Human Resources Strategy for Researchers (HRS4R)
Cologne University of Applied Sciences

**Implementation of the European Charter for Researchers and the
Code of Conduct for the Recruitment of Researchers**

Table of contents

1 Preface

The Cologne University of Applied Sciences (CUAS) is one of the most innovative and research-intensive institutions of its kind, with a distinct profile in engineering and natural sciences, the humanities and social sciences as well as arts and design. It is a member of the European University Association (EUA) and the UAS7[1] strategic alliance. CUAS' diverse research activities are geared towards interdisciplinary and transdisciplinary research and are promoted by the university on a long-term basis. Cultivating strong international ties while at the same time maintaining a regional orientation, CUAS cooperates closely with universities, research institutions as well as partners from the business and cultural world on a national and international level, thus engaging in the transfer of knowledge and technology. CUAS is aware of the social responsibility it bears as an institution of higher education and as an employer.

Human resources development and the promotion of early-stage and experienced researchers is a vital component of CUAS' Development Strategy, in which both aspects are entrenched as mission statements and general provisions for the implementation of the university's strategic goals. CUAS' Department of Human Resources has established a new Human Resources Development Team in order to carry out human resources measures in a systematic and sustainable manner. CUAS aims to create a stimulating working environment for researchers through specific human resources and human resources development strategies, with the purpose of promoting their academic careers and research activities at all career stages.[2] Researchers are to be provided with the structures and instruments required to achieve this purpose – such as funding opportunities as well as the dissemination and exploitation of research results. CUAS has decided to pool its activities and implement them within the framework of the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers and strategically align them with the Human Resources Strategy for Researchers (HRS4R). HRS4R is an initiative of the European Commission that promotes the implementation of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter and Code) within the European research environment. The participation of CUAS in the European Commission's HRS4R initiative through the establishment of its very own HRS4R contributes to the fulfilment of its existing strategic objectives.

2 HRS4R at Cologne University of Applied Sciences

Following an invitation from the German Rectors' Conference (Hochschulrektorenkonferenz – HRK), CUAS participated in the first meeting on the HRS4R initiative in Brussels in January 2011. In mid-2011, the Executive Board of CUAS decided to develop its own HRS4R in accordance with the European initiative and to apply for the "HR Excellence in Research" logo. The Department of Research and Knowledge Transfer and the Department of Human Resources then initiated preliminary measures resulting in the foundation of an HRS4R project group. In the fall of 2012, CUAS sent a Letter of Endorsement to the European Commission, reinforcing their resolution to advocate the implementation of the Charter and Code. In January 2013, the new Human Resources Development Team was established, comprising a total of seven new positions. In February 2014,

---

[1] UAS7 is a strategic alliance of seven leading German Universities of Applied Sciences committed to excellence in teaching and research (www.uas7.de).

[2] A distinction is made between Early-Stage Researchers and Experienced Researchers: The term Early-Stage Researcher refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training. Experienced Researchers are defined as researchers having at least four years of research experience (full-time equivalent) since gaining a university diploma giving them access to doctoral studies, in the country in which the degree/diploma was obtained or researchers already in possession of a doctoral degree, regardless of the time taken to acquire it. (Source: http://ec.europa.eu/euraxess/index.cfm/rights/definitions)

the consolidated HRS4R actions developed by the project group were established. The Executive Board of CUAS adopted the HR strategy, which includes an action plan and organizational schedule, on March 26, 2014. The long-term implementation of HRS4R is warranted by the resources created specifically for this purposes in the Human Resources Development Team of the Department of Human Resources as well as by the integration of the HRS4R measures into the internal guidelines and objectives of CUAS.

2.1 Approach

Based on a decision by the Executive Board, the project "Implementation of Charter and Code at CUAS" was initiated. An interdepartmental project group was founded to review the guidelines, strategies and practices existing at CUAS for internal analysis matters in terms of their compatibility with the principles of the Charter and Code. This analysis is designed to showcase the actions required in different fields in order to warrant a broad implementation of the principles. The project group is responsible for working out measures for these fields of action. In order to make this process as efficient and sleek as possible, HRS4R has been embedded in the general institutional strategy and particularly in the Framework for Integrated Human Resources Development at CUAS[3]. HRS4R can therefore be understood as a complementary process within the university rather than a separate objective.
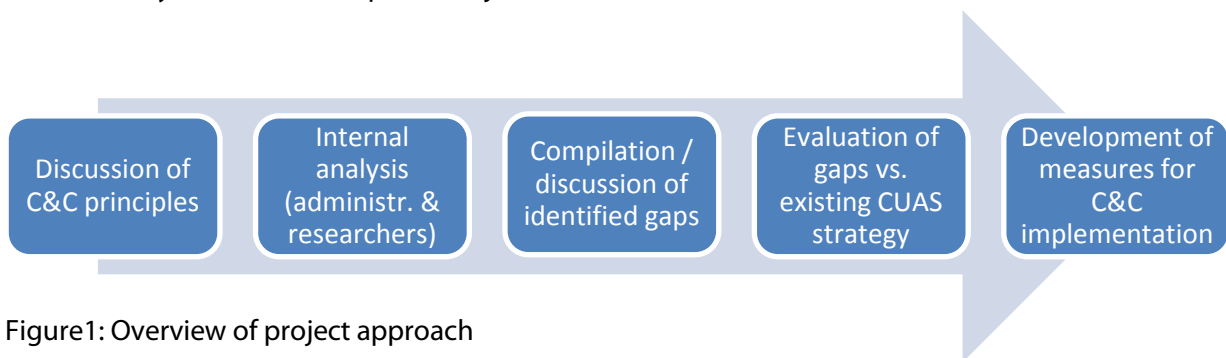
| Discussion of C&C principles | Internal analysis (administr. & researchers) | Compilation / discussion of identified gaps | Evaluation of gaps vs. existing CUAS strategy | Development of measures for C&C implementation |

