the university library provides a publication and document server free of charge, on which electronic documents of members of the University of Siegen and of universi, the university's publishing house, can be published, made available, archived and searched. All publications on OPUS Siegen are available worldwide without access restrictions (open access).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Research freedom			
2. Ethical principles			
6. Accountability			
7. Good practice in research			Website https://www.ub.uni-siegen.de/en/open-access-services-of-the-university-library/
8. Dissemination, exploitation of results	3/2021	University Library	
9. Public engagement			
23. Research environment			
31. Intellectual Property Rights			

Current Status **Remarks**

COMPLETED

Proposed ACTIONS

Action 16

Continuous integration of gender and diversity aspects in research (e.g., in terms of content or through the diverse composition of research teams of researchers). As part of the audit for the certificate “Managing Diversity” (Vielfalt gestalten) of the Founders’ Association for German science (Stifterverband für die deutsche Wissenschaft), first granted in 2020, the university is in an ongoing process to integrate aspects of diversity in research processes (cf. https://www.uni-siegen.de/diversity/diversity_policies_of_the_university_of_siegen.pdf).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
2. Ethical principles			
10. Non discrimination			
13. Recruitment (Code)			
16. Judging merit (Code)		Faculties, supported by	
17. Variations in the chronological order of CVs (Code)	2/2023	Gender-equitable career development officer and diversity policies officer	Publishing of strategy by quarter 2/2023
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			
27. Gender balance			
29. Value of mobility			
Current Status	Remarks		
NEW			

Proposed ACTIONS

Action 17

Systematic visualization of research on diversity, equal opportunities and diversity on the Diversity Homepage and continuous review and further development of the concepts. As part of the audit for the certificate "Managing Diversity" (Vielfalt gestalten) of the Founders' Association for German science (Stifterverband für die deutsche Wissenschaft), first granted in 2020, the university is in an ongoing process to make research in the field of diversity more visible (cf. https://www.uni-siegen.de/diversity/diversity_policies_of_the_university_of_siegen.pdf).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
8. Dissemination, exploitation of results		Diversity policies officer in co-operation with the faculties/researchers	
9. Public engagement	2/2023		Website
10. Non discrimination			
27. Gender balance			
Current Status	Remarks		
NEW			

Proposed ACTIONS

Action 18

Ensuring gender- and diversity-appropriate support and promotion of talent in science and research. As part of the audit for the certificate “Managing Diversity” (Vielfalt gestalten) of the Founders’ Association for German science (Stifterverband für die deutsche Wissenschaft), first granted in 2020, the university is in an ongoing process to ensure the equitable participation of researchers from a variety of backgrounds, with a focus on gender and internationalization (cf. https://www.uni-siegen.de/diversity/diversity_policies_of_the_university_of_siegen.pdf).

GAP Principle(s)	Timing (at least by year’s quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
2. Ethical principles		Faculties, HYT, Equal Opportunities	
10. Non discrimination		Office (Women Career Service	Data gathering and monitoring of adequate representation
13. Recruitment (Code)	2/2023	WCS/Women-specific	
19. Recognition of qualifications (Code)		Mentoring Programme	
27. Gender balance		FraMeS)	

Current Status

Remarks

NEW

Proposed ACTIONS

Action 19

Preparing a comprehensive recruitment handbook (as a living document to reflect current approved practices at all time). The HR Department is developing and maintaining a recruitment handbook reflecting all legal and technical implications of the hiring and selection process at Siegen University.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
5. Contractual and legal obligations			
13. Recruitment (Code)			
14. Selection (Code)			
16. Judging merit (Code)			
17. Variations in the chronological order of CVs (Code)	1/2021	HR Dept	Handbook (intranet, German only, currently 122 pp. as continuously updated living document)
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			
20. Seniority (Code)			
21. Postdoctoral appointments (Code)			
34. Complains/ appeals			

