

UNIVERSITÄT GREIFSWALD
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HRS4R - Internal Review for Interim Assessment of the University of Greifswald for the Period 2017-2019

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1 Information about the University of Greifswald

The University of Greifswald (UG) sees itself as a research university¹. Its research strength is mainly provided by the intensive interdisciplinary collaboration of the five faculties, including University Medicine. Cutting-edge research evolves in close collaboration with regional, national and international research partners and is based on the solid foundation provided by an excellent research infrastructure. Within its five key fields of research and further research areas that are currently being established, UG achieves innovative, unique contributions to important topics and challenges that are faced by the today's society: *Health & preventive medicine, environment & climate, energy & raw materials and chances & risks of globalisation*.

All of the University's employees require good conditions in order 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 amounts of individual responsibility and appropriate levels of participation. The compact structure of the comparatively small university is used consciously to maintain and strengthen good personal and academic contact between the faculties and subject areas; and direct communication between the students and the teaching staff. Consistent interdisciplinarity, a strategic and structural mindset and intensive support of early career researchers shape the image and international reputation of the University and make it an institution that is shaping the future of Greifswald and the surrounding region.

According to the THE World University Ranking 2021², UG achieved a rank in the range of 301-350 (2020: 501-600) when compared to other international institutions, and rank 32 in Germany (2020: 41). 750 of the 10,230 students, making up a proportion of 7%, come from abroad (WS 2020/21).

2 Strengths and Weaknesses of Current Practice

The measures derived from the internal analysis (cf. Table 2) were implemented following bestowal of the logo *hr Excellence in Research*. At the same time, the internal analysis was continued on a participatory basis and the results were used to identify weaknesses (2.2), define and continuously realise further measures (1).

2.1 Strengths

UG's strengths in terms of staff development mainly lie in the realisation of the measures set out in 2016's HR Strategy and in the previously existent structures and processes, e.g. the Graduate Academy for the further qualification of early-career researchers, the KarriereWegeMentoring programme for specifically encouraging the potential and competencies of highly-qualified female early-career researchers, and the Idea Competition UNIQUE for qualifying and realising business ideas that emerge from the world of academia.

¹<https://www.uni-greifswald.de/en/university/information/profile/short-profile/>

²timeshighereducation.com/world-university-rankings/university-greifswald

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2.1.1 Ethical and Professional Aspects

1. Successful application for the hr Logo³

The hr Logo was awarded in August 2017.

2. Determining ethical principles and their responsibilities

A decision was passed to introduce a Committee for the Ethical Evaluation of Security-Relevant Research (KEF) on 15 March 2017. A statute was passed and an information portal was setup on 19 July 2017. The Committee consists of persons belonging to all member groups. It advises scholars on a peer level, but also provides expert advice regarding ethical and legal aspects of security-relevant research and helps create awareness for ethical aspects of research. It reports annually about its activities in a general and anonymised form to the Senate and to a committee created by the DFG and Leopoldina.

A portal “Quality Assurance and Research Ethics”⁴ was setup to support the “ethical guidelines”; it provides links to the most important guidelines and documents on good scientific practice, security-relevant research and research transparency.

Responsibilities in the field of research ethics are clearly defined and are communicated transparently⁵.

3. Information about and identifying with the University as an employer

The University has introduced the concept of an introductory event for newly appointed members of professorial and academic staff. The Rector greets these new members of staff at central receptions in both summer and winter semester.

4. Optimisation of public access to research results

UG already signed the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities in 2016. The University Library’s webpages describe how to publish academic research results via Open Access and also provide recommendations⁶. The pages also provide information on the various ways to publish, as well as links to more detailed information. Researchers can also consult the University Library’s Open Access Officer, who is able to provide detailed information on the topic. In so doing, UG sustainably strengthens the publication of research results in real, “gold” Open Access media. In order to share the costs of Open Access, UG requested an “Open Access Publishing” grant from the DFG, which was approved in the 2nd phase on 14/10/2019. The University’s Open Access Fund makes it possible to continue the specific funding of independent publications written by early-career researchers.

³the numbering refers to UG’s Plan of Action

⁴ <https://www.uni-greifswald.de/en/research/research-service-and-practice/quality-assurance-and-research-ethics/>

⁵ <https://www.uni-greifswald.de/en/research/research-service-and-practice/quality-assurance-and-research-ethics/research-ethics/>

⁶ [https://ub.uni-greifswald.de/serviceangebote/fuer-wissenschaftlerinnen/open-access/ueber-open-access/ \[de\]](https://ub.uni-greifswald.de/serviceangebote/fuer-wissenschaftlerinnen/open-access/ueber-open-access/)

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2.1.2 Recruitment Procedure

5. Implementation of the OTM-R Strategy

Within UG's HRS4R process, the OTM-R procedure⁷ ("Open, Transparent and Merit-Based Recruitment") ensures a high-quality recruitment procedure. UG reviewed its recruitment strategies in 2019 and in September of the same year, it determined guidelines⁸ outlining objectives and principles for the recruitment process. The OTM-R guidance⁹ that is based on this process makes sure the objectives are implemented correspondingly at the University. This guidance is provided to all persons who are involved in the procedure, and is also made available to the general public.

The OTM-R principles have already been included in several procedures (see the Appointment Guidelines [de]¹⁰) and are being reviewed and, if necessary, extended continuously as part of the HRS4R Process.

The guidance is structured in accordance with the recruitment procedure and describes the corresponding recruitment principles.