Figure1: Overview of project approach

2.2 Composition of the Project Group

The following structure has been established for the implementation of the project:

Steering committee:	- Vice-President for Research and Knowledge Transfer - Head of the Department of Human Resources
Project Management:	- Head of the Human Resources Development Team
Divisions:	- Department of Research and Knowledge Transfer - Human Resources Development Team
Providers:	- Department of Public Relations and Marketing - International Office - Centre for Academic Qualifications and Advanced Training (ZaQwW[4]) - Equal Opportunities Officer

---

[3] The Framework serves as the basis for the differentiation into other (target-group specific) individual concepts, among them gender equality, promotion of early-stage and experienced researchers as well as the improvement of recruitment processes of and working conditions for researchers at all career stages.

[4] Zentrum für akademische Qualifikationen und wissenschaftliche Weiterbildung (www.fh-koeln.de/ hochschule/ zentrum-fuer-akademische-qualifikationen-und-wissenschaftliche-weiterbildung_6167.php)

Fachhochschule Köln
Cologne University of Applied Sciences

Stakeholders:	- Experienced researchers and early-stage researchers
	- Deans
	- Senate
	- Equal Opportunities Commission; Staff Council for Academic Staff; Staff Council for Non-Academic Staff; Special Needs Representative
	- Data Privacy Officer; Ombudsman; Library Administration, Legal Affairs Department

A project plan based on the PRINCE2 project management methodology determines the roles and responsibilities within the project group. The successful establishment of an HRS4R at CUAS has in particular been made possible by the fact that it has been granted priority status by the university's Executive Board since its very beginning, thus permitting an allocation of resources. Experienced researchers and early-stage researchers have been closely incorporated into the project group's activities through feedback meetings, events and workshops.

2.3 Internal Analysis

In accordance with the recommendations voiced by the European Commission as part of its HRS4R initiative, CUAS conducted an internal analysis based on the provided template *Example of a standard template for the internal analysis*. This analysis was designed to examine the current institutional processes with regard to the 40 principles of the Charter and Code[5] and to point out the fields, in which there is a need for action. The university's administration, Executive Board, and researchers jointly conducted this internal analysis. Other evaluations that have been conducted by researchers or lecturers prior or parallel to the internal analysis were used as additional input.

The analysis shows that most of the principles laid down in the Charter and Code either have been put to practice at CUAS already or are scheduled to be implemented as part of a number of different strategies within the next few years. As a result of the existing legislation in the Federal Republic of Germany many of the requirements listed in the Charter and Code have been met automatically. Other laws mandate restrictions, however.[6] Its role as a university of applied sciences and the resulting special status within the German higher education system has to be borne in mind as well when implementing the Charter and Code.[7]

The analysis has found particular need for action in two areas: the training of early-stage researchers as well as the creation of research-conducive working conditions and social security. In contrast, the majority of ethical and professional aspects at CUAS as well as most of the processes of recruitment currently in place comply with the principles laid down in Charter and Code. As a result, the focus of HRS4R actions to be carried out at CUAS is placed on these areas.

2.4 Development of Action Plan

On the basis of the internal analysis, the project group – in cooperation with the stakeholders – developed and debated potential actions for those areas in discrepancy with the standards stated in the Charter and Code. During this process, the project group determined the responsibilities

---

[5] See Annex 1

[6] These laws in particular include the German Act on Contractual Time Limitations in Academia (Wissenschaftszeitvertraggesetz) and the restrictions mandated by CUAS' status as a university of applied sciences (see following footnote).

[7] German universities of applied sciences are engaged in teaching and research in application-oriented sciences but do not bear the right to confer doctoral degrees. Universities of applied sciences may, however, supervise doctoral projects in co-operation with traditional German universities.

priorities and implementation timeframe for the individual actions (see section 5). Upon editing by the project group's steering committee, the final version of the action plan was presented to Executive Board, officially accepted and duly signed.

2.5 Incorporation of Stakeholders

The perspective and opinion of CUAS' academic personnel was adopted through the Key Informant Approach Method during workshops, which enabled the obtainment of qualified feedback. Two half-day expert workshops incorporated selected early-stage and experienced researchers into the implementation of the internal analysis and the development of the action plan. Utilizing modern polling and mediation techniques, the workshops helped analyse CUAS' compliance with the 40 principles of the Charter and Code, and to visualize, discuss, and establish the results of the analysis to develop actions accordingly. [8]

Within the framework of the faculties' conference, the faculty deans were incorporated into the process of developing a HRS4R at CUAS by the Vice-President for Research and Knowledge Transfer. Other stakeholders were informed and integrated into the process via individual meetings and discussions.

3 Next steps: Monitoring & Quality Management

The actions established in the action plan will be implemented within a specified time frame. The project group determined milestones as well as key performance indicators regarding the successful implementation of the project. An evaluation of the actions is meant to assess their effectiveness with regard to meeting the objectives of the Charter and Code. Necessary alterations or expansions may be determined and integrated. A constant exchange between the project group, stakeholders and faculty researchers is to ensure comprehensive quality assurance. Researchers will be informed about the state of implementation of the action plan on a regular basis.

In 2015/2016, the state of implementation of HRS4R at CUAS will be reviewed by an internal evaluation in order to give recommendations for successfully implementing outstanding actions and, if need be, to add new or revised actions.