Current Status

Remarks

Proposed ACTIONS

Current Status	Remarks
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COMPLETED	
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Proposed ACTIONS

Action 20

Setting up a dedicated jobs portal (with a bilingual surface: German or English) for all researchers R1-R4 and to fully digitalize the recruitment and selection process by linking the portal with SAP SuccessFactors. The HR Department is setting up a jobs portal for all applications, including all researchers R1-R4.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
5. Contractual and legal obligations			
13. Recruitment (Code)			
14. Selection (Code)			
15. Transparency (Code)			
16. Judging merit (Code)			
17. Variations in the chronological order of CVs (Code)	3/2022	HR Dept	Jobs portal for all status groups: https://jobs.uni-siegen.de/?locale=en_US
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			
20. Seniority (Code)			
21. Postdoctoral appointments (Code)			
Current Status	Remarks		

Proposed ACTIONS

	Current Status	Remarks	
	COMPLETED		
Action 21			
Setting up an interface between the jobs portal/SAP SuccessFactors on the one hand and the EURAXESS Jobs portal on the other. The HR Department is to set up, with the help of the Euraxess bridgehead organisation in Germany, the German Aerospace Center (Deutsches Zentrum für Luft- und Raumfahrt DLR; Mr Vitaliy Bondarenko), an interface between the digital recruitment process and the EURAXESS platform. To the best of our and the DLR's knowledge, such an interface did not then exist (in early 2021).			
GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
15. Transparency (Code)	1/2021	HR Dept	Jobs portal (visible for hiring chairs)
	Current Status	Remarks	
	COMPLETED		

Proposed ACTIONS**Action 22**

Setting up a candidate-specific “hiring monitor” that allows candidates to check the status of their application within their profile on our portal in real time. The HR Department is to implement this feature, beginning in this case with the R3-R4 process (professorial appointments). As these R3-R4 processes can take up to a year, this greatly increases transparency without putting the burden on the candidate (to contact the university to enquire their status as is currently the case).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
15. Transparency (Code)	2/2023	HR Dept	Jobs portal (to be visible to candidates within data-protected profile)
Current Status	Remarks		
NEW			

Proposed ACTIONS

Action 23

Launching a new template for job advertisements to distinguish, from step one, between mandatory and optional criteria by which applicants will be selected. The clear separation is intended to again increase transparency of hiring criteria even before application so that interested person can judge their chances realistically, and that there is decreased wiggle room for arbitrary decisions.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
13. Recruitment (Code)			
14. Selection (Code)			
15. Transparency (Code)			
16. Judging merit (Code)	2/2023	HR Dept	Future advertisements; jobs portal (to be visible to stakeholders/selection committees)
17. Variations in the chronological order of CVs (Code)			
18. Recognition of mobility experience (Code)			
19. Recognition of qualifications (Code)			
Current Status	Remarks		
NEW			

Proposed ACTIONS

Action 24

Establishing a Tenure Board (including the necessary changes to the Tenure Track Order) to contribute to unified (with due recognition of different cultures across disciplines) standards across faculties. The Tenure Board is to be inserted in an advisory capacity at all stages of the process for professorial appointments with tenure-track from a term-limited to a permanent professorship (W1ttW2, W1ttW3, W2ttW2, W2ttW3).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
10. Non discrimination			
11. Evaluation/ appraisal systems			
14. Selection (Code)	4/2021	University Rectorate with support of HR Dept, Faculties, and HYT	Tenure Track Order as amended on 15 July 2021: https://www.uni-siegen.de/start/news/amtliche_mitteilungen/jahrgang_2021/51_2020_aeo_tenure-track-ordnung.pdf
16. Judging merit (Code)			
25. Stability and permanence of employment			
	Current Status	Remarks	
	COMPLETED	The Order was revised in July 2021 and the Tenure Board constituted in February 2022.	

