

Human Resources Strategy for Researchers (HRS4R), Based on the “European Charter for Researchers” and the “Code of Conduct for the Recruitment of Re- searchers”

Report on the Internal Analysis and the derived Plan of Action for the University of Greifswald

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Preface

The University of Greifswald, founded in 1456, is one of the oldest academic educational institutions in Germany and the Baltic Sea Region. It is a modern University, conscious of its history, and upholds various international relationships and partnerships. With approximately 220 professors, around 10,000 students, about 1,500 graduates and approximately 220 doctorates, as well as third-party funds of 45 Million Euros, Greifswald is a medium-size university. The favourable student/teaching staff ratio, as well as the close proximity of the facilities, allow intensive and personal cooperation between teaching staff and students, which contribute to excellent study conditions. Roughly 60 percent of the students come from other German federal states; international students come from more than 90 different countries. The University sustains 24 university partnerships and retains exchange relations to more than 150 universities worldwide.

Although the University of Greifswald is only small, it is a full university with five faculties - the Faculty of Theology, the Faculty of Law and Economics, the University Medicine Greifswald, the Faculty of Arts and Humanities and the Faculty of Mathematics and Natural Sciences. The diversity of a full university is shown in the broad range of subjects on offer in 104 different degree courses and interdisciplinary study programmes. International academics, their families, but also their local supervisors, are supported by the Welcome Centre Greifswald for any aspects of life before and during their time in Greifswald and are thus integrated into the University and the town. The International Guest House offers them cheap living space, as well as rooms for seminars and get-togethers. One of the next goals of the internationalisation policies is to encourage stronger networking amongst one another, but also to other visiting academics and academics from the University of Greifswald and research institutes outside of the University.

At present, the University is systematically expanding its internationality in research and teaching. In order to focus on this process, the University underwent the HRK Audit “Internationalisation of Universities” and added to the Internationalisation Strategy¹, which was passed in 2013, with an up-to-date position statement from the Rectorate, which stipulates

¹ <https://www.uni-greifswald.de/international/internationales-greifswald/internationalisierung/>

the introduction and realisation of concrete measures². The HRS4R process was introduced in order to improve or establish new internal processes of human resources development, to increase the attractiveness of the University as an employer for international academics and to gain international visibility. This process should help implement the Internationalisation Strategy and the University Development Plan for the years 2016-2020.³

Approach/Methods for the Internal Analysis

The documents “European Charter for Researchers” and “Code of Conduct for the Recruitment of Researchers”, which consist of 40 principles, were used as the basis for the internal analysis. The following four dimensions were used for structuring:

- I. Ethical and Professional Aspects
- II. Recruitment Procedure
- III. Working Conditions and Social Security
- IV. Training of Junior Researchers

The process began on the basis of a decision, made by the Rectorate (17/06/2015) in consultation with the deans. The University of Greifswald signed a letter to the European Commission on the 18/06/2015 (“Commitment of the Ernst-Moritz-Arndt-University of Greifswald to the European Charter of Researchers and the Code of Conduct for the Recruitment of Researchers”), which was confirmed by the European Commission on the 08/07/2015. This marked the official start of the HRS4R process.

The process was treated as an “Open Space” event. The use of questionnaires was avoided as there was extremely little participation in previous actions, leading to no significant results (e.g. annual selection of a “family-friendly institution”). For more complex and comprehensive contexts, it therefore seemed sensible to send out an open invitation to everyone. On the one hand, the process which would commence, would be sustained by members of the University who were actually motivated and who in turn, would represent the important groups for staff development. On the other hand, it was supposed to attract attention to the topic and create a sense of new beginnings. The development of the gap analysis and the plan of action was supposed to take place in surroundings typical for Open Space, where lots of people could work on their matters jointly in a self-organised and self-responsible manner, whilst being in a stable methodical framework. The results gained in various subject areas were then presented to all those involved in regular joint meetings, where they were discussed again. Both the gap analysis and the plan of action were continuously selected, with the participation of the Rectorate, according to the following criteria:

1. Degree of objectivity/generalisability (is the perceived gap subjective or a general problem?)
2. Responsibility (is the University responsible for an identified problem or is the problem external?)
3. Relevance (is the identified gap relevant to the University?) and

² https://www.uni-greifswald.de/fileadmin/unigreifswald/4_International/4.4_Internationales_Greifswald/4.4.5_Internationalisierung/Internationalisierung_Universitaet_Greifswald_23.03.2016_Homepage.pdf
³ https://www.uni-greifswald.de/login/?return_url=universitaet%2Finformation%2Fueber-uns%2Fhochschulentwicklungsplan-2016-2020%2F&pageId=43961

4. Feasibility (given sufficient resources, can the University close the gap in the short or medium term?)

This led to the creation of the gap analysis and the resulting plan of action.

In effect, the process was carried out in the following manner, in accordance with the specified Open Space method: in an email sent out by the Rector (30/06/2015), all of the University's academic and non-academic staff were invited to take part in the process. This ensured that everyone at the University knew and learned about the Charter and Code. Additionally, it made sure that all of the relevant players (academics, junior academics, the administration and its departments, the Staff Council and University management) were involved (table 2). At the first meeting, on the 08/07/2015, the steering group was formed by the attendees (Table 1:).

