# TEMPLATE 4: ACTION PLAN

**Case number**: 2020DE528743

**Name Organisation under review**:

Saarland University

**Organisation's contact details:** hrs4r@uni-saarland.de

..............................................................................................................................................................

SUBMISSION DATE:**02/08/2021**, RESUBMISSION:**02/03/2022**

…………………………………………………………..

## 1. ORGANISATIONAL INFORMATION

*Please provide a limited number of key figures for your organisation. Figures marked \* are compulsory.*

| *STAFF & STUDENTS* | *FTE* |
|---|---|
| *Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research* | *\*1,642* |
| *Of whom are international (i.e. foreign nationality)* | *\*360* |
| *Of whom are externally funded (i.e. for whom the organisation is host organisation)* | *\*583* |
| *Of whom are women* | *\*752* |
| *Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.* | *\*311* |
| *Of whom are stage R2 = in most organisations corresponding with postdoctoral level* | *\*456* |
| *Of whom are stage R1 = in most organisations corresponding with doctoral level* | *\*875* |
| *Total number of students (if relevant)* | *16,700* |
| *Total number of staff (including management, administrative, teaching and research staff)* | *\*3,028* |
| *RESEARCH FUNDING (figures for most recent fiscal year)* | *€* |
| *Total annual organisational budget* | *341,553,109.25 €* |
| *Annual organisational direct government funding (designated for research)* | *272,525,019.39 €* |
| *Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)* | *47,657,194.49 €* |
| *Annual funding from private, non-government sources, designated for research* | *21,370,895.37 €* |
| *ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)* | |

Saarland University is a campus university located in Saarbrücken and Homburg with a high international reputation for research excellence, particularly in computer science, life sciences and nanosciences as well as European studies. The university is distinguished by its close ties to France and its strong European and international focus. Within the network *Transform4Europe* Saarland University is part of an initiative to form a European University. Around 17,000 students, studying over one hundred different academic disciplines, are currently enrolled. Saarland University is officially

recognized as one of Germany's family-friendly higher-education institutions and represents one of the largest employers in the region.

## 2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

| Thematic heading of the Charter and Code | STRENGTHS and WEAKNESSES |
|---|---|
| Ethical and professional aspects | **Strengths:**<br><br>Saarland University's researchers continuously expand academic knowledge as part of their fundamental right of freedom in research. They consider ethical, legal, budgetary and infrastructural boundaries or constraints due to data protection, data management, and intellectual property regulations. The university ensures that research is kept within these boundaries: For example, the adherence to ethical principles and good scientific practices is supported by internal or external guidelines and review boards, the Ombudsperson, the Committee for the Evaluation of Accusations of Scientific Misconduct, the Committee for the Ethics of Security-Relevant Research, and the Animal Welfare Officer. Regarding research-related financial management and accountability, researchers receive advice and assistance from the university's administration.<br><br>Saarland University's researchers are familiar with the strategic goals governing their research environment. They can closely align their activities with the university's strategic focus areas and benefit from interdisciplinary research networks and excellent opportunities for third-party funding. They are provided with comprehensive information about (inter-)national research funding schemes and receive support for the management of research projects by the university´s administration.<br><br>Saarland University adheres to the principle of open science. Research findings are disseminated as widely and openly as possible to both expert and lay audiences. Additionally, researchers at the university participate in a wide range of public engagement activities. Regarding open data, researchers receive advice about funder policies and the choice of open repositories. A special focus is placed on exploiting research results commercially by obtaining patents, transferring |

| | knowledge and technology with companies, or establishing a start-up company. |
|---|---|
| | The university closely follows policies on non-discrimination and diversity. An Equal Opportunity and Diversity Management Unit and the Equal Opportunity Office promote an environment free from any form of discrimination. The Representative for Severely Disabled Persons supports the inclusion of persons with disabilities. |
| | Saarland University attaches special importance to a personal "onboarding" of newly appointed professors. They are given advice and information about the most relevant aspects of the university's organisational principles, regulations, and relevant contact persons. |
| | Advanced researchers (R3-R4) usually conclude individual target agreements and receive performance-based salary shares through regular evaluation/appraisal. |
| | **Weaknesses:** |
| | The university sees room for improvement regarding its templates for job advertisements. Future job descriptions should clearly state that the university is opposed to any form of discrimination. Moreover, the university intends to strengthen the links between individual performance targets of advanced (R4) researchers and the strategic goals of the university. |
| | Within the domain of science transfer, more office and workspace and further opportunities for even closer collaboration between researchers and external companies shall be provided in the future. |
| | The university does not yet have a unified approach to research data storage, and coordination between the data centers at the Saarbrücken campus and the University Hospital at the Homburg campus has to be improved. |
| | Finally, additional institutional structures will be created which are responsible for diversity issues and the prevention of discrimination. Moreover, a directive on accessibility requirements for persons with disabilities will be developed. |
| Recruitment and selection | **Strengths:** |
| | Saarland University accompanies the entire process of recruiting researchers (R1-R4) with regard to an open, transparent and merit-based recruitment. Templates for job advertisements ensure that all job requirements and contractual/organizational information (working hours, duration of employment, remuneration, contact person, |

application deadline, benefits) are described sufficiently clearly. For professorships (R3/R4), compliance with this requirement is monitored by several committees; the final decision on whether to approve the job description lies with the University Board. Moreover, a guide for appointment procedures includes templates for several procedural steps.

In order to reach a wide range of applicants, job advertisements are published both nationally and internationally (print media or digitally). Online application is possible, candidates for professorships (R3/R4) apply via a specific online application form tailored to the advertised position.

To ensure appropriate stakeholder involvement the Equal Opportunity Officer and – if severely disabled persons apply – the Representative for Severely Disabled Persons participate in all selection committees. The academic staff council is involved in the selection process for all staff groups except professors (R3/R4). Selection committees for the recruitment of professors include a representative number of female members, members from various areas of the university as well as external experts. All appointment proposals for professorships submitted by the selection committees are reviewed by the respective faculty council, the University Board and the Senate with regard to the quality of the procedure, the objectivity and comprehensibility of the selection decision.

All selection committees are obliged to describe the selection criteria and the selection process in their meeting minutes and final report. The quality of the selection process, especially the comprehensibility of the final decision and the underlying criteria are reviewed by several committees of the university with regarding the adequate consideration of the scientific profile and the diverse qualifications of the applicants.

**Weaknesses:**

Current job advertisements issued by Saarland University do not yet fully highlight the university's attitude towards equality, nor do they refer sufficiently clearly to the R-stages. Future templates will make explicit reference to the appreciation of diversity and provide information about the support services offered by the Representative for Severely Disabled Persons. Moreover, the job descriptions will differentiate more clearly between R1 and R2 positions.