Proposed ACTIONS

Action 25

Conducting an external evaluation of the postgraduate centre "House of Young Talents" (HYT) supporting researchers R1-R3 according to the standards of the German University Association of Advanced Graduate Training (UniWiND/GUAT). Based on an extensive self-report and a major survey of researchers R1 and R2, the evaluation is to take place in 2020.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development			
30. Access to career advice			
38. Continuing Professional Development	4/2020	Vice-Rectorate for Research and Junior Academics	Presentation of Self-Report and Review in the Rectorate
39. Access to research training and continuous development			

Current Status

Remarks

COMPLETED

The evaluation took place in December 2020 and was concluded with a report to the University Rectorate. The HYT was enlarged from 3.0 to 3.5 FTE as recommended by the external reviewers (see additional team member on HYT homepage).

Proposed ACTIONS**Action 26**

Adding a dedicated coaching module for postdoctoral researchers and junior professors (R2+R3) within the programme of the postgraduate centre "House of Young Talents" (HYT). As originally envisaged and as shown to be in demand among ESRs by the surveys, the postgraduate centre HYT is to establish a dedicated coaching module beyond the current counselling.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development	2/2023	Vice-Rectorate for Research and Junior Academics, HYT	Advertising for coaching module on HYT website, annual report monitoring uptake and topics, and distribution of participants (anonymously)
30. Access to career advice			
36. Relation with supervisors			
38. Continuing Professional Development			
39. Access to research training and continuous development			

Current Status	Remarks
NEW	

Proposed ACTIONS

Action 27

Providing, via the postgraduate centre “House of Young Talents” (HYT), a certificate for postdoctoral researchers to demonstrate skills related to a) a specialist or leadership career outside academia, b) to a leadership career as a researcher in academia; c) to a career in science management. The intersectoral, extra-university variant is being developed by several North Rhine-Westphalian universities.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
3. Professional responsibility			
4. Professional attitude			
25. Stability and permanence of employment			
28. Career development			
30. Access to career advice	3/2021	HYT	HYT Website: https://www.uni-siegen.de/hyt/zertifikat/index.html.en?lang=en
37. Supervision and managerial duties			
38. Continuing Professional Development			
39. Access to research training and continuous development			

Proposed ACTIONS

Current Status	Remarks
COMPLETED	This form was partly modelled on the very successful certificate for Teaching in Higher Education which is offered by the Center for the Promotion of University Teaching ZFH. The certificate programme has started in October 2021, the first certificates were handed out at the end of the summer semester 2022. The intersectoral, extra-university variant was cross-endorsed by seven North Rhine-Westphalian universities' rectorates.

Proposed ACTIONS

Action 28

Providing a dedicated programme of the postgraduate centre “House of Young Talents” (HYT) for early-stage researchers (R1 and R2) in collaborative research projects (DFG Collaborative Research Centres CRC/SFB, DFG Research Training Groups RTG/GRK, EU Innovative Training Networks ITN and similar formats). As collaborative research projects have special needs which cannot always be accommodated in existing formats, a dedicated format for them is to be established.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development			
38. Continuing Professional Development	1/2021	HYT	HYT Website: https://www.uni-siegen.de/hyt/programm/individuell/index.html.en?lang=en
39. Access to research training and continuous development			
Current Status	Remarks		
COMPLETED	The University has endorsed this – additional, “closed-shop” – programme on top of the regular HYT programme open to all junior researchers. Some 20 dedicated workshops for these groups have taken place since 2020, mostly online or in hybrid form due to the pandemic, but also to the dispersed participants e.g. of the ITN.		