A) Job advertisement and application phase

When a decision is made to fill a position, a job profile is created which describes the specific tasks and prerequisites. The following aspects must be addressed when creating a job advertisement:

- Name of position
- Name and, if applicable, description of the institution advertising a position
- Length of contract and other terms of employment (full/part time, pay group, etc.)
- Description of work tasks or required prerequisites, selection criteria
- Offers provided by UG, if possible, chances of professional development
- Contact details
- Details regarding the application deadline and manner in which application documents should be submitted
- Reference to OTM-R
- Information regarding efforts made to ensure gender equality

Following the involvement of the corresponding organisational units (Dean's Office, Gender Equality Officer), the job will be advertised by the HR Department both internally and externally on the following online platforms, taking into account the available financial resources:

⁷<https://www.uni-greifswald.de/en/university/organisation/administration/human-resources-and-finance-division/human-resources-and-appointments-department/otm-r/>

⁸https://www.uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Dezernat_3/Referat_3.4_Personal/Gesetze_und_Tarife/OTM_R/Richtlinie_OTM-R_11.09.2019_EN.pdf

⁹https://www.uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Dezernat_3/Referat_3.4_Personal/Gesetze_und_Tarife/OTM_R/Entwurf_Leitfaden_OTM-R_11.09.2019_EN.pdf

¹⁰[uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Dezernat_3/Referat_3.4_Personal/Gesetze_und_Tarife/Berufungen/Berufungsrichtlinie.pdf](https://www.uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Dezernat_3/Referat_3.4_Personal/Gesetze_und_Tarife/Berufungen/Berufungsrichtlinie.pdf)

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- UG website, Karriereportal M-V, Employment Agency, Interamt.de and Bund.de
 - Euraxess (for job advertisements that have been translated into English)
 - If applicable, website of the corresponding academic community
 - If applicable, Academics.de

During the application procedure, all applicants will be informed in due time about the current state of the application process or about the next steps.

B) Evaluation and selection phase

The size and composition of the selection committee can vary depending on the profile of the position. Attempts must be made to have an equal number of men and women; if this is not possible, the corresponding reasons must be held on record. It is possible to involve external experts. The selection committee must be included in all phases of the procedure (viewing of the application documents, interviews, decision-making).

Who to recruit will be decided according to suitability, qualifications and previous achievements in the field (principle of selecting the most suitable candidate). Possible selection criteria depending on the profile of the advertised position, could be:

- Subject expertise
- Professional experience
- Research achievements, publications
- Teaching experience
- Experience in the acquisition of external funding
- Internationality, mobility, language skills
- Administrative experience
- Ability to work in a team, communication skills, organisational skills

Following evaluation of the received applications, suitable candidates are selected for interview. The reasons for non-consideration of certain applications must be held on record.

C) Appointment phase

Following a positive decision from the selection committee, the applicant who has been selected for appointment will be informed by his/her future direct line manager/superior that s/he has been selected for appointment subject to the approval of the bodies (staff council, Gender Equality Officer) and verification by the HR Department. The HR Department contacts the successful candidate and is the contact person for the terms of contract and central questions regarding the employment relationship.

Unsuccessful candidates receive a standardised letter of rejection prior to the appointment of the new employee. Upon request, applicants receive feedback from the HR Department.

Applicants for any position can submit complaints about the procedure, by writing an email to persdez@uni-greifswald.de. Apart from technical aspects, these can address, in particular, the topics of fairness, transparency, data protection and discrimination. The complaint will be

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answered individually within 10 work days following an internal review by the HR Department.

The transparency and competency of staffing decisions is just as important as the structure of the recruitment and selection processes. UG enacts suitable measures to encourage persons involved in staff-related decisions to observe these research-oriented gender equality standards. Potentially suitable female academics will be contacted about available positions in areas in which women are underrepresented amongst the professors or at other levels of academic qualification. This will be clearly documented in the appointment committee's final report. UG's evaluation of the applicants' academic achievements continues to be transparent and fair. Individual circumstances, in particular periods of absence due to family reasons, will be taken into account when assessing the academic achievements and academic potential. This will also be documented in the appointment committee's final report. The Gender Equality Officer's participation in all professorial appointment and recruitment procedures has now been secured for the future in a standardised participation procedure. The University supports the spouse/partner of the newly appointed member of staff in the search for adequate employment opportunities by approaching relevant institutions within the town, the State's higher education institutions and the universities belonging to the Association of North German Universities (dual career service)¹¹.

If agreed with the Gender Equality Officer, it is not compulsory to advertise an available chair if a professorship that is currently occupied for a limited term is to be granted permanently or for a further limited period to the person who currently holds the position and the continued employment of the person in question is in the specific interest of the University; or if a person is available, who is specially qualified for the position, and whose employment or engagement would strengthen the University's quality and profile, and the Ministry of Education, Science and Culture has granted its approval.

6. Increase in the proportion of female professors

In order to attain the goal of increasing the proportion of female professors, more efforts will be made to recruit highly qualified female applicants for available positions. In order to draw attention to this option and to eliminate uncertainties concerning the relevant conditions, a handout was developed regarding the active recruitment of women for professorships as a supplement to the Professorial Appointment Guidelines, and the appointment guidelines were adjusted to match the *Gleichstellungsgesetz* (Gender Equality Act).

¹¹ uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Richtlinien/forschorient_Gleichstellungsstandards.pdf [de]

Table 1: Development in the Proportion of Female Professors at UG since 2014

	2014	2018	2019 (reference date 01/07/2019)
Total	145	142	142
Women	25	28	30
Proportion of women [%]	17.2	19.7	21.1

7. Adjustment to comply with the revised WissZeitVG

Recruitment and appointment following receipt of a doctorate must be adjusted to comply with the revised *Wissenschaftszeitvertragsgesetz* (Academic Fixed-Term Contract Act). The criteria for reasons to limit the term of contracts have been compiled. This has made it possible to provide corresponding information at the start of the employment contract. The HR Department is responsible for information regarding the basic job specifications, above all with regard to the criteria for limiting the term of contracts. The respective line managers/superiors are responsible for information related to existing staff structures and chances of promotion.¹²

The criteria for limiting the term of contracts have been compiled and an event was held on the amendments to the WissZeitVG and the criteria. The idea of publishing the criteria for the general public was abandoned in favour of individual advice provided by experts who can be contacted easily. A transparent and clear explanation of the individual circumstances is provided during the initial consultation.