Table 1: Members of the Steering Group

Name	Function/Institution	Group	Dimension			
			I	II	III	IV
Prof. Johanna Weber	Rector	University Management				
Dr. Wolfgang Flieger	Registrar					
Prof. Micha Werner	Pro-Rector Research		x			
Thomas Schattschneider	Management of the Office of the Rectorate			x		
Eva Hälke-Plath	Head of the HR Department				x	
Prof. Steffen Fleßa	Chair of General Business Administration and Health Management				x	
Prof. Stefan Beyerle	Chair of Old Testament					
Prof. Andrea Hildebrandt	Junior Professor Psychology				x	
Dr. Franziska Tanneberger	Botany and Landscape Ecology			x		
Marita Gruner	Research and Teaching Assistant Church History					
Anja Menzel	Research and Teaching Assistant Politics and Communication Science	(Junior) Academic Staff				
Dr. Mascha Hansen	Research and Teaching Assistant English and American Studies			x		
Dr. Vera Tekken	Research and Teaching Assistant Geography			x		
Stefan Ewert	Research and Teaching Assistant Politics and Communication Science			x	x	
Markus Krüger	Research and Teaching Assistant Psychology			x		
Dr. Sebastian Knospe	Research and Teaching Assistant English and American Studies					x
Ralph Koglin	Quality Assurance	Staff Council		x		
Jeannette Siegmeier	University Library					
Antonia Lenz	Graduate Academy				x	
Dr. Kristian Dittmann	Manager of the Dean's Office at the Faculty of Mathematics and Natural Sciences			x		
Dr. Martha Kuhnhenn	Integrated Quality Assurance		x	x		
Dr. Andreas Fritsch	Integrated Quality Assurance		x			
Katharina Schmitt	International Office			x		
Annette Ehmler	Mentoring Project				x	
Kristina Lukoseviciute	Coordinator Family at the University			x		
Angela Hoppe	Mentoring Project				x	
Stefanie Brucki	Planning and Facility Management Division	Administration/ Departments	x			
Siiri Buck	Human Resources Department		x			
Marko Doktorowski	Human Resources Department		x			
Ruth Terodde	Equal Opportunities Officer			x		
Imme Burkart-Jürgens	Welcome Centre			x		
Dr. Grzegorz Domanski	Research Support Centre (ZFF)			x		
Kristof Lintz	ZFF		x			
Dr. Susann Seiberling	ZFF		x			
Dr. Stefan Seiberling	ZFF		x			

After the main principles had been explained, the members of the steering group joined one of the four working groups, based on the thematic dimensions. Each working group met on several occasions for the internal analysis. The working groups thoroughly investigated all of



the principles according to their respective dimension and included these in the internal analysis. The 28 members of the steering group then acted in turn as multipliers for individual target groups or as their representatives (e.g. the International Office for the target group "international academics") and brought forward their positions.

The steering group met again on the 08/09/2015 and the 23/10/2015. There was an intensive period of work from the 04-06/11/2015 with the head of the Department for Personnel Development at the University of Natural Resources and Life Sciences, Vienna (BOKU Wien), Dr. Andrea Handsteiner, in which meetings took place with the individual working groups and the Rector, as well as the steering group. The BOKU Wien has already undergone the HRS4R process, and is currently just about to enter the phase of external evaluation, four years after receiving the hr logo and was thus able to contribute its experiences constructively.

A Master's thesis⁴ by Stefanie Brucki with the title "Human Resources Development Strategies and Instruments in the View of Demographic Change, Using the University of Greifswald as an Example" was submitted to the University of Applied Sciences Stralsund on the 11/08/2015. The thesis is based in part on qualitative expert interviews regarding demographic change, age structure, corporate culture, human resources development, professional development, staff retention, work security, sick days and corporate health management. The results were included in the analysis of the status quo at the University of Greifswald.

Table 1: Distribution of the Members of the Steering Group into relevant Groups at the University of Greifswald

Group	Number	Relative Proportion
Administration	17	49%
(Junior) Academic Staff	11	31%
University Management	5	14%
Staff Council	2	6%

The Senate's Research and Structural Commission was included in the elaboration of plans of action on the 03/12/2015.

The results which had been attained in the working groups (gaps and actions) were then finally discussed by the entire steering group, according to the above named criteria. The resulting draft report of the internal analysis and the plan of action was handed over to the Rectorate in the first quarter of 2016. The Rectorate revised the document, set priorities and discussed it conclusively on the 15/06/2016. A final meeting with the steering group and a further revision took place on the 20/06/2016. On the 21/06/2016 the deans passed the document after it was presented by the Rectorate.

The results of the internal analysis and the resulting Plan of Action were discussed in front of the University's members at the Senate's meeting on the 20/07/2016. It was published on the University's website together with the principles of the Charter and Code on the 05/09/2016.

The central result of the internal analysis was that the University of Greifswald already has various instruments, structures and processes for implementing the principles of the Charter and Code or they are currently being developed. Regulations for certain principles at national

⁴ Master's thesis for gaining the academic grade of Master of Arts "Personalentwicklungsstrategien & -instrumente vor dem Hintergrund des demografischen Wandels am Beispiel der Ernst-Moritz-Arndt-Universität Greifswald" Stefanie Brucki

and federal state levels have been compiled by the German Rectors' Conference (HRK) (see attachment). Deficits found, led to the creation of plans of action with an implementation timeline and the designation of responsibilities. The process was led by the Pro-Rector for research and coordinated by the Research Support Centre (ZFF)⁵.

Results in the Different Dimensions⁶

I. Ethical and Professional Aspects

In its mission statement⁷, the University of Greifswald states that research and teaching are committed to the freedom and autonomy of thought and thus confirms the principles of the *Landeshochschulgesetz* (State Higher Education Law) (§ 5) and the *Grundgesetz* (Basic Law) (Art. 5 Sec. 3: "Arts and sciences, research and teaching shall be free. The freedom of teaching shall not release any person from allegiance to the constitution"), (C&C 1).