Proposed ACTIONS**Action 29**

Hosting the “Research in Europe” event to acquaint as many researchers R1-R4 and students as possible with the major funding organisations and their programmes. The event is scheduled to take place on 10 November 2022; it has never been held at Siegen before.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
26. Funding and salaries			
28. Career development			
30. Access to career advice	10 November	Research Service, Welcome Center of the International Office, HYT	Website, Report in university newspaper, in reporting of participating organisations
38. Continuing Professional Development	2022		
39. Access to research training and continuous development			

Current Status	Remarks
NEW	

Proposed ACTIONS

Action 30

Increasing training and career development offerings for full (tenured) professors (R4), especially those appointed to a professorship for the first time, but also for junior professors (R3). This was a desideratum both of the evaluation and of focus group discussions and individual interviews with professors (R3, R4).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
28. Career development			
30. Access to career advice			
35. Participation in decision-making bodies	One-off event on 15 June 2021; dedicated programme to start by quarter 2/2023	HR Development Section of HR Dept; HYT	Websites (HR Dept, HYT)
37. Supervision and managerial duties			
38. Continuing Professional Development			
40. Supervision			
Current Status	Remarks		
NEW			

Proposed ACTIONS

Action 31

Expanding access for a) postdoctoral and b) international female researchers to the Women-Specific Mentoring Siegen (Frauenspezifisches Mentoring Siegen FraMeS) by intermittently adding a dedicated cohort of R2-R3 researchers and an English-language cohort. The extension towards R2-R3 researchers was made possible as a result of the successful application of the University of Siegen in the 3rd round of the federal "Women Professors Programme" (Professorinnenprogramm III).

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
10. Non discrimination			
27. Gender balance			
28. Career development			
29. Value of mobility			
30. Access to career advice			
36. Relation with supervisors	Next cohort to start in the spring of 2023	Equal Opportunities Office	Website of the Equal Opportunities Office
38. Continuing Professional Development			
39. Access to research training and continuous development			
40. Supervision			
	Current Status	Remarks	
	NEW		

Proposed ACTIONS

Action 32

Initiating a certificate on Gender & Diversity to enable all members of the university (including all researchers) to acquaint themselves with relevant input and demonstrate the acquired knowledge for their further career in Siegen or elsewhere. A working group is preparing a first test phase for the winter semester 2022/23, beginning in October 2022.

GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
2. Ethical principles		HR Development Section of HR Dept;	
10. Non discrimination		Equal Opportunities Office;	Website (to be established with the certificate)
28. Career development	Winter Semester 2022/23 (4/2022)	Center for the Promotion of University Teaching ZFH; HYT	
38. Continuing Professional Development			
40. Supervision			
Current Status	Remarks		
NEW			

Unselected principles:

22. Recognition of the profession 33. Teaching

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

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

URL *: http://www.uni-siegen.de/start/die_universitaet/ueber_uns/zertifikate/hrs4r/ (http://www.uni-siegen.de/start/die_universitaet/ueber_uns/zertifikate/hrs4r/)

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

Comments on the implementation of the OTM-R principles (Initial Phase)

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

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 Rector's conference, including one (at Düsseldorf in 2017 largely dedicated to OTM-R, keynote by Professor Fulvio Esposito). The synopsis is ongoing.

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.

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

A dedicated team from the HR Department (*Personaldezernat*) has focused on improving our OTM-R policy, congruent with the area of

recruitment/selection. A recruitment handbook of (currently) 122 pages was prepared with this in view (**Action 19**).

Key to the OTM-R policy is the successfully implemented dedicated website (**Action 20**) as a jobs portal for scientists, https://jobs.uni-siegen.de/?locale=en_US, which is directly connected to the SuccessFactors HR module in SAP, a leading software in this field. The surface is bilingual (German or English can be chosen). This bilingual portal reduces barriers for outside candidates massively; there is no e-mail (let alone “snail-mail”) needed, and data is secure according to high standards. In addition, a direct interface to EURAXESS (**Action 21**) is provided for chairs who are hiring. This may sound technical, but for the University, these nuts and bolts are actually part of the core of what OTM-R means. In the OTM-R field, Siegen is an innovator not only in Germany, but even beyond, as was also confirmed by the Euraxess bridgehead organisation in Germany at the German Aerospace Center (*Deutsches Zentrum für Luft- und Raumfahrt DLR*) in Bonn. The following German universities contacted the University of Siegen to partake of our SuccessFactors expertise during the implementation phase after learning about it e.g. at SAP Higher Education and Research User Group HERUG: Bonn (RFWU), Dortmund (TU), Dresden (TU), Fulda (HS), Hagen (FU), Köln (DSH). Beyond Germany, we were also contacted by the universities of Helsinki and Vienna.