4 Internal Analysis Results and Intended Actions

The results of the comprehensive internal analysis and the intended actions developed for the areas in which a need for action has been established are outlined hereinafter. This HRS4R strategy now serves as the basis of a four-year plan spanning the years 2014-2019. On March 26, 2014, the Executive Board of CUAS adopted the action plan.

---

[8] A total of 16 participants (7 female and 9 male participants) took part in the workshop for young academics; a total of 10 professors (6 female and 4 male professors) participated in the workshop for researchers.

The 40 principles of the Charter and Code[9] have been assigned to the following areas of action:

> 1. Ethical and Professional Aspects as well as Good Practice in Research
> 2. Dissemination and Exploitation of Results
> 3. Appreciation of Research Activities
> 4. Recruitment
> 5. Working Conditions and Social Security
> 6. Equal Opportunities
> 7. Career Development & Advice and Mobility
> 8. Training of Early-stage Researchers and Experienced Researchers

4.1 Ethical and Professional Aspects as well as Good Practice in Research [10]

The **research freedom** in Germany is guaranteed by Article 5 of the German Constitution, the Fundamental Rights of the European Union (2000/c364/01), and Article 1(4) of the North Rhine-Westphalia University Freedom Act. Research freedom is practiced at CUAS and therefore adheres to the principles of the Charter and Code. The professors' ethical competence is explicitly accounted for and emphasized in the detailed guideline for the appointment of professors[11]. The CUAS good practice guidelines and the handling of academic misconduct published in 2002 address these fundamental ethical principles in research as well as the researchers' **professional responsibility**[12]. These guidelines include provisions about the standards set by the university in terms of the quality of research, the dissemination of research results as well as **intellectual property rights**. In addition, the guidelines stipulate the handling of **co-authorship** and academic misconduct, such as plagiarism or honorary authorship.

An official **research strategy** has been in place at CUAS since 2007.[13] To successfully implement this strategy, the **Department of Research and Knowledge Transfer** provides support to the academic personnel of the faculties when it comes to filing applications or signing cooperation agreements with external partners, such as enterprises from the industry. The Department also provides information on internal financing mechanisms as well as external funding opportunities and advises researchers individually. It organizes information events and workshops on topics like research funding programmes and consultation activities, among others (including joint events with external partners such as the EU Liaison Office of the German Research Organizations (KoWi), the EU Office of the German Federal Ministry of Education and Research, the German Academic Exchange Service (DAAD)) and holds information meetings for new employees and professors. These measures guarantee that researchers stay well informed about internal and external funding opportunities at all times and are familiar with the formalities of carrying out research projects as well the requirements set by funding bodies.

CUAS' academic staff receives information on their **accountability** and the required **professional attitude** first in their recruitment interview and subsequently in the documents handed out to

---

[9] See Annex 1

[10] Referring to the principles: 1. Research freedom; 2. Ethical principles; 3. Professional responsibility; 4. Professional attitude; 5. Contractual and legal obligations; 6. Accountability; 7. Good practice in research; 23. Research environment; 31. Intellectual property rights and 32. Co-authorship as well as 34. Complaints/appeals

[11] www.verwaltung.fh-koeln.de/imperia/md/content/verwaltung/allgemein/dezernat2/sg21/service /berufungsleitfaden.pdf; July 2013 version: available as print version only

[12] The CUAS guidelines are based on the memorandum „Vorschläge zur Sicherung guter wissenschaftlicher Praxis" (1998) published by the German Research Foundation (DFG) and the recommendations by the German Rectors' Conference „Zum Umgang mit wissenschaftlichem Fehlverhalten in Hochschulen" (1998): http://www.fh-koeln.de/mam/downloads/deutsch/forschung/richtlinien_gute_wissenschaftliche_praxis_fhk.pdf

[13] www.fh-koeln.de/mam/downloads/deutsch/forschung/forschungsstrategie_2015_070921.pdf

them at the point of their hiring (information package or instructional guidelines handed out during the introductory event for newly appointed professors). Researchers receive support concerning the fulfilment of their contractual and legal obligations – externally funded projects included – by the Department of Research and Knowledge Transfer and the External Funding Division. CUAS' administration collaborates closely with researchers when applying for and carrying out their research projects (also in compliance with the Community Framework for State Aid for Research and Development and Innovation). Hence, the university administration is informed when research projects are delayed, remodelled, complemented, terminated prematurely or suspended for different reasons. This allows the administration to support to researchers in their projects, if need be.

CUAS has nominated an ombudsman, who serves as a confidant for researchers from all faculties in matters related to suspected academic misconduct or conflicts. Researchers can also file **complaints, appeals** or similar motions by holding consultation meetings with the President or Vice-President or during the feedback meeting with the Head of the Department of Human Resources held one year after appointment.

The **good practice in research** mentioned in the Charter is put to use at CUAS as well. Complying with data privacy regulations, CUAS has installed a data privacy officer, who is at the researchers' disposal for all questions on data privacy. Each CUAS employee is obliged to sign the privacy policy and statement prior to the beginning of his or her employment. Furthermore, section 28 of the North Rhine-Westphalia Data Privacy Act regulates the use of data for academic purposes.

4.2 Dissemination and Exploration of Results[14]

The German Employee Invention Act (Arbeitnehmererfindergesetz) safeguards inventor protection in the Federal Republic of Germany. In accordance with the **principles to warrant good academic practice** and to handle academic misconduct at CUAS (section1 (6)), researchers at CUAS are encouraged to make the results of their research available to the public, to disseminate them and ideally to exploit them, i.e. use them for commercial purposes.[15] For this reason, CUAS employs its very own patent strategy[16], offering researchers a PatentScout service since 2012 to provide assistance for the registration of patents. In late 2012, CUAS hired a consultant for innovation transfer offering advice and support when it comes to transfer activities and foundations. In addition, this consultant advances CUAS' Transfer Strategy, which comprises a list of measures to be carried out by CUAS in the field of knowledge and technology transfer in the upcoming years.[17]

Since fall 2012, CUAS has been offering its researchers the opportunity to publish quality-approved papers via **Cologne Open Science (COS),** the DINI-certified university server**,** which adheres to the open-access principle.[18] In the context of the implementation of COS, CUAS published an open-access declaration in December 2012.[19] Doctoral candidates of CUAS may also use COS to publish their dissertations. The E-Publications platform[20] provides researchers and students with another electronic publishing method at CUAS.