According to its mission statement, the University "recognises gaining new scientific insights and making them applicable for society as its fundamental task." It "thus contributes to intellectual, cultural, economic and social development and with its research supports the preservation of the basis of life." This means that the University, "its members as researchers, teaching staff and students, are expected to stand up for a free, civil and democratic society and to advocate the peaceful coexistence of humans and nations." (C&C 2, 3)

The consequential transfer of the research results into specific fields of application means that the need for considering **ethical principles** is gaining increasing importance. The existing Ethics Commission at University Medicine Greifswald is responsible for scientific experiments on humans and human cells and tissues, studies on somatic cell gene therapy, gene transfer and genetically modified organisms, as well as research using personal data. There is currently no responsible commission at the University of Greifswald or contact persons in the faculties outside of University Medicine Greifswald for any other ethically relevant issues. We aim to create a "Commission for the Ethics of Research (KEF)" (see **Plan of Action 2**) for the purposes of free, ethically reflected research, which at the same time complies with **professional responsibility**. It will be created according to the recommendations regarding the handling of security-relevant research from the Deutsche Forschungsgemeinschaft (DFG) and the German National Academy of Sciences Leopoldina⁸. Researchers will be able to approach the KEF for any questions regarding research ethics; the KEF will define guidelines for the handling of security-relevant research, make suggestions for the realisation of research projects and sensitise researchers for the ethical aspects of their work.

Professional attitude, contractual and legal obligations, accountability, good practice in research (C&C 4-7): For third-party funded research, researchers are supported and advised by the ZFF with regards to the raising of funds in accordance with the guidelines. The ZFF and the University's Graduate Academy⁹ also support junior researchers in qualifying for third-party research. Third-party funded projects, which have been confirmed, must be declared to the External Funding Department via a third-party funding declaration. The External Funding Department advises and supports researchers with the administration, the adminis-

5 <https://www.uni-greifswald.de/forschung/forschungsservice-und-praxis/zentrum-fuer-forschungsfoerderung-und-transfer/>

6 The principles of Charta and Code are noted at the end of the corresponding paragraphs in brackets and according to the consecutive number (C&C 1-40)

7 <https://www.uni-greifswald.de/universitaet/information/ueber-uns/leitbild-der-universitaet/>

8 leopoldina.org/uploads/tx_leopublication/2014_06_DFG_Leopoldina_Wissenschaftsfreiheit_-verantwortung_D.pdf

9 <https://www.uni-greifswald.de/forschung/wissenschaftlicher-nachwuchs/graduiertenakademie/>

trative implementation, the conclusion and the reporting of the projects. Data management in the projects is oriented towards the memorandum from the DFG on safeguarding good scientific practice¹⁰. An IT concept¹¹ regulates aspects of functionality and security in information technology. An instruction for the introduction of a Client Management System already exists, a similar one for the use of IT devices and central University Computer Centre services are currently being drafted. Data protection is covered by the Data Protection Officer and the Statute on Data Protection¹², which is based on the *Landesdatenschutzgesetz* (State Data Protection Act). Supplies and services are awarded according to the *Vergabe- und Vertragssordnung für Leistungen* (Procurement and Contract Procedures for Supplies and Services) (VOL/A) and is monitored and managed by the Purchasing Department.

The foundations for the **dissemination and exploitation of results** (C&C 8) are also stipulated in the University's mission statement: "At the University of Greifswald, both basic research and applied research are pursued. Both forms of gaining knowledge complement one another. This helps to increase knowledge in all areas and support the transfer of knowledge into practice." At the same time, the transfer of knowledge and technology is defined as a university task in Mecklenburg-Vorpommern's *Landeshochschulgesetz*¹³ (State Higher Education Law) (LHG § 3 Sec. 8). Additionally, the transfer is embedded in the University Development Plan, in which the development goals and their realisation are defined for the years 2016-2020.

The safeguarding of **intellectual property rights** (C&C 31) is carried out in cooperation with the Finance and Purchasing Division and the Verwertungsverbund Mecklenburg-Vorpommern, according to the guidelines on the handling of intellectual property¹⁴. Researchers can access the legal terms for employee inventions¹⁵. Valorisation takes place according to the "Community Framework for State Aid for Research and Development".

Knowledge and technology transfer at the University is covered in staff terms by the ZFF and a project financed Business Engagement Officer, as well as a *Gründerbüro* (start-up services). This area, which is seeing an increasingly dynamic development, is managed centrally. A transfer strategy was developed on the basis of a status quo analysis and a SWOT-based goal definition in 2016. The challenge of distributing results lies in the extensive use of possibilities provided by the internet for making knowledge created at the University available, in order to contribute to a global, interactive representation of human knowledge in accordance with the "Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities"¹⁶. There are no further standard regulations at the University other than the passed Open Access strategy. Therefore, recommendations for Open Access will be developed and implemented (see **Plan of Action 4**).

10 dfg.de/download/pdf/dfg_im_profil/reden_stellungnahmen/download/empfehlung_wiss_praxis_1310.pdf

11 https://rz.uni-greifswald.de/fileadmin/uni-greifswald/einrichtungen/rechenzentrum/dokumente/information/it-konzept_universitaet.pdf

12 https://www.uni-greifswald.de/fileadmin/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Studium_und_Pruefungen/Datenschutzsatzung.pdf

13 https://www.uni-greifswald.de/fileadmin/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Grundlagen/LHG_2011.pdf

14 https://www.uni-greifswald.de/fileadmin/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Sonstiges/Leitlinien_IPR.pdf

15 https://www.uni-greifswald.de/fileadmin/uni-greifswald/3_Forschung/Patente_Rechtliche_Rahmenbedingungen_be_Arbeitnehmererfindungen.pdf

16 openaccess.mpg.de/Berlin-Declaration

The University of Greifswald displays a broad range of **public engagement** (C&C 9). This can be seen in the cooperation with the Alfried Krupp Wissenschaftskolleg Greifswald¹⁷, which offers a forum for discussions between academia and society and between the University and local inhabitants. On top of this, the University, in cooperation with the town council, organised the series of lectures “University in the Town Hall”¹⁸ with the goal of strengthening the connection between the University of Greifswald and the local citizens. The annual “Bach Week”, under the leadership of the Institute of Church Music and Musicology, is a cultural event of great regional and national importance and is also respected internationally. The festival PolenMARkT¹⁹ (Polish culture), organised by the Chair of Eastern and Western Slavonic Philology, as well as the festival “Nordischer Klang”²⁰ (initiated and mainly organised by the staff at the Institute of Finnish Studies and Scandinavian Studies) provide cultural exchange with our neighbouring countries. Nordischer Klang is the largest annual festival in Germany for north European culture, outside of Scandinavia. Further examples of the University’s public engagement are the “Family University of Greifswald”²¹ and the “Children and Youths University”²², organised by the Press and Media Relations Office and the department of Academic Counselling and Course Enquiries.