Contrary to the (to be clear: generally correct!) perception of the Interim Report reviewers that we prioritized R4 over R1-R3 researchers in OTM-R, in this case it was the other way around, the portal has been live since early 2021 for R1-R2, but the version for R3 (junior professorships, W1 grade) and R4 (full professorships, grades W2 and W3) is only scheduled to go live (as confirmed by the Rectorate 21 July 2022) on 15 August 2022. This was a more “political” process, and governed by different statutes, but it must also be acknowledged that the University of Siegen has the coveted award for “Fair and Transparent Professorial Recruitment Process” by the German Association of University Professors and Lecturers (*Deutscher Hochschulverband DHV*), the (32,927 members in 2022) “trade union” of professors W1-W3 in Germany. This award (Siegen was an early adopter there, too) was renewed during the implementation phase. From 15 August, then, all hiring processes are fully digitalized.

In addition, the University is currently in the process of implementing two more significant improvements regarding OTM-R. There will be a candidate-specific hiring monitor where candidates can check their status (in their profile) on the portal in real time (**Action 22**); and the university is changing its job advertisements to distinguish fully and finally between hiring criteria which are mandatory and which are optional (**Action 23**). This is of great importance as it decreases “wobble room” for the hiring committee and ensures that they stick to the criteria as agreed upon beforehand and enshrined in the advert.

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

4. Implementation

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

The 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), 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 ongoing 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 (see Column “Existing rules or practices” in the Appendix of the original November 2016 application for more details).

After consultations with the actors and stakeholders, the Rectorate has decided in 2016 that the process regarding the “Human Resources Strategy for Researchers”, which had been intermittently pursued since early 2013 within the Human Resources Department (*Personaldezernat*), should now be fully aligned with the activities regarding the Human Resources Development Concept (which was later passed in May 2017, with due cognizance of the HRS4R process and award, granted in February 2017).

The consultation process has thus been fused by integrating the modules already undertaken before and strengthening it through additional HRS4R-specific modules. Clear priority had been given throughout to the inclusion of researchers in the gap analysis.

The process has the full support of the Rectorate and the other pertinent organs of the University; it was debated in the University Senate, the main deliberative body where all status groups within the University have their elected representatives. Personnel from the Human Resources Department, the postgraduate centre “House of Young Talents” (HYT), and the Research Service (*Referat Forschungsförderung*) have been asked to support the HRS4R process.

The involvement of researchers was originally ascertained through workshops and meetings of this HRS4R working group with representatives of the Working Group of Members of the Scientific Mid-Level Personnel (*Arbeitsgemeinschaft der Mitglieder des wissenschaftlichen Mittelbaus*) and the Staff Council for Academic and Artistic Personnel (*Personalrat für das künstlerische und wissenschaftliche Personal*) on the one hand and with the Vice-President for Research and Junior Academics and the Vice-Deans for Research of the (then four) faculties in a session of the House of Young Talent’s Steering Committee on the other.

The needs of the junior/early-stage researchers (those working on their dissertation) in particular as a core target group partly difficult to reach were a major focus. In co-operation of the office of the Vice-President for Research and Junior Academics, the Research Service and the Department of University Planning, an anonymous survey with 47 items was devised and distributed to all (almost 800) enrolled PhD researchers of the University. 272 completed questionnaires were received (answers to individual items range from 262 to 272) and have provided valuable guidance about the felt needs of the researchers, contributing to the concept for the HYT.