---

[14] Referring to the principles: 8. Dissemination, exploration of results and 9. Public engagement
[15] The motivation to publish results is boosted by the stipulations set by the W-remuneration (W-Besoldung), from which the majority of researchers at CUAS benefits.
[16] www.fh-koeln.de/mam/downloads/deutsch/forschung/patentstrategie_der_fachhochschule_k_ln.pdf
[17] www.fh-koeln.de/mam/downloads/deutsch/forschung/wissens__und_technologietransferstrategie.pdf
[18] http://opus.bsz-bw.de/fhk
[19] www.bibl.fh-koeln.de/imperia/md/content/www_bibliothek/open_access-erkl__rung_der_fachhochschule_k__ln.pdf
[20] epb.bibl.fh-koeln.de

The **Department of Public Relations and Marketing** is dedicated to portraying the research activities of CUAS researchers within the university and to the public (CUAS website; placing CUAS experts in radio and television broadcasts, etc.). In co-operation with the Department of Research and Knowledge Transfer, the Department of Public Relations and Marketing publishes the volume „Projekte & Publikationen" on an annual basis, highlighting the research activities throughout the past year. By participating in events such as the regularly staged „ Night of Technology" (Nacht der Technik)[21], CUAS actively promotes knowledge transfer and **social commitment**, informing the general public about the research activities at CUAS and engaging in public discourse.

4.3 Appreciation of Research Activities[22]

CUAS places great emphasis on the **recognition of the research profession** and the appreciation of researchers at all career stages. When it comes to the position of professors, the university's appreciation of research activities is, among other aspects, reflected by its granting of the W-remuneration (W-Besoldung)[23] as well as the additional benefits negotiated during a professor's appointment. At CUAS, academic staff with a particular focus on research may join forces to fund research clusters or research institutes, for which internal funds can be made available under certain circumstances. CUAS also grants researchers the opportunity to do an individual research semester.

Early-stage researchers and their contribution to the university's research profile are highly valued at CUAS. The Department of Research and Knowledge Transfer inquires about the needs and concerns of early-stage researchers in meetings held on a regular basis. The spokespersons of doctoral candidates on all four CUAS campuses function as key contact persons. As research assistants (Wissenschaftliche Mitarbeiterinnen und Mitarbeiter) or as enrolled doctoral students, early-stage researchers may become part of the academic self-government and serve as members of different committees or panels. They may also make use of all university services (cafeteria membership card, university sports programme, Campus IT services, etc.). All doctoral candidates who have graduated in the past year are honoured at the President's New Year's Reception.

4.4 Recruitment[24]

CUAS has developed a **recruitment guideline** (as of July 2013)[25] for the recruitment of professors, which is based on specified appointment regulations and guarantees an identical procedure for all faculties. The appointment commission funded by CUAS' Faculty Council comprises three CUAS professors from the respective faculty, one external professor, one research assistant and one student. The commission is chaired by a CUAS professor.

To guarantee a **transparent application process**, a profile is published with every job vacancy. Section 8 (2) of the CUAS appointment regulations guarantees the dispatch of a confirmation letter on arrival of the application as well as information on the state of the application process on a regular basis. Additionally, applicants can receive feedback on their application, their job

---

[21] At the "Nacht der Technik" staged by VDI and VDE Köln, academic staff from CUAS imparts knowledge in science and technology in an easily understandable manner to a public audience from all age groups through short lectures, experiments, lab tours and interactive activities.
[22] Referring to the principles: 22. Recognition of the profession 11. Evaluation/appraisal systems
[23] The W-remuneration (W-Besoldung) is the statutory remuneration of university lecturers and researchers at all public universities of the German Bundeslaender. It is subject to performance-based criteria (pursuant to the Federal Reform Act on the Remuneration of Professors (Professorenbesoldungsreformgesetz) of February 16, 2002).
[24] Referring to the principles: 12.-21. Recruitment
[25] www.verwaltung.fh-koeln.de/organisation/dezernatesg/dezernat2/sg21/service/u/00315.php

interviews or sample lectures. In accordance with section 36 of the North Rhine-Westphalia Higher Education Act, CUAS appreciates **variations in applicants' CVs**. The latest, edited version of the CUAS recruitment guideline explicitly mentions these variations. Divergences from a linear-chronological CVs as well as stays abroad, research semesters and other professionally relevant positions outside institutions of higher education are valued as mobility indicators.

Pursuant to section 36 of the North Rhine-Westphalia Higher Education Act, **professional experience** outside an institution of higher education of at least three years' duration is a hiring requirement. **Stays abroad** are to serve as a positive factor in the selection process as well. Degrees obtained abroad are assessed in terms of their equivalence based on the anabin database, an information platform for the recognition of international degrees administered by the German Central Office for Foreign Education (ZAB) [26]. **Certificates of proficiency** are issued by ZAB experts to recognize vocational qualifications obtained abroad (corresponding resolutions were passed by the Standing Conference of the Ministers of Education and Cultural Affairs of the Länder in the Federal Republic of Germany).