There is a demand for an update and an expansion of the university's procedural guidelines for filling professorship positions, as well as for developing and implementing corresponding guidelines for all other

| | |
|---|---|
| | positions. In the future, both guidelines will contain templates and OTM-compliant instructions for all steps of the recruitment process. Further training courses for researchers will ensure that recruitment is carried out appropriately using efficient and modern recruitment procedures.<br><br>Furthermore, the introduction of a university-wide application management system will provide additional digital support for the entire recruitment process. |
| Working conditions | **Strengths:**<br><br>Overall, the university provides attractive working conditions for researchers.<br><br>Partner programmes like dual career, childcare for employees, and support programmes specifically designed for female researchers are provided to promote research success. With a Representative for Severely Disabled Persons, a contact point for families (audit "Family-Friendly University"), and the Equal Opportunity Office, the university offers additional services, particularly on topics related to family-friendliness and equal opportunities.<br><br>Another indicator of successful research is an appropriately supportive research environment. The university supports R1/R2 researchers by providing regulations and guidelines regarding continuously increasing independence in research. Funding opportunities for the use of large-scale equipment and the strengthening of innovative research are available to researchers. To ensure that research success is legally secured, the university offers information and individual advice on intellectual property rights (IPR). This is done primarily by legal experts in the Department of Research Management and Transfer or by the university's internal patent marketing agency. In addition, researchers can participate in information events and training courses on IPR-related topics such as copyright or IP protection through patents. In cases of doubt or conflict on IPR issues, all researchers (R1-R4) can seek advice from the Department of Research Management and Transfer. In particularly problematic cases and general complaints/appeals, the University Ombudsperson and/or the Standing Committee on Research Integrity, which oversees research misconduct investigations, may be contacted.<br><br>In addition to programmes and services related to research success, the university offers continuing education programs as well as sabbaticals for individual development with continued payment of salary. Professors (R3/R4) have the option of taking a research leave, which is regulated by the Saarland Higher Education Act. All other staff |

| | |
|---|---|
| | groups can take educational leave, which is regulated by the Saarland Educational Leave Act. With regard to work-life balance, the university supports its researchers with flexible working hours, part-time work, teleworking, a company health management system with, among other things, individual health coaching and stress analyses, and a wide range of sports teams and fitness classes.<br><br>**Weaknesses:**<br><br>In the future, it will be necessary to increase visibility of all service offers described above. For this purpose, appropriate information should be published more extensively on digital platforms to reach as many employees as possible.<br><br>In addition, there is a need for further action with regard to transparent communication, particularly in the context of human resources development. This includes, among other things, the transparent description of promotion procedures and career opportunities within and outside the university.<br><br>In the context of strengthening research success and the engagement of professors in other areas of the university (teaching, continuing education and promotion of young academics), there is a gap regarding the appreciation of professional engagement in these areas. Appropriate appreciation is to be stimulated by means of revising opportunities for performance-related payments. |
| Training and development | **Strengths:**<br><br>Saarland University strongly engages in supporting all researchers' continuing personal and professional development by expanding their competencies in scientific and transdisciplinary domains as well as in transversal skills (leadership, management, communication, presentations skills, foreign-language skills, etc.). This goal is explicitly established in the university's "Programme for the Scientific Qualification, Personnel Development and Career Advancement of Academic Staff" and all researchers (R1-R4) can dedicate part of their working hours to individual research and training activities or for research/educational leaves.<br><br>In line with this overarching goal, the university has established several institutions that offer researchers (R1-R4) relevant training opportunities, such as the Support Centre for Doctoral Researchers "GradUS" or the "PROWIS" scheme, a network of institutions offering various trainings to R1-R4 researchers (including the section for staff development within the Human Resources Division). A variety of workshops and individual counselling/coaching as well as opportunities |

for networking/exchange with peers are provided. These offers are usually free of charge and can be attended regardless of a researcher's contractual situation.

Saarland University provides R1-R3 researchers with close and high-quality supervision or mentoring by one or more R4 researcher/s within a structured relationship. Specifically, experienced researchers provide their younger counterparts with continuous feedback and professional or career-related advice and help with their integration into the scientific community. The supervision's detailed scope and arrangements are usually recorded in supervisory agreements between R1-R3 researchers and their supervisors or mentors.

During the application process for appointing R3-R4researchers, Saarland University ensures that only candidates are appointed who are sufficiently competent to act as supervisors or mentors of R1-R2 researchers. Moreover, the skills of R3/R4 researchers in the domain of supervision and mentoring are further developed in respective trainings. Saarland University also acknowledges the engagement of advanced researchers in the supervision of junior researchers (R1/R2) by giving them the chance to reduce their workload in teaching if they show an above-average engagement in their supervision duties.

To critically review the provision of high-quality supervision and mentorship, Saarland University regularly conducts surveys and participates in nationwide studies, such as in the ongoing Germany-wide "NACAPS" study. A recent university-wide study provided evidence that many leaders in research apply a cooperative and flexible management style leading to high satisfaction among their less experienced counterparts.

**Weaknesses:**

Saarland University has identified specific areas to be improved within the domain of training and development.

Overall, the university plans to better systematize and review the various instruments and procedures that are deployed to ensure high-quality supervision of R1-R3 researchers by more experienced researchers (R4) and a professional structure of their mutual relationship.

Moreover, the skills and competencies of advanced (R3/R4) researchers, particularly their leadership and communication skills, will be developed even further through specific training programmes.

Finally, Saarland University intends to further improve the distribution of relevant information (e.g., regarding training programmes or

| | available support services) to specific target groups of researchers through improved intranet and self-service options. |
| --- | --- |

## 3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL:

https://www.uni-saarland.de/en/administration/hrs4r.html

www.uni-saarland.de/hrs4r

https://www.uni-saarland.de/fr/administration/strategie-europeenne-de-ressources-humaines-pour-les-chercheurs-hrs4r.html