2.1.3 Working Conditions and Social Security

8. Comprehensive evaluation and monitoring of working conditions

Following the re-election of the Staff Council for Academic Staff (WPR), the planned evaluation and a monitoring of the working conditions was abandoned in favour of individual receipt of proposals and complaints from members of staff. This generally addresses questions related to the workplace, grouping (pay groups/experience grades) and problems with line managers/superiors on a subject-specific and/or personal level. Based on this experience, the WPR was involved, for example, in the drafting of the staff development plan and the creation of new service agreements. Members of the WPR contributed their own suggestions directly or via the General Staff Council (GPR) toward the conception and finalisation of the service agreement for reintegration management and the service agreement on closure periods, which were completed in 2019.

9. Accessibility of infrastructures and services for all researchers

Researchers receive access to UG's infrastructure if they are employed by the University or have been granted guest access. In the past, this was not possible for doctoral candidates with individual scholarships. Therefore, the University requires the details of all the doctoral candidates. In accordance with the *Landeshochschulgesetz* - LHG (State Higher Education Act), which demands all doctoral candidates to be enrolled, the faculties collect the details of

¹² uni-greifswald.de/universitaet/organisation/verwaltung/dezernat-personal-und-finanzen/personal/gesetze_de/

the doctoral candidates pursuant to their doctoral regulations and pass these on to the University; the same applies for persons completing habilitations. The faculties make sure the university administration grants the required access. The details are compared to those held by the Students' Registration Office.

10. Permanent availability of the officers

Most of the officers¹³ have a deputy, this applies for example to the Waste Management Officer, the Diversity Officer, the Disability Officer, the Data Protection Officer, the Ethics Committee, the Gender Equality Officer, the Health and Safety Officer, the Addictions Officer, and the Animal Welfare Officer.

Currently, only officers whose duties are not time-dependent do not have a deputy such as the DFG Liaison Officer, the Disabled Students' Officer, the Chief Information Officer (CIO), the Inclusion Officer, the IT Security Officer, the Radiation Protection Officer and the Sustainability Officer. The Hazardous Materials Officer works together closely with the Health and Safety Officer, who is therefore in a position to act as a stand-in.

12. Increase of transparency in complaint management

The complaints handling procedure¹⁴ is displayed transparently according to target group and type of complaint. The respective contacts are named on the "Complaints Handling Procedure" page on the university website. The categories for complaints are academic misconduct, workplace, health issues, gender equality, (sexual) discrimination, compatibility of career and family/care responsibilities, interculturality.

Complaints can be submitted via email, over the phone, or in person. They are investigated confidentially by the Central Gender Equality Officer and the next steps are determined. This ensures a standardised procedure and makes sure the complaint reaches the responsible member of staff.

2.1.4 Training of Early-Career Researchers

11. Strengthening of managerial competencies

The duty of supervisors to support the careers of early-career researchers is already a component of the existing managerial training courses (C&C40). The aim is to make sure early-career researchers are informed about decisive career requirements (e.g. independent academic profile, periods of stay abroad, change of institutions) by their direct contacts, who should help them achieve these goals. The first training session took place in November 2016 and is now held on an annual basis. The Office of Professorial Appointments has budgeted funds for the regular booking of external speakers (e.g. CHE). The courses are supplemented by training sessions on holding staff appraisal meetings and university didactics courses on the supervision of doctoral candidates.

¹³ uni-greifswald.de/en/university/organisation/the-officers/

¹⁴ uni-greifswald.de/en/university/organisation/the-officers/complaints-handling-procedure/

13. Determining of precise criteria for jobs with tenure track options

An individually tailored group of advisors is installed at the beginning of a tenure-track professorship as a central instrument of support (C&C28). It aims to foster successful career development and the building of a profile. It consists of two professors from the University of Greifswald, one from a related subject discipline and one from a different area of expertise, as well as a further professor from the same subject area, who may or may not be a professor in Greifswald. Together with the group of advisors, the junior professor defines the work and qualification goals required for a positive evaluation. The group of advisors meets up with the junior professor on the following occasions:

- Start of the professorship (no later than 6 months after the start of employment);
- Prior to the mid-term evaluation (18th-20th month);
- Following the mid-term evaluation and the decision to extend the contract (start of the 4th year); and
- Prior to the start of the tenure procedure (second half of 5th year).

Six months after taking on the position and following the initial consultation with the group of advisors, the faculty governance will invite the junior professor to a compulsory orientation session. This meeting is used to discuss the criteria and evaluation criteria for the mid-term and tenure evaluations. The outcomes are recorded as a target and performance agreement and added to the documents for the mid-term evaluation. In addition to the faculty governance and the tenure-track junior professor, if desired by the junior professor, the meeting will also be attended by the group of advisors.

Directly after the mid-term evaluation, the chairperson of the evaluation committee invites the junior professor with a tenure track to a feedback meeting, during which s/he provides well-founded, constructive and respectful feedback on the achievements that have been accomplished so far, as well as recommendations for future activities. If the overall assessment of the mid-term evaluation that is subject to high expectations is positive, but there are reservations with regard to suitability for tenure, this will be communicated to the persons affected in due time and in a transparent fashion. At the same time, they will receive advice for dealing with the critical remarks and implementing the recommended improvements. This advice also covers possible tenure alternatives. This advice will also be provided if the mid-term evaluation turns out negative. Following the subsequent non-contested appointment procedure (tenure evaluation), a further evaluation will be held between the chairperson of the appointment committee and the tenure-track professor.

The junior professor may decide not to involve the group of advisors.