At the beginning of the **selection process**, an appointment committee is convoked; the selection criteria are determined based on the profile of requirements and the characteristics of the selection process are operationalized. Besides the assessment of the application documents, the selection process involves holding a sample lecture, giving a presentation on a specialized topic, and taking part in a structured interview. The recruitment guideline calls for the creation of an evaluation matrix for the assessment of fundamental competencies. This matrix also includes a weighting of the selection criteria. The applicants are assessed and ranked in compliance with this matrix. The results are presented to the Executive Board in an appointment report, documenting the selection process and explaining the selection made. External referees are brought in to warrant **quality assurance** and to certify a flawless selection process.

Upon confirmation of the selected candidate, the **appointment** (hiring) may be finalized. An age limit for appointments does not exist. However, the tenured appointment as a German civil servant after the age of 45 is only feasible if certain conditions are met. If these conditions are not met, candidates will be employed under private-law employment provisions. Allowance is made for periods of maternity leave, resulting in an extension of the age limit.[27]

4.5 Working Conditions and Social Security[28]

Newly-appointed professors participate in two introductory events (total duration of 2.5 days) organized by the Executive Board and administration of CUAS. Participants in the introductory sessions are acquainted with the university's organizational framework, its structure, committees and administration, receive an overview of the administrative procedures and contribute to promoting the exchange among CUAS professors about topics of relevance for practice.

On the basis of the operational provisions in place, all newly-appointed professors participate in training on all relevant fields of **workplace safety** and are educated on potential dangers and viable protective measures. This training is repeated on a yearly basis by the professor's superior. If women inform the Department of Human Resources about their pregnancy, a workplace protection assessment will be carried out.[29] Further legal foundations are the German Occupational

---

[26] http://anabin.kmk.org
[27] www.fh-koeln.de/mam/downloads/deutsch/hochschule/profil/stellenangebote/ berufungsordnung_19.5._2008.pdf
[28] Referring to the principles: 24. Working Conditions; 25. Stability and Permanence of Employment; 26. Funding and Salaries
[29] www.verwaltung.fh-koeln.de/organisation/dezernatesg/dezernat6/sg63/service/arbeitssich/index.php

Safety and Health Act (Arbeitsschutzgesetz) and the Statutory Regulations on the Prevention of Accidents (Gesetzliche Unfallverhütungsvorschrift – GUV-V A1).

To **promote the health of its employees**, CUAS offers a health promotion programme for all of its members. This programme includes free-of-charge gym membership, a variety of fitness courses at reduced rates, mobile massage on campus and a back-pain prevention programme. University members may also participate in Cologne's university sports programme at reduced rates.[30]

To significantly improve the **compatibility of family and work**, CUAS is continuously expanding its activities as a family-friendly university. The objectives stipulated in the Family-Friendly University Audit[31] are currently being implemented. Since summer 2013, all members of CUAS (staff and students) have access to the newly established Family Services Office[32] as a central point of contact. In its guiding role, the Family Support office channels all university programmes and services dealing with the compatibility of family and work and offers a central information and advice platform. Among the central measures, which are being expanded on a constant basis, are: greater flexibility regarding working hours and workplace, the multiplication of flexible child-care services and the expansion of flexible ways of studying. The Family Services Office also offers advisory and supportive services for staff members and students who need to tend to relatives in need of care. The consultation and further training for staff members in leadership positions will be of central importance in the coming years.

Currently, research assistants have fixed working hours; upon consultation with the research assistant's superior, more flexible working hours may be agreed upon. Professors are obliged to be available and present for four days a week including their teaching hours.

Warranting **permanent and stable employment**, professors are usually appointed civil servants with lifelong tenure after a one-year trial period. Professors employed under private-law provisions are usually tenured after a one-year trial period[33]. These measures have been designed to increase attractiveness for families, to improve long-term planning for employees and the university alike and to create greater incentives to embark on a career in academia.

When it comes to the **remuneration** of professors, the remuneration stipulations for civil servants of North Rhine-Westphalia apply to CUAS. Professors employed as civil servants are paid a W2-remuneration; professors employed under private-law provisions receive a salary that is equivalent to the W2-remuneration. Moreover, it is possible for professors to receive additional benefits for extra-contractual activities[34]. Research assistants are paid in compliance with the Collective Bargaining Agreement for the Public Sector (Tarifvertrag für den öffentlichen Dienst - TV-L).

4.6 Equal Opportunities [35]

In accordance with the laws[36] in effect in the Federal Republic of Germany, CUAS guarantees a working environment in which researchers are in no way discriminated against on the grounds of

---

[30] www.fh-koeln.de/gesundheit and www.hochschulsport-koeln.de
[31] CUAS was certified as a family-friendly university by the Hertie Foundation in December 2011; www.berufundfamilie.de
[32] www.fh-koeln.de/hochschule/familienfreundlichkeit_3759.php
[33] The German Act on Contractual Time Limitations in Academia (Wissenschaftszeitvertraggesetz) stipulates that research assistants may have tenure of six years at most unless official reasons for a longer tenure exist (such as the involvement in externally-funded projects). See section 2 of the German Act on Contractual Time Limitations in Academia.
[34] www.verwaltung.fh-koeln.de/imperia/md/content/verwaltung/dezernat2/sg21/dateien/w_besoldung_v3_2.pdf
[35] Referring to the principles: 27. Working Conditions; 10. Non-discrimination and 35. Participation in Decision-Making Bodies
[36] Article 3 of the German Constitution; German General Equal Treatment Act (Allgemeines Gleichstellungsgesetz (AGG)); German Disabled Persons Act (Schwerbehindertengesetz); German Anti-Discrimination Act (Antidiskri-

their gender, age, ethnic, national or social origin, religion or world view, sexual orientation, language, disability, political views or social or economic reasons. To ensure this, CUAS has installed a special needs representative, a staff council for academic staff and a staff council for non-academic staff as well as a mobbing and addiction task force. Pursuant to the equal opportunities concept, all university members are also entitled to participate in different **decision-making bodies**. Positions in these bodies are to be filled as equally as possible.[37] CUAS' **diversity concept** was among the winners of the Diversity Contest[38] staged by the North Rhine-Westphalia Ministry of Science.