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

| Proposed ACTIONS | GAP Principle(s) | Timing (at least by year's quarter/semester) | Responsible Unit | Indicator(s) / Target(s) |
|---|---|---|---|---|
| Action 1A | OTM-R, 12-21 | Q1/ 2022: Target A-1 | | • Target A-1: By the beginning of Q1/2022, based on the OTM-R checklist, a first draft of the university's OTM-R policy will be developed. The draft contains a |

| | | | | |
|---|---|---|---|---|
| **Development of an OTM-R Policy**<br><br>An OTM-R Policy is developed according to the principles of the Charter and Code and is published on the HRS4R website. | 12,13,14,15, 16 | Q1/2022: Target A-2<br><br>Q3/2023: Target A-3 | President´s Office, Human Resources Division | declaration of ongoing commitment to the Charter and Code principles as well as the current status quo according to the principles and the checklist.<br>• Target A-2: By the beginning of Q1/2022, the current state of the OTM-R policy will be approved by the Vice President of Administration and Finance and will be published on the HRS4R website.<br>• Target A-3: By Q3/2023, a finalized version of the fully implemented OTM-R policy is published on the HRS4R website.<br>Indicators: All aspects of the OTM-R Checklist and all principles of Charter and Code are addressed; publication on the HRS4R website. |
| | | Q3/2022: Target B-1<br><br>Q4/2022: Target B-2<br><br>Q3/2023: Target B-3 | | Links to the English and German version:<br><br>https://www.uni-saarland.de/fileadmin/upload/verwaltung/hrs4r/Saarland_University_OTM-R_Status_Quo_signed.pdf<br><br>https://www.uni-saarland.de/fileadmin/upload/verwaltung/hrs4r/Universit%C3%A4t_des_Saarlandes_OTM-R_Status_Quo_deutsch_unterzeichnet.pdf<br><br>• Target B-1: By Q3/2022, an internal evaluation of possible control mechanisms is carried out.<br>• Target B-2: By the beginning of Q4/2022, the form and extent of the quality control system is decided by the University board.<br>• Target B-3: By Q3/2023, the quality control system is fully implemented. |
| **Action 1B Development of a quality control system for OTM-R** | | | | |

| | | | | |
|---|---|---|---|---|
| The quality control system as a tool foreseen in the OTM-R checklist will include a set of templates for appointment procedures and general guidelines for appointments. | | | | Indicator: The external review by means of the HRS4R interim assessment is evaluated positively. |
| **Action 2**<br><br>**Revision of the templates for job advertisements**<br><br>The new templates will include:<br><br>1) A section indicating that the university values diversity in terms of gender, ethnic and social origin, age, religion, sexual orientation, and identity,<br>2) gender-neutral terms, used consistently,<br>3) a reference to the support services provided by the Representative for Severely Disabled Employees,<br>4) a clarification in the wording of the qualification level addressed and the corresponding qualification requirements.<br><br>The revision process will take place in cooperation with several parties, especially the equal opportunity officer, the officer for the severely disabled and researchers. | 10,12 | Q4/2022: Target 1 | Human Resources Division, President´s Office (Professorial Appointments Office) | • Target 1: By the end of Q4/2022, Saarland University will use updated job advertisement templates for all job postings. The updated job description templates will incorporate all default sections outlined in the description of this action, use gender-neutral terms throughout and clearly specify the qualification level required for the position.<br><br>Indicators: updated templates for job advertisement are available for download on the university intranet; all job advertisements published via the university webpages use the updated template. |
| **Action 3**<br><br>**Action 3: Removing language barriers: language courses and translation of documents and** | 13 | Q4/2021: Target 1<br><br>Q2/2022: Target 2 | Trilingual Campus Initiative | • Target 1: By Q4/2021: English Translation of Saarland University's webpages for newly appointed professors and of documents required for the advertisement of professorial positions, |

| | | | | |
|---|---|---|---|---|
| **content relevant to R1-R4 researchers**<br>Saarland University's Trilingual Campus Initiative aims at removing existing language barriers for international students and staff. This involves the translation of a variety of documents, administrative forms etc. In the future, all documents and contents crucial to international researchers will be provided in English (and, wherever relevant, in French).<br>In addition, specific language courses for university staff help both German university staff to improve their knowledge of French and English and international staff to learn German. | | Q4/2024: Target 3<br><br>From Q1/ 2025 on: Target 4 | (International Relations Division)<br><br>Language courses: section for staff development in cooperation with the Trilingual Campus Initiative | English translation of documents in the context of professorial appointment procedures. Language courses are offered: French- and English-language courses for university staff; introduction of German-language courses.<br>• Target 2: By Q2/2022, the English and French translation of the university's 'Welcome Package' containing all relevant information for newly recruited members of staff and researchers is finished.<br>• Target 3: By 2024: English translation of documents required for the advertisement of professorial positions and of documents in the context of professorial appointment procedures. English (where relevant French) Translation of documents provided by the Human Resources Division which are relevant to research staff and of web content relevant to research staff. Language courses are offered for university staff (German, French and English).<br>• Target 4: From Q1/2025 on: Continuous translation of further documents and content relevant to research staff. Language courses for university staff (German, French and English).<br><br>Indicators: The documents and contents are available in the required language(s); language courses are part of the general curriculum for staff development. |
| **Action 4**<br><br>**Update of the guidelines for the recruitment of professors**<br><br>The updated guidelines will include general guidance on conducting selection procedures in an | 12, 14, 16, 17, 18, 19, 20 | Q4/2022: Target 1 | President's Office (Professorial Appointments Office) | • Target 1: By the end of Q4/2022, officially approved guidelines for professorial appointments will be published on the university website as well as distributed to all relevant stakeholders (members of the governing bodies, committee members, faculty administrators, deans, etc.) via e-mail and via the professorial appointments page in the university |

| | | | | |
|---|---|---|---|---|
| open, transparent and merit-based manner. In addition to general instructions, the guidelines for the recruitment of professors will also include a complete set of templates (e.g. protocol templates, templates for the selection committee's final report, etc.) to draw the attention of those responsible in the selection process to the relevant aspects of each step of the process. | | | Human Resources Division | intranet. The guidelines will include process descriptions for all steps of the professorial appointment procedure, specific instructions for OTM-R and a full set of templates for each step of the recruitment process.<br><br>Indicators: Publication of the revised guidelines via the Official Bulletin of the Institutions of Higher Education in Saarland (indicates official approval of the guidelines and mandates their use in all subsequent recruitment procedures) |
| **Action 5**<br><br>**Development of guidelines for the recruitment of all other staff groups, including R1-R3**<br><br>These guidelines will include general guidance on conducting selection procedures in an open, transparent and merit-based manner. | 12, 14, 16, 17, 18, 19, 20 | Q2/2022: Target 1<br><br>Q1/2023: Target 2 | Human Resources Division | • Target 1: By the end of Q2/2022, information needs of recruiting staff are identified by means of a requirement analysis.<br>• Target 2: By the end of Q1/2023, the recruiting process is digitalized and further measures for the recruitment of all other staff groups (R1-R3) are rolled out and used in practice (e.g. guidelines, instructions, templates, checklists).<br><br>Indicator: Recruitment guidelines are available for all staff groups on the websites of the Human Resources Division. |
| **Action 6**<br><br>**Implementation of a training to promote the application of efficient and state-of-the-art recruitment procedures for researchers**<br><br>This training offer is particularly aimed at R3/R4 researchers who recruit R1-R4 researchers. It will deal with how to implement open, efficient, transparent and internationally comparable | 12, 14, 16, 17, 27 | Q4/2022: Target 1<br><br>Q1/2023: Target 2<br><br>Q2/2023: Target 3<br><br>Q4/2023: Target 4 | PROWIS (the university's support programme for postdoctoral and advanced researchers) | • Target 1: By Q4/2022, a first conception phase on OTM-R- relevant contents, methods and language needs of the training is closed.<br>• Target 2: By Q1/2023, a conceptualization of a first training offer is conducted in cooperation with an external trainer.<br>• Target 3: By Q2/2023, a first pilot workshop for the training of R3/R4 researchers (max. 12; duration: 1 day) is carried out with an external trainer, and |