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14. Creation of supervision agreements

Up until January 2020, on admission to the Graduate Academy, doctoral candidates concluded a supervision agreement with at least two supervisors that was in line with the DFG's guidelines. The principle of double supervision was introduced to counteract dependence on one person. The supervision agreement includes the topic of the doctoral thesis, the members of the supervisory team, a schedule for the production of the doctoral thesis, as well as the rights and duties of both parties. They can be supplemented by career plans and strategies for their attainment. Supervision agreements are compulsory at all faculties, apart from the Faculty of Law and Economics. Since the supervision agreements have been concluded by the faculties, they have no longer been a prerequisite for admission to the Graduate Academy. Therefore, there has been no membership of the Graduate Academy since February 2020. The offers are open to anyone who is interested as long as they belong to the target group consisting of early-career researchers.

15. Information for carrying out qualified staff appraisals

This information should guarantee supervisory and managerial duties are realised in accordance with C&C. Preparatory information for staff appraisals (for both managerial staff/their staff members) has been created and published on UG's website¹⁵. The page provides information to members of staff and managers to help them prepare for the meetings.

16. Transparent compilation of professional development courses at the University

The University's professional development courses are an important component of staff development and the continuous interdisciplinary development of young researchers for careers in the academic and non-academic worlds. The predominant majority of doctoral graduates with choose career paths outside of the universities. The Graduate Academy provides extensive information on this topic¹⁶. This also means that the University has the task of training early career researchers for various sectors of society. Subject-specific advice and support is complemented by offers for gaining interdisciplinary qualifications, individual advice and coaching sessions, which are also listed on the homepage¹⁷.

2.2 Weaknesses and Actions

2.2.1 Ethical and Professional Aspects

17. Sensitising and qualifying academics for ethics in science

Accompanying the introduction of the KEF, a lecture series "Dual Control. Controversies in the Life Sciences" was held at the Alfried Krupp Wissenschaftskolleg Greifswald by the De-

¹⁵ [uni-greifswald.de/universitaet/organisation/verwaltung/dezernat-personal-und-finanzen/personal/informationen-fuer-mitarbeiterinnen/\[de\]](https://uni-greifswald.de/universitaet/organisation/verwaltung/dezernat-personal-und-finanzen/personal/informationen-fuer-mitarbeiterinnen/[de]) (internal area)

¹⁶ uni-greifswald.de/en/research/junior-researchers/graduate-academy/doctorate-in-greifswald/perspectives-after-the-doctorate/

¹⁷ [uni-greifswald.de/forschung/wissenschaftlicher-nachwuchs/graduierthenakademie/ergaenzende-weiterbildungsangebote/\[de\]](https://uni-greifswald.de/forschung/wissenschaftlicher-nachwuchs/graduierthenakademie/ergaenzende-weiterbildungsangebote/[de])

partment of Ethics, Theory and the History of the Life Sciences. Furthermore, an interdisciplinary academic retreat was held under the title of “Assessing Empirical and Ethical Research in Ethics Committees” (29-30 November 2018).

18. Teaching the values of good scientific practice

Teaching the values of good scientific practice is part of the University’s academic curriculum; they are taught to doctoral candidates as part of standard supervision, in research training groups and at events organised by the Graduate Academy.¹⁸The University’s websites link to relevant documents¹⁹ (C&C2).

19. Application of the EU’s General Data Protection Regulation (GDPR)

The UG applies the full scope of the EU’s General Data Protection Regulation (GDPR) (C&C7). For example, short pieces of information issued by the data protection authorities at national and federal state levels (Data Protection Conference – DSK) regarding the core topics of the GDPR are made available as guidelines on the Data Protection Officer’s webpages²⁰. These pages are also home to various aids on the topic of data protection, as well as information about data protection at the University.

20. Research transparency

UG provides research transparency (C&C6) by means of guidelines that were passed by the Senate in July 2018. They define guiding principles, maxims and legal requirements²¹. As a state-financed institution, the University is required by law to provide transparency. It therefore regularly provides information about its research activities, including research projects with private partners²². At the same time, the University must make sure it keeps the company and business secrets of private research partners confidential. Thus, the University has based its transparency guidelines on the recommendations of the Stifterverband (Association of Foundations for German Science)²³.

21. Establishment of an integrated Research Information System (FIS)

UG is currently adapting the research information system that was developed by University Medicine Greifswald for its own use to inform users about publicly financed research projects and publications and thus documenting the University’s academic activities. (C&C6)

¹⁸ uni-greifswald.de/en/research/research-service-and-practice/quality-assurance-and-research-ethics/good-scientific-practice/

¹⁹ uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Mitwirkung_Gremien_Verfahren/Satzung_Selbstkontrolle_in_der_Wissenschaft_17.01.2018.pdf [de]

²⁰ uni-greifswald.de/universitaet/organisation/beauftragte/datenschutzbeauftragter/die-dsgvo-in-der-praxis/ [de]

²¹ uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.5_Satzungen_und_Formulare/Satzungen/Veroeffentlichungen_2017-2020/Leitlinien_Transparenz_id_Forschung_18.07.2018_.pdf [de]

²² uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.6_Verwaltung/Dezernat_3/Referat_3.2_Drittmittel/Statistik_und_Veroeffentlichungen/Transparenz/Drittmittelvorhaben_2019.pdf [de]

²³ stifterverband.org/transparenz-empfehlungen [de]

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22. Strengthening of the third mission

Various formats support the exchange between academia, society and the industry (C&C8). Academics at UG present their newest research results at locations outside of Greifswald as part of the lecture series “University in the Region”. The lectures and discussion rounds on matters of popular science are aimed at the general public and initiate discourse on topics that are relevant to society. The series not only encourages exchange between academia and society, but also strengthens the close ties between the University and the population of Vorpommern²⁴. The format *#wissenlocktmich* has been developed to reach the users of social media. Members of the university community pose interesting questions as part of the university quiz “*Die Uni quizzt*”. Academics ask questions about their fields of research and administrative staff about their work tasks. This format is published on the University’s official Instagram channel and followers are encouraged to take part²⁵. *#wissenlocktmich* also covers events that facilitate the accessibility of academia. The “Science Night” takes place every other year and is a big open day for anyone from the surrounding region who is interested in science.²⁶In this event series, we cooperate with external partners in order to reach a broad audience by providing a broad range of offers. The citizen-science project F.U.N. combines elements of research, environmental education and conservation related to bats.²⁷ The NOVA Innovation Campus Greifswald is a communication platform created by students to support the exchange between students, members of teaching staff and society.²⁸The portal’s objective is to intensify the relations between the target groups and thus to strengthen the cooperation between the University and the surrounding region.