CUAS also employs a full-time, central **equal opportunities officer** and has established an equal opportunities office with two employees, an equal opportunities commission made up of one woman and one man from every group of employees at CUAS, a women's advisory council, and decentralized equal opportunities officers in the faculties. It is the long-term goal of the university to establish an equal share of women and men in all groups of employees and a balanced participation of women and men in the decision-making bodies in the areas of teaching, research and administration. The active implementation of **equal opportunities** for women and men is embedded in the CUAS Development Strategy and in the CUAS Equal Opportunities Concept[39]. It is also established in the framework concept for human resources development and in the agreements on objectives between CUAS and the Land of North Rhine-Westphalia. Throughout the past few years, CUAS has initiated different measures and projects to safeguard equal opportunities, such as the Adjunct Lecturer Programme to promote women in teaching positions or the creation of a gender-sensitive appointment guideline. The proposed Mathilde-von-Mevissen Programme, which is expected to be officially adopted in 2014, is designed to amalgamate existing as well as new measures to promote women in different academic stages (undergraduate and graduate programmes, doctoral studies, teaching). CUAS uses gender-appropriate language in its internal and external publications.[40]

4.7 Career Development & Advice and Mobility[41]

With regard to continuing education for professors, CUAS offers a **one-year coaching programme on teaching at an institution of higher education** for all newly-appointed professors. Apart from providing professors with a first orientation, this programme aims to impart knowledge and convey skills in the fields of teaching and learning. CUAS plans to determine **professors' individual needs** and to draft and implement a concept regarding their further-education opportunities based on the results. CUAS generally advocates and supports requests for participating in continuing-education programmes as long as no urgent official matters bar professors from participating. A commitment to permanent continuing education may be stipulated through specific agreements on objectives.

---

minierungsgesetz); German Social Security Code (Sozialgesetzbuch (SGB)); North Rhine-Westphalia Act on the Equal Treatment of Women and Men (Gesetz zur Gleichstellung von Frauen und Männern für das Land Nordrhein-Westfalen (LGG NRW))

[37] This also applies to CUAS researchers employed as academic assistants or enrolled as doctoral candidates.

[38] www.fh-koeln.de/hochschule/educational-diversity_5710.php

[39] The Equal Opportunities Concept of CUAS was adopted by the executive Board of CUAS on March 12, 2013. www.fh-koeln.de/mam/downloads/deutsch/hochschule/profil/gleichstellung/gleichstellungskonzept.pdf

[40] www.gleichstellung.fh-koeln.de/imperia/md/content/gleichstellungsbuero/gendergerechte_sprache.pdf

[41] Referring to the principles: 28. Career Development; 29. Value of Mobility and 30. Access to Career Service

4.8 Training of Early-stage Researchers[42]

Promoting early-stage researchers is a key objective of CUAS and has been embedded in the Guidelines for Good Academic Practice (sections 1 and 2). It is CUAS' goal to lend support to its early-stage researchers to **advance their academic careers** within the framework of high-quality doctoral training. At present, the Department of Research and Knowledge Transfer informs and accompanies doctoral candidates at CUAS and offers advice and opportunities in terms of networking and a qualification programme. Currently, these services not only include information events on a variety of different topics related to doctoral projects but also free transferable skill courses throughout the doctoral programme. Offered in co-operation with CUAS' Centre for Academic Qualifications and Advanced Training (ZaQwW), this programme grants doctoral candidates the opportunity to obtain key qualifications. The ZaQwW offers a broad array of seminars on interdisciplinary qualifications, some of them specifically geared towards doctoral candidates, such as courses on academic writing or searching for technical literature. These interdisciplinary seminars allow doctoral candidates to meet research-related and professional demands and help develop their personality. Doctoral candidates may also take courses offered by the CUAS Language Centre at.[43] However, the participation in the qualification programme offered by CUAS is not obligatory and no ECTS credits points are awarded for the participation. Doctoral candidates participate on a voluntary basis and are free to choose from among the courses offered according to their needs.

Another co-operation partner of the Department of Research and Knowledge Transfer is the Center of Continuing Education in Higher-Education Teaching (Hochschuldidaktische Weiterbildung – hdw nrw), a co-operation of North Rhine-Westphalian universities of applied sciences[44]. The hdw nrw network offers employees comprehensive continuing-education services. It offers not only courses related to teaching in universities, but also seminars on personality development, communication and similar fields. Registration for these seminars is administered by the Human Resources Development Team.

The Department of Research and Knowledge Transfer is currently working on the establishment of an interdisciplinary graduate centre to provide structured education and training for doctoral candidates at CUAS. The graduate centre will develop new services and measures (some in collaboration with external partners), offering, for instance, advisory services related to the transition from university to work or mentoring programmes. Doctoral candidates' participation in scientific conferences is to be boosted as well.

To enable doctoral candidates to gain experiences in **teaching**, they are conferred a teaching assignment during their employment as research assistants. These teaching assignments adhere to internal provisions stipulating the maximum number of hours taught per semester in accordance with the salary group. The amount of teaching assignments of each doctoral candidate is decided upon by the respective dean. Doctoral candidates may be conferred a remunerated teaching assignment in addition to their regular contract (for instance, if doctoral candidates are employed in part-time positions).