The University complies with the principle of **non-discrimination** (C&C 10) in many different respects and the basis for this is set out in the mission statement: using the Equal Opportunities Concept, the University, together with its Equal Opportunities Officer, “supports highly qualified women and counteracts the under-representation of women, in particular in leading academic positions” (C&C 27). Equal opportunities issues are also handled by the Equal Opportunities Committee in the Senate. The Guidelines on Sexual Discrimination, Harassment and Violence²³ were passed as an appropriate measure for equal opportunities. Additionally, “the University is committed to providing a democratic gender culture in all work areas and is working towards making working and studying in Greifswald family-friendly” (C&C 24). In May 2014, the University of Greifswald signed the Charta “Familie in der Hochschule”. Following this, a compatibility concept with plan of action was submitted²⁴. The kindergarten “Campuskinder” from *Studentenwerk Greifswald* (Student Services), which opened in October 2014, and the University’s emergency childcare are amongst the many measures which have already been implemented and of which nine were taken up in the DFG’s toolbox.

Students “of all ethnic origins and nationalities” are welcome and “the different educational backgrounds of [the University’s] students” are allowed for. The Diversity Officer, the Disability Officers and the Staff Council for Academic Staff support staff and students should any issues arise.

With regard to **professional responsibility** in research (C&C 3), the University of Greifswald has passed and implemented “Guidelines to Secure Good Scientific Conduct and Avoid Academic Misconduct”²⁵. These are meant to, “[...] strengthen the conscience for the basic principles of academic practice, keep them vivid and convey them to students and junior academics as common conditions for academic work from early on and over and over again”. At

17 wiko-greifswald.de

18 <https://www.uni-greifswald.de/studium/studienangebot/weitere-angebote-der-universitaet/universitaet-im-rathaus/>

19 polemarkt-festival.de

20 nordischerklang.de

21 <https://www.uni-greifswald.de/studium/studienangebot/weitere-angebote-der-universitaet/familienuniversitaet/>

22 <https://www.uni-greifswald.de/studium/studienangebot/weitere-angebote-der-universitaet/kinder-und-jugenduni-2016/>

23 https://www.uni-greifswald.de/fileadmin/uni-greifswald/1_Universitaet/1_2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Veroeffentlichungen_2012-2016/2016_04_28_Richtlinie_gegen_sex_Diskr..pdf

24 <https://www.uni-greifswald.de/universitaet/organisation/kooperation/familie-universitaet/charter-familie-in-der-hochschule/>

25 https://www.uni-greifswald.de/fileadmin/mediapool/3_organisieren/Satzungen/selbstkontrolle_richtlinien.pdf

the University of Greifswald, all PhD candidates have to submit a declaration of authorship. With this, the PhD candidate confirms that he/she wrote the dissertation or which amount was written by him/her, that all the resources have been quoted and no parts of the text have been taken from third parties without being quoted (plagiarism).

All doctoral regulations include rules on how to act if the dissertation is declared as invalid or the doctor title is revoked. The faculties are responsible for the proper implementation of the regulations. The foundation for the assessment of invalid PhD work is partly based on the rules of good scientific practice, as set out by the Deutsche Forschungsgemeinschaft (DFG)²⁶.

The Ombudsman for Questions of Academic Misconduct was appointed according to the suggestions made by the commission “Self-Regulation in Science” from the Deutsche Forschungsgemeinschaft (DFG 1998), to allow for **complaints and appeals procedures** (C&C 34) with regards to self-regulation in science. If there is justified suspicion that substantial misconduct has occurred, the ombudsman will call the University’s Committee for Good Scientific Practice. This has the authority to investigate. The corresponding rules have been set out in a statute.²⁷ In future, responsibilities and contact persons for complaints are to be clearly defined and communicated (see **Plan of Action 12**).

II. Recruitment Procedure

The **recruitment procedure** (C&C 12, 13, 15) at the University of Greifswald is carried out according to clearly standardised, transparent guidelines. The selection criteria, the length of contracts and the procedure are named in the similarly formalised job advertisements. Jobs are advertised according to the “Guidelines for Good Employment Conditions for Academic Staff”²⁸. A form for creating “legally sound” job advertisements exists. Starting with the winter semester 2016/17, all professorships and permanent positions for academics will be advertised not only in German, but also in English. Regarding the **judging of merit and recognition of qualifications** (C&C 16, 18, 20), the University uses the regulations set out in the Collective Agreement for the Public Service (TV-L) with different levels of experience or the W pay scale regulations for civil servants. Also starting with the winter semester 2016/17, the ability and willingness to teach in a foreign language and experience abroad will be considered as criteria during the appointment and recruitment procedures for academics. If appointed, international academics will receive English translations of important documents.

The basis for the job advertisements, which are to be funded by the budget, is formed by the staff plan of the University of Greifswald which was agreed with the state government. Regarding the recruitment procedure, a difference should be made between fixed-term and permanent contracts; furthermore, a difference should be made between the professorships, with usually permanent W2 and W3 professorships and fixed-term junior professorships (W1).