23. Anti-discriminatory positioning of the university governance

The increasing presence of social media and all kinds of digital communication is linked to a rise in aggressive, discriminatory and threatening remarks towards members of teaching staff, students and administrative staff. In face of these developments, the Rectorate and the Senate passed an anti-discrimination resolution²⁹ in September 2019 based on the guidelines on sexual discrimination, harassment and violence³⁰.

24. Provision of guidance on research ethics

Medical research may only be carried out on test subjects following consultation with University Medicine’s Ethics Commission. The Committee for the Ethical Evaluation of Security-Related Research (KEF) provides advice regarding the justifiability of security-relevant research. The Animal Welfare Officer and Animal Welfare Committee carry the subsidiary

²⁴ uni-greifswald.de/universitaet/information/aktuelles/wissenlocktmich/universitaet-in-der-region/ [de]

²⁵ uni-greifswald.de/en/university/information/current-news/wissenlocktmich/

²⁶ uni-greifswald.de/universitaet/information/aktuelles/nacht-der-wissenschaft/ [de]

²⁷ zoologie.uni-greifswald.de/struktur/abteilungen/angewandte-zoologie-und-naturschutz/citizen-science/ [de]

²⁸ nova.uni-greifswald.de/ [de]

²⁹ https://www.uni-greifswald.de/storages/uni-greifswald/1_Universitaet/1.2_Organisation/1.2.3_Kooperation/Gleichstellung/Antidiskriminierung/Resolution_des_Senats_gegen_Angriffe_auf_die_Wuerde_und_Integritaet_von_Universitaetsangehoerigen.pdf [de]

³⁰ https://www.uni-greifswald.de/storages/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 [de]

shared responsibility for making sure animal welfare regulations are observed. At UG, non-medical research on test subjects also requires prior consultation, either also with University Medicine's Ethics Commission or equivalent subject-specific committees that are located, for example, at learned societies. However, this procedure is often limited in terms of competency and capacity – for example, if linguists or academics from the field of communication studies seek expert advice from an Ethics Commission specialised in medical issues, or if the Ethics Commission from the German Psychological Society, consisting of twelve members, is forced to deal with research proposals from academics from all over the German-speaking world. These problems are augmented by the strong increase in web-based research in the fields of linguistics/languages, communication, law, politics, history, or geography. Furthermore, in order to protect genetic resources and traditional knowledge, the DFG demands funding proposals consider the legal aspects of the Nagoya Protocol of the Convention on Biological Diversity (CBD), as well as its embedded Access and Benefit Sharing (ABS) regulations.

The UG is creating a virtual ethics guidance platform that respects these various factors. This gets experts from the University's various disciplines involved, who are able to cover and keep up to date with the strongly subject-specific aspects of research ethics and are thus able to provide researchers with competent guidance.

25. Optimisation in introducing newly appointed professors and members of academic staff to the University environment

Good collaboration at institutions with complex structures, which are typical for universities, requires enabling newly appointed members of staff to get to know existing facilities and their fields of activity. Events for welcoming new members of academic staff and enabling them to get to know these structures are now organised usually twice a year. At these events, the heads of the University's various organisational units introduce themselves and their units (cf. 2.1.1). However, attendance at previous welcoming events has only been limited. A newly conceived event format will be used to welcome all new members of staff - both academic and non-academic - providing them with the opportunity to get to know UG's structures and history, and expand their networks. The plan is to mix informational offers with an entertainment programme, rounded off by a joint barbecue. This makes it possible to combine an information event with the opportunity to make new contacts and exchange with them from the outset. The day of events shall be organised collectively by the Graduate Academy & University Didactics, the HR Department, and the University's Registrar, Head of Administration and Finance.

On top of this, digital handouts are to be developed for all new members of staff, which combine information about the areas of responsibility of various university facilities and will be handed out by the HR Department together with the other documents when the employment contract is signed.

There are also plans to supplement this with short video sequences in which the various facilities introduce themselves on their respective webpages.

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26. Teaching of interdisciplinary entrepreneurial competence

Only a limited proportion of academic staff members attain a permanent position in the academic world or a professorship. UG currently provides various formats to help doctoral candidates and students prepare for careers outside academia: The Chair of Startup Planning and Supply Chain Management teaches the fundamental academic and theoretical knowledge for planning the founding of companies to management students. The Graduate Academy provides doctoral candidates and postdocs with specific seminars and coaching sessions for planning careers outside of the University. Together with Greifswald's startup centres (WITENO GmbH), the ZFF organises the annual Idea Competition, financed by the European Structural Funds. A Business Plan Competition is also held every year in collaboration with the Universities of Applied Sciences Stralsund and Neubrandenburg. The virtual career portal NOVA Innovationscampus Greifswald³¹, which found its origins at UG, provides offers for jobs, internships, topics for coursework and dissertations, events, contact details to regional companies and players, as well as qualification opportunities during studies etc.. Furthermore, the University considers itself responsible for informing students and doctoral candidates about alternative career paths and qualifying them for these. In a structurally weak region like Vorpommern, due to the limited scope of businesses and the structure of the individual sectors, UG graduates have very few career opportunities in the commercial world. In order to provide graduates with a perspective, to keep them in the region, and thus also to counteract the structural weakness, plans have been made to convey interdisciplinary entrepreneurship skills, which will enable the founding of startups based on one's own ideas, laying out the path to become an entrepreneur. A practice-oriented entrepreneurship curriculum for faculties and degree courses outside of the Faculty of Law and Economics is being developed with the help of external experts and will become a fixed component of teaching at UG. It will supplement the solely academic courses provided by the Chair of Startup Planning and Supply Chain Management. In so doing, UG makes it possible for the members of its community to develop their career opportunities and improve their chances of employment. At the same time, it optimises the dissemination and exploitation of its academic results in the surrounding region.