The newly constituted cross-sectional working group from the HR Department, the HYT and the Research Service has from the beginning been

in close contact with other organisations which have completed the HRS4R process or are currently engaged in it, namely the Cologne University of Applied Sciences (*Technische Hochschule Köln*), the Johannes Gutenberg University Mainz, and the Berlin Social Science Center (*Wissenschaftszentrum Berlin für Sozialwissenschaften WZB*). Members of the working group participated in workshops on Human Resources Strategies for Researchers, e. g. at Heinrich Heine University Düsseldorf and RWTH Aachen University, and finally a workshop organized by the University Rectors' Conference (*Hochschulrektorenkonferenz HRK*) working group on HRS4R at the Cologne University of Applied Sciences and chaired by Dr. Gerhard Duda, the head of the Brussels office of the HRK.

After the endorsement and application in November 2016, the HR Excellence in Research grant was awarded in February 2017. For details regarding the implementation process in phases II (to 2019) and III (2019-2022), see the detailed answers provided in the editor.

Of the original 9 actions proposed in 2016 (4 major and 5 supplementary, a distinction which we have since discarded to avoid confusion), 7 had been completed by the time of the Interim Assessment of 2019; as of 2022, all 9 of these have been completed. Of the – only – 3 additional actions added in 2019, one has been completed and 2 extended. In reaction to the consensus report to the Interim Assessment, the number of actions for the next phase was expanded. In all, 20 new actions have since been added, out of which 10 have already been completed (as of August 2022); 10 actions (and the 2 extended actions) are still being pursued.

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

Note: Click on each question of the checklist to open the editor.

How have you prepared the internal review?*



Detailed description and duly justification (max. 500 words)

The preparation of the internal review followed basic “first principles”.

In the first phase (2016-2019)

- 1) The original Action Plan of 2016 (9 actions) was checked for whether it still conformed to the priorities of the University leadership regarding HR for Researchers/the HRS4R strategy.
- 2) The original Action Plan was also checked for whether it conformed to the expectations of researchers (R1-R4) regarding HR for Researchers, through a mix of contacts with representatives, surveys, focus groups, and interviews (see below).
- 3) The focus was then laid on the actual implementation of all actions, which was reasonably successful for the first phase, as most actions could be completed (7 out of 9). New actions were only very sparingly and somewhat cautiously added (+3).

In the second phase (2019-2022)

- (1)-(3) applied again; more actions were added in alignment with the changed focus especially on OTM-R (see below).
- (4) A new element was introduced by the consensus report resulting from the interim assessment of 2019 (as the consensus report accompanying the original grant of February 2017 had contained no criticism whatsoever).

In this 2019 consensus report, the OTM-R approach of the University was criticized as insufficiently bold and we were encouraged to go further. As we have mentioned, anecdotal evidence in close exchanges with HR (sub-)heads and other HRS4R stakeholders across Germany leads to the assumption that OTM-R commitments are one major factor in holding German universities back from embarking on, or decisively advancing in, the HRS4R process; presumably not because German universities' are less open, less transparent, or less merit-based than those elsewhere, but because the fear of litigation is higher, and perhaps not without some justification. As of the award renewal phase in August 2022, only 22 awards had been granted in Germany, including 10 granted to universities (of which there are 114), and 4 to universities of applied sciences (of which there are 210).

That said, the exhortations of the reviewers regarding a bolder stance regarding OTM-R were accepted as justified. Despite some need to convince stakeholders, Siegen can now report that (by coincidence, effective on the same day as the end of the award renewal phase, 15 August 2022) all recruitment and selection procedures are fully digitalized also for R3/R4 researchers (for R1, R2, and various non-researcher categories of personnel, governed by different statutory and legal instruments, this had been the case since 2020/21). With the support of the consensus report criticism, we feel that now Siegen is at the forefront of OTM-R policies at German universities, as evidenced also by the interest shown in our tools by other institutions not just in our state of NRW, but in other federal

states and among elite universities as well, and indeed abroad.