26 dfg.de/download/pdf/dfg_im_profil/reden_stellungnahmen/download/empfehlung_wiss_praxis_1310.pdf

27 https://www.uni-greifswald.de/fileadmin/uni-

greifs-wald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Mitwirkung_Gremien_Verfahren/Satzung_Selbstkontrolle_in_der_Wissenschaft.pdf

28 https://www.uni-greifswald.de/fileadmin/uni-

greifs-wald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Sonstiges/Orientierungsrahmen_wiss._Nachwuchs.pdf

Fixed-term Jobs

Fixed-term junior academic positions are meant to support the continual training and qualification of junior academics and thus fulfil one of the University's central tasks. They support new developments in research and teaching and are thus essential for the strength of research and innovation at the University.

With regard to fixed-term jobs, the University of Greifswald has set out reliable contractual and **working conditions** (C&C 25) in the "Guidelines for Good Employment Conditions for Academic Staff - Self-Commitment to the Reliable Creation of Fixed-term Contracts" and the "Orientation Framework to Promote Junior Academics after Receiving their Doctorate"²⁹ (hereinafter "Orientation Framework"), based on the following laws:

"If possible, term limitations regulated by WissZeitVG should have priority to those regulated by the TzBfG³⁰. Within the WissZeitVG, term limitations occur either according to the state of qualification in § 2 Sec. 1 WissZeitVG, or if financed externally, according to § 2 Sec. 2 WissZeitVG. If the term limitation is regulated by § 2 Sec. 1 WissZeitVG, the work contract can be extended by legal right e.g. for periods of maternity protection and parental leave."

"The length of employment contracts for staff financed solely by third-party funds, are based on the approval period and they usually cover the length of the project or the length of the project task. The extension of the maximum fixed-term contract period of two years per child according to WissZeitVG is used where possible and proactively stated as an option during the creation of the contract. If possible, requests for the extension of contracts should be made in good time so that the employees are not forced to declare that they are job seeking three months before the end of their work contract. Additionally, the Orientation Framework contains the following regulation: "The minimum length of first employment contracts (before and after PhD) is usually two years" The limitation should generally be oriented towards achieving the qualification goal. (C&C 24)

Recruitment after receiving a doctorate (C&C 21) is ruled by the Orientation Framework as follows: "Following a doctorate, employment contracts are typically full-time. Dropping below a volume of employment of 50 % will need an extra explanation."

Former employment relationships that count toward the respective maximum length of fixed-term employment are ruled by § 2 Sec. 3 WissZeitVG on corresponding forms, which automatically calculate the maximum possible length of further employment. On request, the employee will be informed about the maximum possible length of further employment according to WissZeitVG (C&C 12). The revision of the WissZeitVG has made it harder to limit the terms of employment for academics (C&C 21). Therefore, the Human Resources Department will develop criteria for checking reasons for limitation, which in turn is an important prerequisite for the creation of legally sound fixed-term contracts. (see **Plan of Action 7**).

Permanent Contracts

The Orientation Framework states the following regulation: "Jobs that are to be staffed permanently are usually advertised publicly - as suggested by the German Council of Science

29 https://www.uni-greifswald.de/fileadmin/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Sonstiges/Orientierungsrahmen_wiss._Nachwuchs.pdf

30 gesetze-im-internet.de/bundesrecht/tzbfg/gesamt.pdf

and Humanities (Wissenschaftsrat)³¹ and the HRK (2012, 2015)³² - in an objective, transparent **selection procedure**, based on the principle of choosing the best candidate, and appointed by a commission of at least three members (C&C 14). The creation of permanent academic positions which had previously been fixed-term, must be approved by the Rectorate."

Whilst appointing positions, certain members of the University are not sure about the formalities of the recruitment procedure, e.g. with regards to carrying out selection interviews or evaluating CVs with variations in the chronological order (C&C 17) or considering periods of parental leave. Therefore, the necessary knowledge will be passed on to managerial staff in the training courses which are going to be created (see **Plan of Action 11**).

Professorships

The advertisement and appointment of professors is regulated by the University of Greifswald's Professorial Appointment Guidelines³³.

Junior professorships are regulated by the *Landeshochschulgesetz* (State Higher Education Law) Mecklenburg-Vorpommern and the Appointment Guidelines for Junior Professors³⁴. If a junior professorship is advertised with a tenure track option, this option and its implications are indicated in the advertisement (C&C 13). If it is a tenure track position, the transformation into a permanent W2 Professorship is regulated by a specific procedure: Following a positive interim evaluation in accordance with § 8 of the Appointment Guidelines for Junior Professors, the tenure procedure commences (equivalent to the appointment procedure according to § 59 LHG M-V, with the proposal from the faculty and the constitution of the appointment commission etc.). As part of the procedure, two independent reports regarding the achievements in research and teaching must confirm the academic's suitability for being appointed (C&C 11). However, lots of junior professors are uncertain about which requirements must be met. Therefore, the requirements for the transformation to a permanent position are to be specified in the Appointment Guidelines for Junior Professors (C&C 28) (see **Gap Analysis and Action13**).

Apart from in the Faculty of Mathematics and Natural Sciences, the proportion of female staffed professorships at the University of Greifswald is significantly below the German national average. Therefore, the University aspires to a balance between men and women (C&C 27) which corresponds with the national average. In order to win highly qualified female applicants for the jobs advertised, the University will enhance its active recruitment. In order to call attention to this option and to eliminate uncertainties concerning the relevant conditions, a handout on the active recruitment of women for professorships will be developed as a supplement to the Professorial Appointment Guidelines (see **Plan of Action 6**).