27. Strategic incorporation of third mission

The University of Greifswald uses various formats (including startup funding, technology and innovation advisors, citizen science, cultural formats, lecture series, Family University, joint projects for regional and innovation-based transformation) to approach urgent problems faced by the region and contributes towards their solution with its academic expertise and by acting as a facilitator of development processes. However, the University's third mission concept that is represented by these measures has not yet been systematically incorporated into the University's strategy. The University of Greifswald is therefore updating its transfer strategy to reflect the extended transfer understanding and which explicitly includes third mission aspects. This will make it possible to fulfil the conceptual requirement of strategically devoting its innovation potential to addressing societal challenges. At the same time, UG is able to

³¹ <https://nova.uni-greifswald.de/> [de]

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determine current issues of research and teaching together with civil society, the industry, culture, public administration and politics, and addresses these in collaborative research and teaching-based activities.

2.2.2 Recruitment Procedure

28. Informing prospective doctoral candidates about general conditions and possibilities at UG

The Graduate Academy and the International Office regularly receive enquiries from prospective doctoral candidates from Germany and abroad about the admission requirements, prerequisites and formalities for completing a doctorate in Greifswald. Together with the International Office, the Research Support Centre, the subject representatives for structured doctoral programmes in Greifswald and further institutions that are involved, the Graduate Academy is developing webpages, which bundle relevant information in German and English, and are easily accessible from the University's homepage. Furthermore, the Graduate Academy plans to provide information events for prospective doctoral candidates twice a year.

2.2.3 Working Conditions and Social Security

29. Increasing the attractiveness of (junior) professorial positions

UG would like to make research conditions for academics more attractive and is committed to providing better appointment chances for women who have been listed as part of the appointment procedure (C&C27). The provision of additional funds amounting to a total of 900,000 euros for selected forms of support as part of the *Professorinnenprogramms III* should improve the funding of individual professorships and thus increase the competitiveness of the positions or female academics. In particular, a position that can be used for gaining further qualifications (E13) will be co-financed for the professorships, in order to allocate an E13 position to the University's newly appointed female professors or female junior professors.

30. Increase in flexibility for employees in general, for employees with disabilities with regard to the workplace and improvement of the compatibility of family and professional career

The University has passed a service agreement for working from home and teleworking³² (C&C24), which extends the flexibility of employees and supports gender equality as stipulated in the University's Gender Equality Concept. At the same time, teleworking should have a positive effect on the integration of persons with disabilities and the reintegration of employees following longer periods of work incapacity. Making the way work tasks are completed more flexible improves the compatibility of family and professional career in particular.

³² [uni-greifswald.de/universitaet/organisation/leitung-gremien/personalvertretung/informationen/dienstvereinbarungen/dv-heim-und-telearbeit/\[de\]](https://uni-greifswald.de/universitaet/organisation/leitung-gremien/personalvertretung/informationen/dienstvereinbarungen/dv-heim-und-telearbeit/[de])

31. Extending networking between researchers at the University and external research institutions in Greifswald

The initiative “*Forschung vernetzt*” (research connects) was established to foster the networking between researchers at the University and external research institutions in Greifswald, and to increase the transparency of the research environment. The objective of this format is to connect professors and postdoctoral (early career) researchers and thus encourage interdisciplinary research projects. The events that are currently only held with the physical presence of the participants will be supplemented by a digital cooperation platform.

32. Improving career perspectives of graduates and doctoral candidates in the surrounding region

In order to provide students and doctoral candidates with career perspectives outside of the academic world in the eastern part of Mecklenburg-Vorpommern, UG is financing a project developed by students, the “NOVA Innovationscampus Greifswald” (NOVA Innovation Campus Greifswald), which displays the offers provided during studies and can help to enhance professional profiles, as well as options at the University, in the town, and in the surrounding region³³(C&C21). This measure is complemented by the Graduate Academy’s newly conceived “*Karriere Plus*” (career plus) area, which is especially devoted to career development outside of the academic world.

33. Certifying continuing professional development in higher education didactics

Since January 2020, it has been possible to obtain a certificate for higher education didactics based on the standards defined by the German Association for educational and academic staff development in Higher Education (dghd) (C&C33)³⁴.

34. Optimising the research environment by increasing interdisciplinary networking

As Germany’s smallest *universitas litterarum*, UG’s strength lies in interdisciplinary research approaches. It provides financial support for proposing joint research projects as well as for early-career researchers. “*Forschung vernetzt*” (research connects) is an event that took place the first time in 2019, providing researchers looking for suitable collaboration partners with the opportunity to present their expertise and research interests. This format will take place on an annual basis. Nevertheless, the University still has no internal platform that allows those interested in collaboration to present themselves and their areas of expertise. Therefore, a database is being developed in which those interested in cooperation are able to enter information, making it possible for them to link up with research partners.