| | | | | |
|---|---|---|---|---|
| recruitment procedures, and also discuss potential unconscious biases (regarding gender, ethnicity, etc.) that might occur in recruitment processes. | | | Human Resources Division (section for staff development) | the workshop is evaluated by the university's teaching evaluation programme (QUALIS).<br>• Target 4: By Q4/2023, a regular training offer for R3/R4 researchers (at least one workshop per semester; max. 12; duration: 1 day is implemented in the long term.<br><br>Indicator: one workshop per semester |
| **Action 7**<br><br>**Expansion of a digital Welcome Package for all groups of employees**<br><br>The university will expand the available digital Welcome Package for all groups of employees in order to further promote and ensure job satisfaction, productivity and the identification not only with one's position but with the university in general. It contains information on organisational and administrative aspects and also general information about contractual and legal obligations for all staff groups. It is hosted on the university intranet and distributed to new employees at the beginning of their employment. | 24 | Q2/2022: Target 1 | Human Resources Division | • Target 1: By the end of Q2/2022, the digital Welcome Package will be available in an expanded and improved version. The changes and innovations to be made result from the project team's ideas and from user feedback. The editorial content of the digital Welcome Package will be translated, so that in addition to a German version, there will also be an English and French version. A welcome video from the university president will be added.<br><br>Indicator: Information of all employees by e-mail about the extended version of the digital Welcome package. |
| **Action 8**<br><br>**Development of an adapted evaluation/assessment system for professors (R4)** | 11, 26 | Q3/2021: Target 1<br><br>Q1/2022: Target 2<br><br>Q1/2023: Target 3 | Human Resources Division | • Target 1: A first draw of a new evaluation / assessment system for professors is conceptualized and discussed with the University Board in Q3/2021. The goal of the new system is to abide legal standards, improve |

| | | | | |
|---|---|---|---|---|
| An outstanding commitment in several areas of the university (research, teaching, promotion of junior researchers, continuing education) will be given special weight in the revised system. Research results are considered by means of defined criteria such as the acquisition of third-party funding or the mentoring of researchers. Furthermore, it should be possible for professors (R4) to receive open-ended special-performance bonuses. | | Q2/2023: Target 4<br><br>Q3/2023: Target 5 | | fairness and transparency and reduce the administrative burden for R4 researchers. In addition, the possibility for rewarding outstanding performance with bonuses of unlimited duration is established.<br>• Target 2: The draw is discussed with stakeholders involved such as the different departments, faculties and committees and the period of detailed adjustments of the process is started by Q1/2022.<br>• Target 3: The new directive concerning the professorial assessment system is decided by the University board by Q1/2023.<br>• Target 4: All eligible R4 researchers are encouraged to submit applications under the new system by Q2/2023.<br>• Target 5: The new system with a constant allocation rhythm (every 3 years) is implemented by Q3/2023.<br><br>Indicator: The new directive concerning the assessment system for professors has entered into force. All R4 researchers participate in the adapted assessment system. |
| **Action 9** | 11, 18, 26, 29 | Q1/2023: Target 1 | President´s Office (Professorial | • By the end of Q1/2023, target agreements concluded between the university and a newly appointed professor will be based on a catalogue of model performance goals in research, teaching, internationalization, gender and diversity, mobility, administration/management and public relations. |

| | | | | |
|---|---|---|---|---|
| **Revision of the existing system of target agreements for the first five years after the appointment of a professor**<br><br>The new system will link individual performance goals more closely to the university's strategic goals. To this end, the current list of target indicators will be extended by a broader range of subject-specific achievements in research, teaching, internationalization, administration, public relations, and mobility. These aspects serve as a framework in order to systematically develop target agreements in the long run. | | | Appointments Office)<br><br>Human Resources Division | Target agreements should include performance goals related to the areas listed above<br><br>Indicator: A framework catalogue of performance goals is available. |
| **Action 10**<br><br>**Establishment of transparent, objective, fair and regular promotion rounds.**<br><br>The university will identify and evaluate requirements and processes necessary to create a general organizational structure for university-wide job evaluations for the positions of university's scientific civil servants. Based on a detailed description of the positions, the duties described therein will be evaluated using an objective method and a general remuneration for the positions will be defined. By adding appropriate duties, a new review of the evaluation | 26 | Q4/2021: Target 1<br><br>Q4/2022: Target 2<br><br>Q4/2022: Target 3 | Human Resources Division | • Target 1: At the beginning of Q4/2021, the internal process of performance evaluations is improved by abiding with legal and comprehensible standards. At the end of Q3/2021, the evaluation of the job description of most civil servants is completed. Based on the performance evaluations and the job description evaluations the first promotion round within this new structure is completed. All eligible civil servants are promoted in January 2022 at the latest by handing over a deed.<br>• Target 2: By the end of Q4/2022, an internal review of the present institutional structure and process based on experiences made during the improvement process in 2021 is concluded, and adaptions are implemented. |

| | | | | |
|---|---|---|---|---|
| can be conducted and thus a higher remuneration for these positions may be reached. | | | | • Target 3: By the end of Q2/2023, the adapted structure and process are executed, and long-term implementation of regular promotion rounds is assured, which will take place approximately every two years. To strengthen the transparency of the promotion system, comprehensive descriptions and guidelines have been prepared and made available to the civil servants.<br><br>Indicator: All future promotion rounds will be conducted using the new enhanced systematic process. For maximum transparency all relevant guidelines and descriptions are available to all civil servants. |
| **Action 11**<br>**Conception of a detailed career model for all researchers (R1-R4):**<br>To further strengthen the career advice for researchers, the university aims to more transparently depict possible career paths for graduates who strive for positions at our university or for an optimal preparatory phase for positions outside academia. On one hand, the model will illustrate career opportunities in research, teaching, and management at the university. On the other hand, career opportunities outside the university, in the private and public sector, will be addressed. | 28, 30 | Q1/2022: Target 1<br><br>Q2/2022: Target 2<br><br>Q3/2022: Target 3<br><br>Q4/2022: Target 4 | Human Resources Division (project "employer attractiveness")<br><br>President's Office (strategic working unit for the support of R1-R3 researchers) | • Target 1: By Q1/2022, the main career paths for academics at the university are identified by team brainstorming.<br>• Target 2: By Q2/2022, a career model that depicts career paths within and outside the university is conceptualized as a diagram.<br>• Target 3: In Q3/2022, the career model is presented and discussed in the academic staff representative council.<br>• Target 4: By Q4/2022, the career model is published as a website in the section of the Human Resources Division.<br><br>Indicator: The career model is available at the University's career webpages. |