At the University of Greifswald, salary increments can be granted as part of the W salary scheme. The decision is made by the Rectorate on the basis of a suggestion from the Increments Commission (C&C 11). Salary increments are granted for distinctive achievements in

31 wissenschaftsrat.de/download/archiv/4009-14.pdf

32 hrk.de/uploads/media/Empfehlung_Leitlinien_Befristung_MV_24042012.pdf;

hrk.de/uploads/tx_szconvention/Empfehlung_Kernthesen_Orientierungsrahmen_12052015.pdf

33 https://www.uni-

greifswald.de/fileadmin/unigreifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/ Mitwirkung_Gremien_Verfahren/_Berufungsrichtlinie.pdf; Anerkennungsgesetz; www2.fzs.de/uploads/lissabonkonvention.pdf

34 https://www.uni-greifswald.de/fileadmin/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Stabstellen/Berufungen/Juniorprofessuren-Berufungsordnung.pdf

research, teaching, arts, further training and for promoting junior researchers. The legal foundation for this is regulated by § 33 Sec. 1 No. 2 BBesÜFG M-V and the supplementary regulations, in particular the University of Greifswald's Statute on Salary Increments³⁵. Certain faculties grant their funds for staff and resources according to the achievements made.

The OTM-R Strategy (Open, Transparent and Merit-based Recruitment for Researchers), published by the EU Commission in July 2015, defines standards for universities. These standards are to be achieved with the goal of implementing the OTM-R Strategy at the University of Greifswald. This includes the Status Quo Report according to the OTM-R checklist and the subsequent definition of corresponding plans of action (see **Plan of Action 5**).

III. Working Conditions and Social Security

With regards to **working conditions and research environment** (C&C 23, 24), the University of Greifswald establishes in its mission statement, that "all of the University's employees are in need of good external conditions, if they are to achieve good working results. That includes enough resources required for the tasks i.e. jobs, buildings and financial means from the state government and also an inspiring, open work atmosphere with cooperative interaction with other members of staff, high levels of individual responsibility and appropriate levels of participation". Furthermore, "The University of Greifswald works towards the internationalisation of research and teaching. In light of the worldwide competition for the brightest minds and limited financial means, the University sees internationalisation as both an obligation and a chance. The University supports the acquisition and development of its members' international experiences" (C&C 29). In 2015, the University took part in the HRK audit "Internationalisation of Universities" and used this process to develop an Internationalisation Strategy and specific goals for development and measures.

In its mission statement, the University also commits itself to "the idea of internationally evident and competitive cutting-edge research. The University calls for and promotes key areas of research in a specific and appropriate manner, which correspond to the worldwide stand in the respective field of research and its interdisciplinary ties; as well as researchers who take responsibility for the scientific and academic development of their subject areas and cooperate with internal and external partners to find solutions for fundamental and current problems on a global and local scale [...] Within the realms of its possibilities, the University supports its members' initiatives to take part in joint and individual research projects and to successfully raise third-party funding in competitive processes. The University provides the required infrastructure for conducting research projects."

In this respect, in addition to the staffed support structures for research (ZFF, External Funding Department), the University provides financial means as start-up funding to attract new, high-ranking joint research projects, to strengthen existing key fields of research and to establish research structures in the Arts and Social Sciences³⁶. The International Office and the Welcome Centre advise and support academics from Greifswald as well as international academics whilst planning and realising international projects, cooperation and mobility. Since 2016, a wide-ranging modular offer of intercultural schoolings and workshops prepares all of the University's status groups for the challenges of international teaching and research, by raising awareness for and the interest in intercultural cooperation and developing skills for

35 https://www.uni-greifswald.de/fileadmin/unigreifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Stabstellen/Berufungen/LeistBezS.pdf

36 <https://www.uni-greifswald.de/universitaet/organisation/verwaltung/dezernat-finanzen-und-beschaffung/referat-drittmittel/universitaetsinterne-ausschreibungen-anschubfinanzierungen/>

improved collaboration. In the future, participants will receive a certificate and University staff will be trained to be able to teach these courses.

Based on the HRS4R Gap Analysis, working conditions at the University of Greifswald will be analysed by a standard procedure which is to be developed by the Staff Council for Academic Staff. This procedure will not only include the results of the HRS4R Gap Analysis, but also monitoring which will make it possible to examine the achievement of the goals derived from the Status Quo Report.

With regards to **teaching** (C&C 33), the Orientation Framework regulates that teaching represents an academic service, mainly based on the teaching of research and, as part of junior positions, serves the qualification of junior academics. “For permanent jobs, in which teaching is the main task, the agreed level of teaching can be reduced to allow for research tasks, if it has been agreed to by the management of the institute and faculty and if teaching and examination tasks for the respective subject are duly covered. The reduction will have a time limit.”

The Health and Safety Officer is responsible for the application of and compliance with health and safety regulations (C&C 7). He is the contact person for any questions regarding work safety, health and fire protection and accident prevention. The University’s Hazardous Materials Officer advises and supports University members with regards to the handling of hazardous materials. Furthermore, the Radiation Protection Officer carries out tasks set out in the Radiation Protection Ordinance and the X-Ray Ordinance. Relevant regulations and instructions are published on the University’s website³⁷ and the University trains its staff in how to implement them. The Sustainability Officer coordinates and encourages the sustainable development to an environmentally-friendly and fully accessible university. Currently, for many officers, there is no regulation for cover if they are absent. This is to be combatted by the creation of a list of cover officers (see **Plan of Action 10**).

Additionally, during the internal analysis for HRS4R, it became clear that some of the employees did not know about structures, responsibilities and documents which regulate work at the University and serve the protection of staff members (C&C 5). Events will be staged for newly recruited academic staff members and newly appointed professors, in which information will be given about the structures and facilities at the University (see **Plan of Action 3**), which should help to pass on information about the University as an employer and help employees identify with it.

An important prerequisite for the **recognition of the profession** “researcher” (C&C 22) is for example the registration of doctoral students, irrespective of their source of financing. Whilst budget-funded or third-party employed researchers are recorded at the University, this is not yet entirely the case for scholarships with personal financing and international academics. If they were registered, current problems concerning the sharing of information and access to University resources (ID cards, library, etc.) could be solved (see **Plan of Action 9**).