2.2.4 Training of early career researchers

35. Coaching of newly appointed professors

³³ [nova.uni-greifswald.de/ \[de\]](https://nova.uni-greifswald.de/)

³⁴ [uni-greifswald.de/studium/ansprechpartner/qualitaet-in-studium-und-lehre/hochschuldidaktik/weiterbildungskonzept-und-hochschuldidaktisches-zertifikat/ \[de\]](https://uni-greifswald.de/studium/ansprechpartner/qualitaet-in-studium-und-lehre/hochschuldidaktik/weiterbildungskonzept-und-hochschuldidaktisches-zertifikat/ [de])

The Rectorate has passed a decision to provide funds for the coaching of newly appointed professors (C&C39). As part of the welcoming culture, these funds will be used to finance workshops, management courses for senior members of staff, as well as personal coaching sessions, which are tailored to the special requirements of newly appointed professors. Coaching sessions and seminars will also be on offer for female professors³⁵.

36. Extensive qualification of early career researchers in the field of academia and research

The format “*Wissenschaft managen*” (managing science) is organised and held annually by the Research Support Centre and the Graduate Academy and serves to support researchers with topics related to career development, research instruments, academic communication, as well as research management and transfer (C&C39).

37. Interdisciplinary, cross-faculty teaching of knowledge for handling data

The continually growing amount of data and the resulting high expectations for their management pose a challenge to the training of students and doctoral candidates. UG has immense amounts of data, particularly in the life sciences and in the fields of medicine and physics, that is used by numerous doctoral candidates for their theses. At the current moment, UG does not provide any cross-faculty teaching formats for dealing with large amounts of data. UG therefore plans to establish an interdisciplinary, cross-faculty master’s degree course “Data Science” and will therefore train new, highly demanded competencies for the labour market of tomorrow in both the academic and commercial worlds. In so doing, it provides training perspectives with a guaranteed future and ideal career opportunities.

³⁵ [uni-greifswald.de/universitaet/organisation/gleichstellung/mentoring/service/coaching/ \[de\]](https://uni-greifswald.de/universitaet/organisation/gleichstellung/mentoring/service/coaching/)

3 Measures

Since receiving the HR Logo, UG has realised the following measures or established additional structures and processes in the four dimensions in order to attain the objectives of its HR Strategy from 2017.

Table 2: Overview of the measures defined in the HR Strategy from 2017 and current status of the objective

	Objective	Milestones	Status
1	Successful application for the hr Logo	Bestowal of the hr Logo	completed
2	Determining of ethical principles and their responsibilities	Creation of a commission for ethics and research; establishment of ethics guidelines	completed
3	Information about and identifying with the University as an employer	Concept for and realisation of an introductory event	completed
4	Optimisation of public access to research results	Open access recommendations	completed
5	Implementation of the OTM-R Strategy	Status quo report und derivation of measures	completed
6	Increase in the proportion of female professors	Handout for active recruitment	completed
7	Adjustment to comply with the revised WissZeitVG	Compilation of examination criteria for reasons of limitation	completed
8	Comprehensive evaluation and monitoring of working conditions	Concept development and collection of data	modified
9	Accessibility of infrastructures and services for all researchers	Registration of all doctoral students	partially completed
10	Permanent availability of the officers	Cover regulations for the officers	partially completed
11	Strengthening of managerial competencies	Creation of management skills seminars for line managers/superiors	completed
12	Increase of transparency in complaint management	Designation of responsibilities and contact persons	completed
13	Determining of precise criteria for jobs with tenure track options	Amendment to the Appointment Guidelines for Junior Professors	completed
14	Creation of supervision agreements	Establishment of supervision agreements as standard	completed
15	Information for carrying out qualified staff appraisals	Recommendations and available courses	completed
16	Transparent compilation of professional development courses at the University	Information platform	completed

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Table 3: Plan of Action and Status

No	Objective	Principle	Gap analysis	Responsible	Time frame	Milestones	Performance indicators
Ethical and Professional Aspects							
17	Sensitising and qualifying academics for ethics in science	C&C2	Apart from University Medicine's ethics commissions and the KEF, there are no central offers for conveying research-related ethical aspects (target group researchers) and no offers for qualifying members of ethics commissions	Department of Ethics, Theory and History of the Life Sciences	SuSe 2018; WS 2018/2019	Events held	Holding a lecture series and academic retreat and number of participants
18	Teaching the values of good scientific practice	C&C2	UG provides no event on the standards of good scientific practice	Graduate Academy	SuSe 2018	Event held; relevant documents linked on UG's website	Holding of the event, number of participants, number of clicks on links
19	Application of the EU's General Data Protection Regulation (GDPR)	C&C7	Beyond the pure application of the GDPR, there are no handouts with general guidelines for their application and information about data protection for researchers	Data Protection Officer	IV 2018	Information published	Collection and provision of relevant information on the webpages
20	Research transparency	(C&C6)	Lack of guidelines for defining principles, ideals and legal obligations regarding research transparency.	Senate's Research and Structural Committee	III 2018	Publication of guidelines on research transparency	Report that is published annually with basic data about externally funded projects of the past year
21	Establishment of an integrated Research Information System (FIS)	(C&C6)	Lack of a Research Information System (FIS) for the University, which displays research activities (projects, publications, patents) and is linked to the External Funding Department	University Medicine Greifswald (UMG)	IV 2020	Creation of a position at UMG; transfer of University Medicine Greifswald's FIS for use through the University	Entries to FIS; external funding declaration via FIS
22	Strengthening of the third mission	C&C8	The exchange between the University and society has previously been limited to one-way communication from the University to society	Rectorate	IV 2019	Launch of the "NOVA Innovationscampus Greifswald"	Number of citizen science projects; number of events that allow active participation