| Action 12 | 36 | Q3/2021: Target 1 | President's Office (strategic working unit for the support of R1-R3 researchers) | • Target 1: In Q3/2021, the conception of a PDCA-Cycle as key element of the quality assurance system is completed. |
|---|---|---|---|---|
| **Development of a quality assurance system for the support of R1-R3 researchers**<br>To further improve the support of early- and mid-stage researchers, the university develops a quality assurance system that comprises a variety of instruments and procedures to ensure high-quality research and working conditions. This will include the implementation of surveys and individual interviews to assess the satisfaction of early- and mid-stage researchers with their work and research conditions as well as the supervision and support they receive. | | Q4/2021: Target 2<br><br>Q2/2022: Target 3<br><br>Q4/2022: Target 4 | | • Target 2: By the end of Q4/2021, a first online survey to assess the satisfaction of R3 researchers ("Habilitierende") with their work and research conditions is carried out. It is based on at least 120 participants and comprises about 50 questions.<br>• Target 3: In Q2/2022, the survey's results are presented to the academic staff representative council.<br>• Target 4: In Q4/2022, after approval by the University Board, the university's guidelines on quality assurance in the supervision and promotion of early- and mid-stage (R1-R3) researchers are published on a website informing on quality assurance.<br><br>Indicators: Publication of guidelines on quality assurance on the corresponding webpage. |
| **Action 13**<br>**Critical review of the deployment of supervisory agreements for the doctoral phase**<br>In order to further improve the supervision and promotion of doctoral (R1) researchers, the university plans to review the deployment of supervisory agreements for the doctoral phase, which have been introduced by Art. 69 of the Saarland Higher Education Institutions Act (SHSG) as mandatory elements of the supervision of doctoral researchers a few years ago. The rationale for this review is provided by the results of the | 36 | Q2/2022: Target 1<br><br>Q3/2022: Target 2<br><br>Q4/2022: Target 3<br><br>Q2/2023: Target 4 | President's Office (strategic working unit for the support of R1-R3 researchers) | • Target 1: By Q2/2022, a critical inventory of the application of supervisory agreements (form, extent and monitoring of use) in the university's faculties is carried out by structured telephone interviews with the deaneries.<br>• Target 2: By Q3/2022, measures on how to improve the application of the faculty-specific supervisory agreements have been identified through a comparison with the requirements from law (SHSG), with the results form the "NACAPS" study, and central recommendations on the design of supervisory agreements. The measures are discussed and approved by the University Board. |

| | | | | |
|---|---|---|---|---|
| recent "NACAPS" study, which has found that these agreements were in quite a few cases not concluded at all or insufficient. | | | | • Target 3: By Q4/2022, the suggested measures to improve the content of supervisory agreements are rolled out in collaboration with the faculties.<br>• Target 4: By Q2/2023, a first follow-up review of the application of supervisory agreements is carried out, inter alia on the basis of results of the "NACAPS" study.<br><br>Indicators: The extent of use is increased from currently 65% to at least 80% of doctoral researchers who have concluded a supervisory agreement. |
| **Action 14**<br>**Programme to further develop leadership and communication skills of senior researchers**<br>Saarland University has already developed guidelines for leadership culture in administrative positions: https://www.uni-saarland.de/fileadmin/upload/verwaltung/personalentwicklung/Dokumente/Brosch%C3%BCre_F%C3%BChrungsleitlinien_UdS.pdf<br><br>To further improve the leadership and communication skills of senior (R3/R4) researchers, the university's HR Division plans to offer a specific programme for senior researchers and other leaders in the scientific environment. At first, a consensual foundation and guidelines for a constructive leadership culture will be developed in cooperation with the different faculties.Thereafter, specific training events which provide experienced (R3/R4) researchers with leadership tools that are based on the | 37, 40 | Q4/2022: Target 1<br><br>Q1/2023: Target 2<br><br>Q2/2023: Target 3<br><br>Q4/2023: Target 4 | Human Resources Division (section for staff development) | • Target 1: By Q4/2022, the decision of the University Board on the establishment of guidelines for a constructive leadership culture and on the roll-out of the training programme is made.<br>• Target 2: By Q1/2023, a conception phase is initiated to decide on methods, key elements of the trainings and communication channels to reach the target group.<br>• Target 3: By Q2/2023, a pilot project with a first cohort is carried out in two steps:<br>• 1) Guidelines for a constructive leadership culture at the first pilot faculty are established.<br>• 2) Corresponding training events are implemented at the faculty.<br>• Target 4: By Q4/2023: Based on the experiences of the pilot project the roll-out of the project is launched.<br><br>Indicators: faculty-specific guidelines are documented; ca. 12 participants per training |

| | | | | |
|---|---|---|---|---|
| cooperatively developed framework are implemented. | | | | |
| **Action 15**<br>**Promotion of continuous individual coachings, interdisciplinary exchange, and peer-group counselling for advanced researchers**<br>To further improve the development of supervisory and managerial skills of researchers, the university plans to support continuous individual coachings of advanced (R3-R4) researchers and opportunities for peer-group counselling with regard to professional skills. Specifically, continuous guidance by external coaches will be supported, whereby the initial target group consists of advanced researchers (R3) who are being prepared for positions as permanent professors at the university. | 39 | Q3/2022: Target 1<br><br>Q3/2023: Target 2<br><br>Q4/2023: Target 3 | PROWIS (the university's support programme for postdoctoral and advanced researchers)<br><br>Human Resources Division (section for staff development) | • Target 1: By Q3/2022, a one-year pilot phase will be started, during which junior and tenure-track professors can apply for individual coachings in management and leadership skills. The training can be provided for up to 20 persons.<br>• Target 2: By Q3/2023, an evaluation of the pilot phase takes place based on surveys among all participants. The evaluation includes financial aspects in order to better assess the realistic scope of the project.<br>• Target 3: By Q4/2023, a conclusion on the most requested topics is drawn in order to focus on the specific needs of the target group<br><br>Indicators: The option for individual coachings is advertised on the PROWIS website; max. number of participants: 20. |
| **Action 16**<br><br>**Negotiation and creation of additional institutional structures for fostering education about diversity issues as well as about all forms of discrimination (race, ethnic and social origin, gender, sexual orientation, age, identity etc.), their prevention and resolution** | 10 | Q3/2021: Target 1<br><br>Q4/2021: Target 2<br><br>Q2/2022: Target 3<br><br>Q2/2022: Target 4<br><br>Q4/2022: Target 5 | Equal Opportunity and Diversity Management Unit<br><br>Anti-Racism Working Group | • Target 1: By Q3/2021, a Diversity Orientation Training for junior professors (group of R3 researchers) as obligatory element of their target agreement is introduced.<br>• Target 2: By Q4/2021, a Diversity Ambassadors' Programme is in place (persons with an experience of discrimination are trained as ambassadors in the faculties).<br>• Target 3: By Q2/2022, an institutional framework for continued education on and promotion of diversity issues is created. |