In general, the Action Plan of 2019 was modified in reaction to the criticism of the reviewers, and updated repeatedly.

How have you involved the research community, your main stakeholders, in the implementation process?*



Detailed description and duly justification (max. 500 words)

It is undeniable that at the outset the HRS4R Strategy was to a significant extent a top-down process, despite all attempts to mitigate this; a process in any rate driven more by the needs and wishes (even if with the researchers' best interests in mind) of the university's support structures in the HR Department and adjacent units like the postgraduate centre "House of Young Talents", the International Office and its Welcome Center or the Research Service (*Referat Forschungsförderung*). These are also major stakeholders, in various constellations, behind the push for an HRS4R process in most, perhaps all, universities we have been in contact with as part of this journey, including a number of foreign institutions as well.

A first step to extend the outreach to the researchers themselves beyond the original 2015 survey, in 2016-2019 as outlined in the interim assessment, was to use duly elected representatives as multipliers. The HRS4R programme was thus repeatedly discussed with the Staff Council for Academic and Artistic personnel (legal representative of all non-professorial academic staff) and presented at meetings with, and of, the Working Group of mid-level academics. A relevant email asking for input was also sent to all academic staff repeatedly. All input received was duly incorporated into the programme.

To reach the R4 group, not represented in these two bodies, the HR4R programme and its opportunities were repeatedly presented in the Academic Senate of the University, where the alignment of the original HRS4R strategy (November 2016), of the HR Development Concept of the University (May 2017, referring closely to the HRS4R strategy), and of the Tenure-Track Order (Summer 2018) was repeatedly debated, including by the elected professorial representatives (forming the elective majority of the Academic Senate by statute).

In addition, the HRS4R programme was also presented at Faculty Councils (the official elected bodies of the faculties) and at other meetings of bodies of researchers. The Vice-Deans for Research of the faculties were also informed about the process and provided some input.

All things considered, the road through "elected representatives of researchers" was found to be somewhat unsatisfactory. The university therefore availed itself of a second survey which due to various delays (including the first waves of the pandemic) could only be completed in 2020, under the organisational lead of the Department of University Planning with some input from the postgraduate centre, the HYT. A major, topical survey encompassing all researchers R1-R4 is currently also being undertaken by the University Library, regarding their publication practices and demand/wishes for (existing or additional) support.

Besides these surveys, a number of focus groups (R1; R2; R3; R4) and individual in-depth qualitative interviews have been conducted since 2019, and analysed anonymously with the software MAXQDA. In this, the original gap analysis + progress (if any) of the 40 principles of Charter and Code was used as a template. Those interviews are continuing indefinitely.

Do you have an implementation committee and/or steering group regularly overseeing progress?*



Detailed description and duly justification (max. 500 words)

The University of Siegen has set up a working group consisting of the head of the HR Department (*Personaldezernat*), Mr Benjamin Schwarzer, the head of the Sub-Department for HR Development (*Abteilung Personalentwicklung*) within the HR Department, Mr Klaus Langenstein, and the head of the postgraduate centre "House of Young Talents", Dr Daniel Müller. The working group reports directly to the chancellor, Mr Ulf Richter (in the person of Mr Schwarzer) and the Vice-Rector for Research and Junior Academics, Prof. Thomas Mannel (in the person of Dr Müller), both of whom in turn report to the full University Rectorate.

This is an expansion of the prior group, which at the time of the original application in November 2016 had consisted only of Mr Schwarzer and Dr Müller, as Mr Langenstein's position did not then exist and he only joined the University of Siegen in the summer of 2017. This group has been meeting regularly, but also coordinated with other stakeholders and the parallel (re-)audits mentioned, namely regarding professorial appointments and equal opportunities, gender/diversity plus family-friendliness. An even closer cooperation is firmly desired (joint meetings or cross-membership where this does not already apply).