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No	Objective	Principle	Gap analysis	Responsible	Time frame	Milestones	Performance indicators
23	Anti-discriminatory positioning of the university governance	C&C10	The increasing presence of social media and all kinds of digital communication is linked to a rise in aggressive, discriminatory and threatening remarks towards members of teaching staff, students and administrative staff. The University must clearly position itself against all forms of discrimination.	Rectorate/Senate	III 2019	Senate passed an anti-discriminatory resolution in September 2019	Availability of resolution and guidelines
24	Provision of guidance on research ethics	C&C2	Lack of an ethics commission for non-medical disciplines alongside KEF and University Medicine Greifswald's Ethics Commission	Pro-Rector Research	III 2021	Launch of an ethics guidance platform	Comprehensive depiction of the subject-related aspects of research ethics
25	Optimisation in introducing newly appointed professors and members of academic staff to the University environment	C&C5	The acceptancy and the networking and identification potential of the current welcoming reception can be improved.	Pro-Rector Research	III 2021	Reorganisation and holding of welcoming reception, digital handouts/video sequences are available	Increase in the participation of newly appointed members of staff
26	Teaching of interdisciplinary entrepreneurial competence	C&C8 / 39	Lack of practice-oriented entrepreneurial courses	Pro-Rector Teaching	IV 2021	Introduction of an interdisciplinary entrepreneurship curriculum	Number of courses
27	Strategic incorporation of third mission	C&C 9	Lack of third mission in the transfer strategy	ZFF	II 2022	Availability of a new transfer strategy	Increase in the number of third-mission projects
Recruitment Procedure							
28	Informing prospective doctoral candidates about general conditions and possibilities at UG	C&C13	Lack of central information for prospective doctoral candidates	Head of the Graduate Academy	IV 2020	Available on the webpages and information events held	Increase in prospective doctoral candidates' degree of information

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No	Objective	Principle	Gap analysis	Responsible	Time frame	Milestones	Performance indicators
Working Conditions and Social Security							
29	Increasing the attractiveness of (junior) professorial positions for women	C&C27	The funding of professorships is particularly unattractive for women or female junior professors and therefore not competitive enough	Rectorate		Co-financing of a position for gaining further qualifications (E13) for newly appointed female (junior) professors	Provision of € 900,000 for funding professorships
30	Increase in flexibility for employees in general, for employees with disabilities with regard to the workplace and improvement of the compatibility of family and professional career	C&C24	Lack of rules for working from home and teleworking	Registrar, Head of Administration and Finance	III 2017	Creation of a service agreement for working from home and teleworking	Persons making use of the rulings
31	Extending networking between researchers at the University and external research institutions in Greifswald	C&C23	The interdisciplinary networking between researchers at the University and researchers at external research institutes in Greifswald can be improved	Pro-Rector Research	IV 2019	Establishment of a networking format "For-schung vernetzt"	Number of interdisciplinary research proposals
32	Improving career perspectives of graduates and doctoral candidates in the surrounding region	C&C21	Students are unaware of career opportunities in the surrounding region, although they are interested in staying here and the industry is on the lookout for young academics.	Head of the Research Support Centre	IV 2019	Establishment of a virtual career and networking platform for students, members of teaching staff, and companies, which is supplemented by the Graduate Academy's "Karriere Plus" format for promoting careers outside of the academic world	Number of offers, participants at events being held on site or online
33	Certifying continuing professional development in higher education didactics	C&C33	The current professional development courses on higher education didactics lack a standardised certification	Head of the University Didactics Team	I 2020	Introduction of an additional opportunity to gain a certificate for higher education didactics based on the standards defined by	Number of issued certificates

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No	Objective	Principle	Gap analysis	Responsible	Time frame	Milestones	Performance indicators
						the German Association for educational and academic staff development in Higher Education (dghd).	
34	Optimising the research environment by increasing interdisciplinary networking	C&C 23	Lack of a university-wide database of experts	Pro-Rector Research	III 2021	Launch of the cooperation database	Number of expert profiles
Training of Early-Career Researchers							
35	Coaching of newly appointed professors	C&C39	So far no events other than the welcoming address have been organised as part of the welcoming culture	?	?	Funding of workshops, courses on managerial competence and personal coaching sessions that are tailored especially to the requirements of newly appointed members of staff	Number of coaching sessions held
36	Extensive qualification of early career researchers in the field of academia and research	C&C39	Lack of central events for early career researchers in the field of academia and research	Heads of the Graduate Academy and Research Support Centre	SuSe 2018	Holding of annual series of events "Wissenschaft managen"	Number of events held and number of participants
37	Interdisciplinary, cross-faculty teaching of knowledge for handling data	C&C 39	Lack of cross-faculty teaching formats for dealing with large amounts of data	Head of the University Computer Centre	WS 22/23	Launch of a degree course in and virtual Department of Data Science	Publication of study and examination regulations; appointment of professorships

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4 Realisation and Incorporation of the HRS4R Process

The HRS4R process and the receipt of the hr logo have had a large impact on staff development in the academic sector, pushing it on in terms of content and structure. The topic has been made visible at UG, where it has been systematically analysed and developed according to the principles of the Charter & Code. The action plan has been realised and further measures were established. The university governance supports the staff development process for academic staff members. Dr. Stefan Seiberling, Head of the Research Support Centre (ZFF) coordinates the HRS4R activities. The spokespersons of the four thematic dimensions accompany the realisation process with additional events and individual meetings to help involve all of the status groups, identify gaps and determine required actions. The area concerned with the recruitment procedure focussed on the creation of an OTM-R Strategy.

The university governance carries the central responsibility for the University's staff development. However, the topics are actually dealt with in a decentralised manner by several facilities, which include the ZFF, but also:

- the Gender Equality Officer (Ruth Terodde)
- the Graduate Academy (Dr. Michael Schöner)
- the Committee for the Ethical Evaluation of Security-Relevant Research (Prof. Micha Werner)
- the HR Department (Eva Hälke-Plath)
- the Office of Professorial Appointments (Antonia Lenz)

There are plans to introduce a Pro-Rector for Staff Development with the inauguration of the new Rector in April 2021, providing the topic with a stronger institutional footing within the university governance.

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