| | | | | |
|---|---|---|---|---|
| These newly installed structures (working groups, representatives, contact points) will be assigned to existing units within the university, such as the Equal Opportunity and Diversity Management Unit and/or at faculty level and implement different measures with focus on diversity issues. | | Q4/2022: Target 6<br><br>Q4/2022: Target 7<br><br>Q4/2022: Target 8 | | • Target 4: In Q2/2022, a barrier-free diversity room for multifunctional use for prayers, child care, retreat and access to special working conditions for disabled people is opened on the Saarbruecken campus.<br>• Target 5: By Q4/2022, diversity monitoring and diversity guidelines are in process.<br>• Target 6: By Q4/2022, the University's photo material is reviewed in order to ensure diversity-friendly public relations<br>• Target 7: By Q4/2022, a Saarland University Diversity Calendar is developed.<br>• Target 8: By Q4/22, quality standards for disadvantage compensation are developed.<br><br>Indicators: Diversity Orientation Trainings absolved by all required R3 researchers (about 20 persons), diversity room accessible via guest card for all eligible persons. |
| **Action 17**<br><br>**Realisation of measures and events to create awareness on diversity and to promote visibility of underrepresented groups.**<br><br>In order to put focus on diversity issues, special events such as panels and diversity nights are planned. The topic is equally addressed in podcasts. | 10 | Q2/2022: Target 1<br><br>Q2/2022: Target 2 | Equal Opportunity and Diversity Management Unit<br><br>Anti-Racism Working Group | • Target 1: Q2/2022: A diversity panel is held online for all interested persons.<br>• Target 2: Q2/2022: Diversity podcasts are available on the website of the Equal Opportunities and Diversity Management Unit.<br>• The Annual Diversity Nights are held on campus as soon as present events of large scale are allowed (corona pandemic).<br><br>Indicators: Availability of the podcast on the website of the Equal Opportunity and Diversity Management Unit; accessibility of the event to all researchers |
| **Action 18** | 7 | Q3/2021: Target 1 | Chief Digital Officer | • Target 1: By the end of Q3/2021, a campus-wide online survey of all professors and all scientific institutions on the requirements regarding research |

| | | | | |
|---|---|---|---|---|
| **Development and implementation of a concept for research data storage**<br><br>The storage service will contain storage space for mass data and will enable data sharing with the wider scientific community. In this context, the cooperation between the university's data center at the Saarbrücken campus and the data center of the university hospital at the Homburg campus will be intensified. | | Q4/2021: Target 2<br><br>Q1/2022: Target 3<br><br>Q3/2022: Target 4 | Staff unit Digitalisation and Sustainability | data storage (e.g. with regard to the required duration of data storage, data volume, transfer rate) is completed.<br>• Target 2: By mid-Q4/2021, the survey has been evaluated as a basis for creating a claims-based approach to research data storage. For this purpose, interviews in areas with particularly demanding data storage needs will be conducted to supplement the quantitative data.<br>• Target 3: By the end of Q1/2022, a technical storage concept in accordance with the identified requirements has been prepared. The following aspects will be taken into account: Investigation of various technical possibilities (e.g. cloud, local storage), coordination with the current development in high performance computing at Saarland University, examination of the possibilities for assigning object identifiers.<br>• Target 4: By the end of Q3/2022, a functioning research data storage system will be available. The system is implemented in the existing IT infrastructure. A consulting and support structure is available.<br><br>Indicator: The Data Storage System is technically introduced and available to all researchers (R1-R4) requiring access to it. |
| **Action 19**<br><br>**Implementation of an application management software for all staff groups** (incl. R1-R4)<br><br>The application management software supports the entire recruitment process: publication of the job advertisement, online application form, access | 13, 15 | Q3/2023: Target 1<br><br>Q1/2024: Target 2 | Responsible for content: Human Resources Division, President´s Office | • Target 1: By Q3/2023, an application management software has been rolled out for a set of defined standardized recruiting processes for the recruitment of R1-R2 researchers as well as administrative and technical staff. Job openings are published via this tool. All applications on these positions are submitted via the online platform of the application management software. The |

| | | | | |
|---|---|---|---|---|
| to selection committees, selection of a suitable candidate for the position. Applicants will also be able to view information on the current status of their application process. | | | (Professorial Appointments Office)<br><br>Responsible for IT implementation: Staff Unit for Digitalization and Sustainability | application management software will include all features specified in the description of this action. By then, all parties involved in the appointment process (selection committees, faculty administration staff, HR division, Professorial Appointments Office, etc.) will have received appropriate training on the use of the software.<br>• Target 2: Following a successful first implementation phase of the professional application management software, the recruitment processes for R3-R4 researcher positions will also be conducted via an application management software by the end of Q1/2024.<br><br>Indicators: Link to the application management platform on the university's job website; link to the application management platform on the university's website for professorial appointments. |
| **Action 20**<br><br>**Expansion of outreach activities via social media channels and in digital formats**<br><br>Short elevator pitch videos with researchers (R1-R4) will be produced and published on social media platforms. Researchers (R1-R4) will have the opportunity to publish public digital lectures on the university's central YouTube channel. | 9 | Q2/2022: Target 1<br><br>Q4/2022: Target 2<br><br>Q4/2022: Target 3 | President's Office (Unit for Marketing and Communication) | • Target 1: Researchers (R3-R4) and all deaneries will have received an e-mail about the upload option and the workflow by Q2/2022.<br>• Target 2: At least three up to six videos will be produced until the end of Q4/2022.<br>• Target 3: We aim to achieve overall 500 up to 1.000 organic views on YouTube and an overall outreach of 5.000 up to 10.000 organic impressions on LinkedIn and Facebook by the end of Q4/22.<br><br>Indicators: number of videos (min.3), organic impressions on social media (min. 5000). |