IV. Training of Junior Researchers

The University of Greifswald sees the guidance and supervision of junior academics and permanent academic staff as one of the key managerial tasks for the University’s teaching staff (C&C 36, 37). The guided supervision of the colleagues on fixed-term contracts (espe-

³⁷ <https://www.uni-greifswald.de/universitaet/organisation/beauftragte0/sicherheitsingenieur/>

cially in the critical first two to three years after their PhD) is not only an expression of care, but also of the recognition of the achievements which have been made by the colleagues. It is one of the key managerial tasks for University teaching staff, who must be aware of their responsibility for their colleagues. So far, there have been deficits in terms of the state of knowledge of superiors e.g. with regards to the Working Hours and Working Conditions Acts, authorisation to give instructions, rights of continuous professional development and qualification. Therefore, management schoolings will be provided in the future (see **Plan of Action 11**).

In order to provide for quality assurance, the University has passed “Guidelines for the PhD Stage”³⁸, which describe the existing structures and regulations for doctoral students at the University of Greifswald, including transparent access paths and the selection procedure, the academic-organisational environment, offers of additional qualification, the evaluation of the PhD work, rules on good scientific practice and the stripping of the doctor title on violation of these regulations (C&C 36, 37, 40). Currently, supervision agreements are drawn up for members of the Graduate Academy; however, at the University of Greifswald there is no standard form for agreements governing the mutual rights and duties of the supervisors and doctoral students. Therefore, supervision agreements between supervisors and doctoral students will be drawn up, irrespective of membership in the Graduate Academy. The agreements are to be administered by the faculties. (see **Plan of Action 14**).

Regarding the professionalisation of the **relations to supervisors** (C&C 36), but also to superiors, currently at the University of Greifswald, there are only irregular, non-standardised performance reviews, without structured targets. In the future, employees with permanent positions will also undergo performance reviews, in which current tasks and the possibilities of personal development will be discussed. Suggestions will be made for the standard format and content of performance reviews and help to prepare and hold these (see **Gap Analysis and Action15**). With regards to **supervision and managerial duties**, the University plans to offer seminars on managerial skills for superiors with managerial roles (see **Gap Analysis and Action11**).

As part of its own Equal Opportunities Concept, the University of Greifswald has offered a project-based mentoring programme³⁹ (C&C 37) for female doctoral students and female postdocs who aspire to careers inside or outside of academia since 2011. Every year, 16 female doctoral students and ten female junior researchers are taken up for a period of two years (16 months for the female doctoral students). The mentoring programme provides an extensive seminar programme on raising external funding, professorial appointments, career planning and management competence.

In order to give female postdocs the opportunity of gaining management experience and carrying out their own research project, every other year, the University awards a Käthe Kluth Junior Research Group⁴⁰ to a female junior researcher in the postdoc phase with outstanding qualifications.

The University of Greifswald’s Graduate Academy provides additional interdisciplinary continuous development courses for the doctoral and postdoctoral phases (C&C 39). It has been

38 https://www.uni-greifswald.de/fileadmin/unigreifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Promotion_und_Habilitation/Leitlinien_Promotionsphase_21.10.2015.pdf

39 <https://www.uni-greifswald.de/universitaet/organisation/gleichstellung/mentoring/>

40 <https://www.uni-greifswald.de/universitaet/organisation/gleichstellung/frauenfoerderung/kluthstipendium/>

set up as an umbrella institution, which is open to all doctoral students and postdocs from the University and external research institutes located in Greifswald. The Graduate Academy's services are also open to employees with permanent contracts. It complements the individual and subject-specific supervision of the doctoral students by offering additional interdisciplinary development programmes. During the doctoral phase, the Graduate Academy provides a qualification programme and support to help members successfully complete their PhDs. In addition, the Graduate Academy provides doctoral students with the opportunity of gaining further qualification across the disciplines and other additional qualifications; it also supports doctoral students in matters of professional orientation and career development, not just in the academic world. Taking part in the additional qualification offers is voluntary and not tied to a compulsory curriculum. Additional qualifications gained through the Graduate Academy are certified. Budget-financed junior academic positions are granted a minimum amount of time of between 25 and 30 % for continuous professional development (C&C 39).

The University of Greifswald offers academic courses on university didactics (C&C 39), supervised by the working group University Didactics, which are aimed at teaching staff and include intensive courses for "beginner teachers". As teaching competence is very important for job applications and professorial appointments, the University's didactics courses also make an important contribution to furthering academic careers. Additionally, the university didactics courses support junior academics not only by conveying how to teach at universities, but also by passing on general skills for teaching situations outside of university education. Thus, they are an important component for human resources development and the continuous interdisciplinary development of junior researchers for careers in the academic and non-academic worlds. In the future, the University of Greifswald needs to provide more transparency concerning the possibilities of educational leave. An information platform will be created in order to provide greater transparency for the University's offers of continuous development (see **Plan of Action 16**).

The predominant majority of graduates with PhDs choose career paths outside of the universities. This means that the University has the task of training junior academics for various sectors of society. Career paths outside of universities and the academic world are therefore included in the guidance and support at the early stages of the PhD and in the early postdoc phase. Information on alternative career paths should also be part of the personal consultations between doctoral students/postdocs and their respective supervisors. This should be included in the supervision agreements. Subject-specific advice and support is complemented by the interdisciplinary continuous development offers and courses provided by the University of Greifswald's central Graduate Academy.

V. Conclusion Gap Analysis and Plan of Action

The points listed above show that various guidelines, structures and processes already exist in all four dimensions at the University of Greifswald. Most of the principles of the Charter and Code are already part of everyday practice. The following Plan of Action lists the measures derived from the gap analysis.