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's * research strategy, overarching HR policy



Detailed description and duly justification (max. 500 words)

The University of Siegen has strongly aimed to achieve a full strategic alignment of the original HRS4R strategy (November 2016), the HR Development Concept of the University (May 2017, referring closely to the HRS4R strategy), and the Tenure-Track Order (Summer 2018). The HRS4 strategy is mentioned in detail in the HR Development Concept and the alignment is to be kept to a maximum in the next HRS4R phase. The University of Siegen's future research strategy, as yet unpublished, will also take HRS4R into account. A further streamlining with the parallel audits regarding professorial appointments, equal opportunities, gender/diversity plus family-friendliness is firmly envisaged for the next phase after the hopefully successful award renewal.

How has your organisation ensured that the proposed actions would be also implemented?*



Detailed description and duly justification (max. 500 words)

The working group has regularly checked with the responsible stakeholders, which was made easier a) by the fact that many major actions were to be overseen by two of the three members of the working group (Schwarzer and Müller) as well as by the Vice-Rector to whom Müller is reporting directly and in person at least every fortnight, and by the Rectorate who which the chancellor and the Vice-Rector are reporting on a weekly basis.

A fairly consistent push to implement all actions, with complete support from the University Rectorate, was thus ensured. This is especially true as many of the actions are of a clearly binary nature with firm indicators which are either implemented or not implemented (see OTM-R). Not all the timelines could be met; e.g. the extension of the jobs portal to the R3 and R4 groups was delayed for more than a year, but this was due to earnest discussions with the will to succeed.

How are you monitoring progress (timeline)?*



Detailed description and duly justification (max. 500 words)

The working group has been meeting on a case-by-case basis and has also consulted additional specialists, e. g. Mr Dominik Lengeling, head of the Sub-Department (*Abteilung*) for Civil Servants of the HR Department, regarding the intricacies of the Tenure-Track Order largely composed by him and its alignment with HRS4R.

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It is intended to move to numerical indicators in those actions which are not fully binary (yes/no) in nature but lend themselves to such numerical parameters. Regarding OTM-R, where the structures are now in place, those will be first supply-sided (e.g., how many positions by status groups R1/R2/R3/R4 are actually offered in EURAXESS or in what other – e.g. international – forums; is the percentage increasing as it should be, or is it stagnating, or even decreasing). But they will then move over to demand/uptake as well: Is the number of external and in particular international applications rising? And, of course: What about the success rate of e.g. international applications? The same principles might also be applied to the very general principles of diversity and inclusiveness as e.g. currently formulated in Action 18, at all levels, from R1 to R4. Such numerical indicators would be monitored on a yearly basis, either for the calendar year (Jan 1-Dec 31) or in alignment with the reporting date of the German Federal Statistical Office for university personnel, which is December 1. These data will then be presented to the University Rectorate as well for further action if necessary or advisable.

How will you measure progress (indicators) in view of the next assessment?*



Detailed description and duly justification (max. 500 words)

As stated, the indicators are currently mostly of a binary (yes, exists; no, does not exist/has not been implemented) nature. It is proposed to move to numerical measures regarding all current and future actions.

How do you expect to prepare for the external review?*



Detailed description and duly justification (max. 500 words)

The University of Siegen is prepared to present, concisely, the results of the quantitative (surveys) and qualitative (focus groups, interviews) analyses regarding researchers' perception of the 40 principles of Charter and Code at the University of Siegen. It will then enable "rank-and-file" researchers of status groups R1, R2, R3, and R4 to be engaged by the reviewers in a confidential setting (if desired by the reviewers, to whose wishes we defer). Additional stakeholders will be available upon request as well. It is intended to leave enough time for open and constructive discussions and not restrict interaction to material (slides, reports) prepared beforehand. We are herein also guided by what we have learned from colleagues at other institutions that have completed the renewal phase as to what best suited the wishes of the reviewers in what will inevitably be a rather packed programme.

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