Upon recommendation by CUAS, some doctoral candidates and their supervisors have negotiated **supervision agreements**. These agreements stipulate the framework and characteristics of the co-

---

[42] Referring to the principles: 33. Teaching; 36. Relation with Supervisors; 37. Supervision and Managerial Duties; 38. Continuing Professional Development; 39. Access to Research Training and Continuous Development and 40. Supervision
[43] www1.fh-koeln.de/slz
[44] www.hdw-nrw.de

operation, for instance in terms of the timeframe and support for writing the doctoral thesis. In addition, they set regulations on required progress reviews as well as necessary feedback and response processes.

5 Action Plan

The previous section offers a comprehensive account of the current state of the implementation of Charter and Code at CUAS. The following table, table 1, shows the actions planned for the areas in discrepancy with the standards stated in the Charter and Code that were determined by the project group. These are divided into seven fields of action:

- Ethical and Professional Aspects as well as Good Practice in Research
- Dissemination and Exploitation of Results
- Recruitment
- Working Conditions and Social Security
- Equal Opportunities
- Career Development & Advice and Mobility
- Training of Early-Stage Researchers

A timeline for the implementation of the action plan is shown in the Gantt chart[45]. The implementation of the actions will be monitored using individually determined indicators.

---

[45] See Annex 2

Table 1: Overview of Actions Planned

ad	Area	Objectives	Actions	Referring to Annex 1	Responsi-bility*	Schedule
4.1	**Ethical and Professional Aspects as well as Good Practice in Research**	Implementation of Good Practice in Research	Updating and revising CUAS guidelines in accordance with the amendments of the German Research Foundation	2, 3, 6, 31, 32, 34	R & KT	Q3/2014
			Organising seminars on good academic practice for researchers from all career stages		R & KT/ HRD	on-going
			Raising the prominence of the ombudsman and his/her mediator role (through events, online references, etc.)			on-going
		Establishment of an ethics commission	Ensuring that research projects at CUAS may – if required – be revised and approved by an internal or external ethics commission	2	R & KT	Q3/2014
		Regulation of R&D co-operations with third parties	Establishing a Code of Conduct for national and international research co-operations at CUAS	4, 5		Q3/2015
		Promotion of research	Continuing to develop CUAS' research strategy	23	VP R & KT	Q4/2014
4.2	**Dissemination and Exploitation of Results**	Promotion of knowledge and technology transfer	Expanding the Research and Knowledge Transfer activities (support in terms of preparation and implementation of transfer measures and regarding exploitation of results of R&D projects)	8	VP R & KT / R & KT	on-going
			Analysing and informing about the region's academic and institutional structure; presenting CUAS as a transfer partner			Q1/2015
			Developing an entrepreneurship strategy			Q4/2014
		Expansion of research-related communication	Improving the depiction of research activities on the new CUAS website; possible launch of a research magazine		R & KT / PR & M	Q3/2014
4.4	**Recruitment**	Alignment of recruitment processes with Charter and Code	Evaluating and editing appointment guideline to integrate new requirements; guaranteeing transparent and objectivized recruitment processes	12-20	HR	2014
			Improving the recruitment processes for academic assistants based on the appointment guideline			as of 2015
		International recruitment	Publishing job vacancies via EURAXESS	12	HRD	as of 2015

4.5	**Working Conditions and Social Security**	Promotion of the compatibility of family and work	Implementing the measures of the Family-Friendly University Audit	24	HR	on-going
		Support for health-promoting measures	Continuing to improve health-promoting measures			on-going
		Securing of stable & permanent employment	Implementing the Framework Codex of Good Practice currently developed in North Rhine-Westphalia	25		as of 2015
4.6	**Equal Opportunities**	Increase in the share of women & appreciation of diversity	Implementing measures of the Equal Opportunities Concept (faculties' women promotion schemes; *"Diversity-Conducive in Speech and Writing"* guideline, promotion programs, etc.)	27, 10	Equal opportunities officer	on-going
4.7	**Career Development & Advice and Mobility**	Qualification of researchers at CUAS	Establishing target-group-specific career advice, personal advice, mentoring programs and further education programs	28, 30, 38	HRD	2015
		Promotion of mobility	Expanding mobility & internal continuing education programs and making information on mobility programs available	38	IO / R & KT	as of Q4/2014
4.8	**Training of Early-Stage Researchers**	Establishment of excellent training of doctoral candidates with emphasis on quality assurance	Developing a concept for the establishment of a graduate centre	24, 38, 39	R & KT / VP R & KT	Q3/2014
			Expanding internal qualification programme and transferable skill courses for doctoral candidates	38, 39	R & KT / HRD/ ZaQwW	on-going
			Improving advice & support for doctoral-candidates: qualified supervisors; developing a Code of Conduct and guideline for supervisors; introducing supervision agreements at CUAS (through incentives)	36, 37, 40	R & KT/ HRD	2015/ 2016
		Establishment of doctoral positions	Establishing doctoral positions for doctoral candidates and developing human resources concepts for this purpose (these positions are to dedicate two-thirds of their workload to activities related to their doctorate)	24	faculties	2015

* IO: International Office
HR: Department of Human Resources
HRD: Human Resources Development Team
PR & M: Public Relations and Marketing Team
R & KT: Department of Research and Knowledge Transfer
VP R & KT: Vice-President for Research and Knowledge Transfer
ZaQwW: Zentrum für akademische Qualifikationen und wissenschaftliche Weiterbildung

Annex 1: 40 Aspects of the Internal Analysis according to the Principles and Requirements stated in the Charter and Code (based on the template published by the EU Commission)