| | | | | |
|---|---|---|---|---|
| **Action 21**<br><br>**Systematization of digital teaching and expansion of technical and consulting services for digital teaching**<br><br>Based on the students' quality rankings, the existing formats for digital teaching will be evaluated with respect to theoretical principles and empirical evidence to identify standards for digital teaching formats. The results of the evaluation will further be used to develop best practice concepts for digital/digitally supported courses, the production of digital course materials and competence-oriented digital examination formats. The university will establish a central contact point for digital teaching to provide support for the use of educational technologies and the implementation of digital teaching formats. | 33 | Q1/2022: Target 1<br>Q2/2022: Target 2<br>Q3/2022: Target 3 | Division for Education and Quality Assurance | • Target 1: By the end of Q1/2022, the recently applied digital teaching formats are evaluated (via quantitative surveys of students and interviews with teachers) and characteristics of successful digital teaching are identified.<br>• Target 2: By the end of Q2/2022, the technical and advisory services to support planning, production, and implementation of digital teaching formats are expanded (addition of new positions for instructional coaches, ongoing skill development of instructional coaches).<br>• Target 3: By the end of Q3/2022, best practice concepts for digital teaching formats with respect to practical experience, available educational technologies, and theoretical background are developed. The best practice concepts contain assistance and guidance and are made available in the form of multimedia short guides (videos, documents, etc.).<br><br>Indicators: technical support services are available to all teaching researchers, best practice concepts are published as multimedia short guides. |
| **Action 22**<br>**Improvement of target-group oriented distribution of information via electronic communication**<br>To further improve researchers' access to relevant information and continuous training, the university plans an even better distribution of information to these specific target groups (R1-R4) and to management staff. While target-group oriented dissemination of such information is currently still | 39 | Q4/2021: Target 1<br><br>Q2/2022: Target 2<br><br>Q2/2022: Target 3<br><br>Q4/2022: Target 4 | Staff Unit for Digitalization and Sustainability | • Target 1: By Q4/2021, the technical environment for introducing an intranet platform at the University is established on the basis of Microsoft SharePoint.<br>• Target 2: By Q2/2022, an IT consulting firm is assigned to provide the University with external support, inter alia with regard to the further design of the intranet.<br>• Target 3: By Q2/2022, a self-service portal of the Identity Access Management (IAM) system which allows users to create a profile for access to target- |

| | | | | |
|---|---|---|---|---|
| difficult for technical reasons, the university works on establishing more comprehensive communication channels through an extended use of target-specific intranet and e-mail/newsletter options on the basis of a new Identity Access Management (IAM) system. | | | | specific information and to receive topic-specific newsletters is established.<br>• Target 4: By Q4/2022, interfaces between the IAM system and further information technology systems (e.g., the digital working environment of MS Teams) are adjusted, for example with the learning management system Moodle.<br><br>Indicators: introduction of the necessary technical functions; assignment of a consulting firm |
| **Action 23**<br>**Establishment of an Innovation Center to further improve science transfer and cooperation between researchers, companies and start-ups**<br>The university will set up a new Innovation Center by 2023, which will further increase the opportunities for science transfer and promote changing collaborations between researchers, students, start-ups and companies by offering a facillity which includes maker spaces, shared desks, and meeting facilities. As a result, long-term interactions between researchers, start-ups and established companies will be created. Moreover, the Center will offer an inspiring meeting place for Technology Transfer stakeholders who strive for interdisciplinary collaboration or joint projects with companies. | 8 | Q1/2022: Target 1<br><br>Q4/2022: Target 2<br><br>Q2/2023: Target 3<br><br>Q1/2024: Target 4 | Department for Research Management and Transfer (section for collaborations between the university and companies) | • Target 1: By Q1/2022, the use of the Innovation Center for internal and external partners, including sponsoring, is conceptualized.<br>• Target 2: By Q4/2022, the collaboration with a first external partner company or institution is started to achieve a signal effect.<br>• Target 3: By Q2/2023, a full working environment with at least 50% occupancy rate of the Innovation Center is achieved.<br>• Target 4: By Q1/2024, the Innovation Center is established as a well-known hotspot for interdisciplinary cooperation within the region with at least 80% occupancy rate.<br><br>Indicators: first phase until Q3/23: 4 start-up teams active in co-working spaces and project offices, 3-4 researchers collaborating in projects with companies, 1 network partner realizing projects in the Center; Second phase until Q1/24: 5-6 new start-up teams active in co-working spaces and project offices, 4-5 researchers collaborating in projects with companies, 1 network |

| | | | | partner realizing projects in the Center, 4 student teams collaborating in the Center |
|---|---|---|---|---|
| Action 24<br><br>**Early identification of researchers' potentials to found their own start-up companies or to establish research collaborations with industry or economy**<br><br>The university will conceptualize and carry out a project that aims to extend the existing support for researchers with regard to commercialise Intellectual Property and their potential careers as entrepreneurs. Specifically, a project will be proposed to the Saarland which aims to identify application-oriented research which has the potential for being integrated into start-up companies or for establishing research collaborations with industry. | 28 | Q4/2021: Target 1<br><br>Q1/2022: Target 2<br><br>Q2/2024: Target 3<br><br>Q4/2025: Target 4 | Department for Research Management and Transfer (section for collaborations between the university and companies) | • Target 1: By Q4/2021, a grant proposal is submitted and approved by the Saarland.<br>• Target 2: By Q1/2022, the project kick-off event takes place with all internal stakeholders.<br>• Target 3: By Q2/2024, a new process is rolled out at the university which allows the early and proactive identification of inventions by researchers that might be eligible for filing an invention disclosure.<br>• Target 4: By Q4/2025, the project is successfully completed and evaluated<br><br>Indicators: Ten application-oriented R&D (research and development) Projects between companies and Saarland University will be set up. The Transfer Office will receive about 160 invention disclosures. |

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

When preparing the documents for the HRS4R certification, the HRS4R Working Group examined to what extent the principles of open, transparent and merit-based recruitment were already being implemented at Saarland University. Results show that very high standards are already met in many areas (e.g. with regard to approaching external applicants, attractive working conditions and the use of a wide range of instruments for job advertisements as well as through templates for assessing the performance of applicants). Nevertheless, there is room for improvement in the areas of "advertising and application phase" and "evaluation and selection phase". These are summarized below using the information in the OTM-R checklist and action plan. A draft of Saarland University's HRS4R policy has been prepared for resubmission and is now published on the HRS4R website *(cf. action 1a, Checklist No. 1)*. It states the institution's commitment to the full implementation of OTM-R and is to be further developed during the implementation phase. As a central element of the OTM-R toolkit, an internal OTM-R guide will be developed *(part of this is covered by action 2 and 5; cf. Checklist No. 2 and No. 11)*. Action 1b foresees the introduction of a quality control system in order to provide a monitoring for OTM-R processes and to assure the implementation of the OTM-R standards in the long-term *(Checklist No. 5)*. As a means to further institutionalise EU-conform OTM-R practices, OTM-R training courses have been planned as indicated in action 6 *(Checklist No. 6)*. The OTM-R checklist has equally been revised for resubmission and details progress, aims and indicators for specific aspects. The combination of the elements above will lay the foundation for the development of a coherent OTM-R system *(Checklist No. 23)*.