Table 2: Gap Analysis and Action Plan

	Goal	Dimension	Principle	Gap Analysis	Responsible	Time Frame	Milestones	Performance Indicators
1	Successful application for the hr Logo	relevant to all dimensions			Head of the Research Support Centre	IV 2016	Bestowal of the hr Logo	
2	Determining of ethical principles and their responsibilities	I Ethical and Professional Aspects	Freedom of research, ethical principles (1, 2)	No Ethics Commission outside of University Medicine	Pro-Rector Research	IV 2017	Creation of a Commission for Ethics and Research; establishment of ethics guidelines	Number of Ethics votes
3	Information about and identifying with the University as an employer	I Ethical and Professional Aspects	Contractual and legal duties (5)	Information for newly appointed members of staff can be improved	Rector, Head of the Graduate Academy, Head of the HR Department	I 2017	Concept for and realisation of introductory events	To take place 2x per semester
4	Optimisation of public access to research results	I Ethical and Professional Aspects	Dissemination of results (8)	No suggestions for Open Access	Head of the Research Support Centre	II 2017	Open Access suggestions	Number of Open Access publications
5	Implementation of the OTM-R Strategy	II. Recruitment Procedure	relevant to all dimensions	Realisation of the OTM-R Strategy not yet completed	Head of the HR Department	III 2020	Status Quo Report und derivation of measures	Awareness and information workshops
6	Increase in the proportion of women	II. Recruitment Procedure	balanced relationship between men and women (C&C 27)	Efforts could be improved to recruit female managerial staff	Equal Opportunities Officer	II 2017	Handout for active recruitment	Proportion of female professors
7	Adaption to the revised Wis-ZeitVG	II. Recruitment Procedure	Recruitment and appointment after a PhD (12, 21)	Lack of examination criteria for reasons of limitation as requirement for legally binding employment contracts	Head of the HR Department	IV 2016	Compilation of examination criteria for reasons of limitation	Legal certainty
8	Comprehensive evaluation and monitoring of working conditions	III. Working Conditions and Social Security	relevant to all dimensions	No structured collection of working conditions and lack of monitoring	Staff Council for Academic Staff	IV 2017	Development of a concept and collection of data	Regular collection of data
9	Accessibility of infrastructures and services for all researchers	III. Working Conditions and Social Security	Recognition of the profession (22)	Deficiencies in the registration of doctoral candidates and thus room for improvement in granting them access to university resources	Head of the Students' Registration Office	IV 2016	Registration of all doctoral students	Proportion of registered doctoral candidates

				No cover regulations	Health and Safety Officer	IV 2016	Cover regulations for the officers	Availability
10	Permanent availability of the officers	III. Working Conditions and Social Security	Professional procedures in research (7)					
11	Strengthening of managerial competencies	III. Working Conditions and Social Security IV. Training of Junior Researchers	Continuous professional development offers in research (39), supervision (40)	No management skills courses for managerial staff	Head of the Graduate Academy/ University didactics	IV 2017	Creation of management skills seminars for superiors	Number of seminars
12	Increase of transparency in complaint management	III. Working Conditions and Social Security	Complaints and appeals procedures (34)	Responsibilities and contact persons for complaints not sufficiently clear/known	Staff Council for Academic Staff	I 2017	Designation of responsibilities and contact persons	Transparency
13	Determining of precise criteria for jobs with tenure track options	IV. Training of Junior Researchers	Career development (28)	Appointment Guidelines for Junior Professors imprecise with regards to limitation	Deans	II 2018	Amendment to the Appointment Guidelines for Junior Professors	Ability to plan careers
14	Creation of supervision agreements	IV. Training of Junior Researchers	Relation with supervisors (36)	Lack of supervision agreements for doctoral candidates	Deans	I 2017	Establishment of signed supervision agreements	Number of signed supervision agreements
15	Information for carrying out qualified performance reviews	IV. Training of Junior Researchers	Supervision and managerial duties (37)	Irregular, non-formalised performance reviews for staff, without structured objectives	Head of the HR Department	IV 2018	Suggestions and available courses	Number of performance reviews
16	Transparent compilation of professional development courses at the University	IV. Training of Junior Researchers	Continuing Professional Development (38, 39)	Lack of transparency for professional development courses at the University	Head of the University Computer Centre	IV 2017	Information platform	Participation in professional development courses

The HRS4R documents can be found at www.uni-greifswald.de and www.uni-greifswald.de/en/university/information/about-us/hr-strategy/.

Monitoring

The implementation of the action plan is supervised by a working group “human resources development”, made up of the Pro-Rector for research, the Head of the Research Support Centre and the spokespersons of the four working groups of the steering group. The working group demands biannual reports about the realisation of the plans of action and encourages their implementation.

Table 3: Schedule (Gantt Chart) for the Implementation of the Plans of Action for the Period 2016-2021

	Plan of Action	2016		2017		2018		2019		2020		2021		
		III	IV	I	II	III	IV	I	II	III	IV	I	II	III
1	Successful application for the hr Logo													
2	Determining of ethical principles and their responsibilities													
3	Information about and identifying with the University as an employer													
4	Optimisation of public access to research results													
5	Implementation of the OTM-R Strategy													
6	Increase in the proportion of women													
7	Adaption to the revised WissZeitVG													
8	Comprehensive evaluation and monitoring of working conditions													
9	Accessibility of infrastructures and services for all researchers													
10	Permanent availability of the officers													
11	Strengthening of managerial competencies													
12	Increase of transparency in complaint management													
13	Determining of precise criteria for jobs with tenure track options													
14	Creation of supervision agreements													
15	Information for carrying out qualified performance reviews													
16	Transparent compilation of professional development courses at the University													
17	Internal report													
18	Presentation and implementation of the revised action plan													
19	External evaluation													