No.	Principle / Requirement
I. Ethical and Professional Aspects	
1	Research Freedom
2	Ethical Principles
3	Professional Responsibility
4	Professional Attitude
5	Contractual and Legal Obligations
6	Accountability
7	Good Practice in Research
8	Dissemination and Exploitation of Results
9	Public Engagement
10	Non-Discrimination
11	Evaluation/Appraisal Systems
II. Recruitment Processes	
12	Recruitment (Charter for Researchers)
13	Recruitment (Code of Conduct)
14	Selection (Code of Conduct)
15	Transparency (Code of Conduct)
16	Judging Merit (Code of Conduct)
17	Variations in the chronological order of CVs (Code of Conduct)
18	Recognition of Mobility Experience (Code of Conduct)
19	Recognition of Qualifications (Code of Conduct)
20	Seniority (Code of Conduct)
21	Postdoctoral Appointments (Code of Conduct)
III. Working Conditions and Social Security	
22	Recognition of the Profession
23	Research Environment
24	Working Conditions
25	Stability and Permanence of Employment
26	Funding and Salaries
27	Gender Balance
28	Career Development
29	Value of Mobility
30	Access to Career Advice
31	Intellectual Property Rights
32	Co-Authorship
33	Teaching
34	Complaints/Appeals
35	Participation in Decision-Making Bodies
IV. Training of Young Academics & Researchers	
36	Relation with Supervisors
37	Supervision and Managerial Duties
38	Continuing Professional Development
39	Access to Research Training and Continuous Development
40	Supervision

Principles for researchers	
Principles for employers	

Annex 2: Gantt chart HRS4R - Action Plan

No.	Actions	Responsibility	2014		2015				2016				2017				2018				2019	
			Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
A	**Ethical and Professional Aspects as well as Good Practice in Research**																					
A.1	Updating and revising CUAS guidelines in accordance with the amendments of the German Research Foundation	R & KT	▣																			
A.2	Organising seminars on good academic practice for researchers from all career stages	R & KT/ HRD	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
A.3	Raising the prominence of the ombudsman and his/her mediator role (through events, online references, etc.)	R & KT/ HRD	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
A.4	Ensuring that research projects at CUAS may – if required – be revised and approved by an internal or external ethics commission	R & KT	▣																			
A.5	Establishing a Code of Conduct for national and international research co-operations at CUAS	R & KT					▣															
A.6	Continuing to develop CUAS' research strategy	VP R & KT		▣																		
B	**Dissemination and Exploitation of Results**																					
B.1	Expanding the Research and Knowledge Transfer activities (support in terms of preparation and implementation of transfer measures and regarding exploitation of results of R&D projects)	VP R & KT / R & KT	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
B.2	Analysing and informing about the region's academic and institutional structure; presenting CUAS as a transfer partner	VP R & KT / R & KT			▣																	
B.3	Developing an entrepreneurship strategy	VP R & KT / R & KT		▣																		
B.4	Improving the depiction of research activities on the new CUAS website; possible launch of a research magazine	R & KT / PR & M	▣						▣	▣	▣	▣	▣									
C	**Recruitment**																					
C.1	Evaluating and editing appointment guideline to integrate new requirements; guaranteeing transparent and objectivized recruitment processes	HR	▣																			
C.2	Improving the recruitment processes for academic assistants based on the appointment guideline	HR			▣	▣	▣	▣	▣	▣	▣	▣	▣	▣								
C.3	Publishing job vacancies via EURAXESS	HRD	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
D	**Working Conditions and Social Security**																					
D.1	Implementing the measures of the Family-Friendly University Audit	HR	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
D.2	Continuing to improve health-promoting measures	HR	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
D.3	Implementing the Framework Codex of Good Practice currently developed in North Rhine-Westphalia	HR	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
E	**Equal Opportunities**																					
E.1	Implementing measures of the Equal Opportunities Concept (faculties' women promotion schemes; *"Diversity-Conducive in Speech and Writing"* guideline, promotion programs, etc.)	Equal opport. officer	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
F	**Career Development & Advice and Mobility**																					
F.1	Establishing target-group-specific career advice, personal advice, mentoring programs and further education programs	HRD			▣	▣	▣	▣														
F.2	Expanding mobility & internal continuing education programs and making information on mobility programs available	IO / R & KT		░																		
G	**Training of Early-Stage Researchers**																					
G.1	Developing a concept for the establishment of a graduate centre	R & KT / VP R & KT	▣																			
G.2	Expanding internal qualification programme and transferable skill courses for doctoral candidates	R & KT / HRD/ ZaQwW	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░	░
G.3	Improving advice & support for doctoral-candidates: qualified supervisors; developing a Code of Conduct and guideline for supervisors; introducing supervision agreements at CUAS (through incentives)	R & KT/ HRD			▣	▣	▣	▣	▣	▣	▣	▣										
G.4	Establishing doctoral positions for doctoral candidates and developing human resources concepts for this purpose (these positions are to dedicate two-thirds of their workload to activities related to their doctorate)	faculties			▣	▣	▣	▣														

Legend: ▣ = short term actions (green); ░ = on-going long term actions (blue). Internal Evaluation (red dashed line) at 2016 Q3; External Evaluation (red dashed line) at 2018 Q3.

* HR: Department of Human Resources
HRD: Human Resources Development Team
IO: International Office
PR & M: Public Relations & Marketing Team
R & KT: Department of Research and Knowledge Transfer
VP R & KT: Vice-President for Research and Knowledge Transfer
ZaQwW: Zentrum für akademische Qualifikationen und wissenschaftliche Weiterbildung

■ short term actions   ┊ **Internal Evaluation**   ┊ **External Evaluation**

■ on-going long term actions