1) Advertising and application phase
Improvements are needed in the templates for job advertisements, which need to be revised or expanded with respect to some important aspects of the OTM-R policy (e.g., inclusion of various aspects of diversity). To this end, Saarland University will supplement its templates. There is also a need for improvement regarding the publication of job advertisements via EURAXESS. In the course of revising its recruitment guidelines, Saarland University will work towards publishing as many job advertisements for researchers as possible in both German and English on EURAXESS *(Checklist No. 13)*. In addition, Saarland University still sees a need to streamline and modernize application procedures and has meanwhile introduced an application management software to further reduce the bureaucratic burden on applicants as well as increase process transparency *(Checklist No. 15)*.

2) Evaluation and selection phase
For professorial appointment procedures, Saarland University has clear rules and regulations for an OTM-R-compliant composition of selection committees (e.g. gender balanced, participation of committee members from other universities). The development of guidelines for the appointment procedures of the other staff groups will ensure that the corresponding regulations apply to all appointment procedures at Saarland University *(action 5, Checklist No.2)* . With regard to judging of merit, current practice at Saarland University shows that selection decisions do indeed take into account a broad portfolio of achievements and qualifications. However, this requirement has not yet

been captured in the form of comprehensive handouts for selection committees. Saarland Unversity will close this gap by updating the guidelines for the recruitment of professors and developing guidelines for the recruitment of other staff (action 4 and 5, Checklist No.2). These guidelines will include general guidance on conducting selection procedures in an open, transparent and merit-based manner and will explicitly state that any form of discrimination is to be avoided, that the qualifications of the applicants are to be evaluated in multidimensional perspective, that diversity in CVs and experience of mobility (international, intersectoral, virtual) should be valued.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:

URL:

https://www.uni-saarland.de/fileadmin/upload/verwaltung/hrs4r/Saarland_University_OTM-R_Status_Quo_signed.pdf

https://www.uni-saarland.de/fileadmin/upload/verwaltung/hrs4r/Universit%C3%A4t_des_Saarlandes_OTM-R_Status_Quo_deutsch_unterzeichnet.pdf

## 4. IMPLEMENTATION

General overview of the expected implementation process:

The implementation process will be overseen and regulated by different groups of stakeholders at Saarland University, making sure that all important units of the university are involved, and all actions are supervised and duly implemented both short term and long term. Key positions in this ongoing process will be taken up by the HRS4R coordinator – who is heading the implementation committee – and the steering group including the Vice President for Administration and Finance. Along with representatives of all divisions of the university's administration, the people involved in the HRS4R process at Saarland University altogether represent a balanced group of stakeholders including researchers from all R stages, leaders, and administration staff. Divisions in charge of the HRS4R related processes are the HR division and the President's Office division.

Many aspects of HRS4R are already integrated into the university's HR and research strategy and will continue to be implemented as an integrated part of Saarland University's development of optimum working and research conditions. The core topics of HRS4R are already considered within the framework of existing processes and structures. The further development of science-related working conditions, recruitment and personnel development are permanent goals at Saarland University and the subject of various measures, which are recorded and updated in the university development plan. The HRS4R award strengthens these structures and processes and increases

their visibility both externally and internally. Previously implicit measures that cater towards the HRS4R principles now become more explicit and part of Saarland University's identity. All necessary steps of the process will be developed cooperatively and will be embedded in current HR practices.

As for the actual process of implementing the actions laid out in this action plan, an organized yet flexible schedule is planned for the mid- and long-term. The members of the implementation committee, who mainly are representatives from the departments by which the actions will be implemented, are experts on the respective tasks and will be responsible for implementing the actions according to the action plan. The implementation committee will also prepare and oversee the Internal Review in view of each next assessment, which will be evaluated by the steering group and by the University Board. Head of the implementation committee is the permanent HRS4R coordinator who is constantly in contact with the HR division and the President's Office. Regular briefings between the HRS4R coordinator and individual members of the implementation committee will be held. The HRS4R coordinator also reports biannually to the University Board and the steering group and regularly issues progress reports as needed. Biannual meetings of the HRS4R coordinator and the steering group will be held to discuss these reports and obtain feedback. These meetings will also include forecasts to upcoming actions, closing of finalized actions and identification of new actions for subsequent iterations of the action plan. The Senate, who mainly represents the research community, will be informed biannually about the state of the implementation, and offer advice. In sum, there are various ways and opportunities in which all members of the university can participate in the HRS4R implementation process and further developments. Moreover, progress on actions being implemented and respective target indicators are checked regularly. If necessary, actions, target indicators and timelines can be adapted via a defined management process.

As mentioned before, all core topics of HRS4R are already implemented in the university's core structures. By making sure that involved parties represent all members of university, representatives of all R stages as well as administrative staff and leaders will serve as disseminators who share information via research groups and committees they are involved in. To further strengthen the communication of and the opportunities to participate in the HRS4R process throughout the university, information about upcoming actions will be provided to the research community on Saarland University's HRS4R website as well as on other websites concerning the particular field of action. Information will also be distributed to researchers via newsletters. Surveys will be used to identify further requirements of the main stakeholders and results are used by the implementation committee and the steering group in the implementation of actions or future adaptation of the action plan.

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

| Checklist | *Detailed description and duly justification |
|---|---|
| | |

| How will the implementation committee and/or steering group regularly oversee progress? | In order to ensure continuity, the university will carry on the HRS4R process with the oversight committee as its steering group. This committee consists of an adequate number of representatives of all R-stages as well as members of the university administration. Individual members may join or leave the steering group before the HRS4R implementation phase starts. Among the members of the steering group is the Vice President for Administration and Finance who presides the work of the Human Resources Division. Moreover, a dedicated implementation committee will be in charge of putting the action plan into practice. This implementation committee will be headed by the central HRS4R coordinator who is part of the working group that prepared the HRS4R application. The implementation committee includes departmental representatives in charge of or strongly involved in the implementation of an action or actions. While these representatives may change with future adaptations of the action plan, the HRS4R coordinator will be permanent.

The members of the implementation committee will be responsible for implementing the actions according to the action plan in their respective departments (e.g. by appointing dedicated task forces or project teams). Regular briefings between the HRS4R coordinator and individual members of the implementation committee will ensure that progress is reported on all actions in a timely manner, that corrective measures are taken if actual progress deviates from planned progress and that the action plan remains up to date. More extensive meetings will be scheduled by the HRS4R coordinator as needed. The HRS4R coordinator will regularly issue progress reports containing the status of work but also forecasts and analyses of actual vs. planned work.

Biannual meetings of the HRS4R coordinator and the steering group will be held to discuss these reports and obtain feedback. These meetings will also include forecasts to upcoming actions, closing of finalized actions and identification of new actions for subsequent iterations of the action plan. The HRS4R coordinator reports to the University Board on a biannual basis.

The implementation committee will be in charge of carrying out the Internal Review, which is a culmination |

| | of the ongoing management efforts of the first 24 months after obtaining the HRS4R award. Before submission to the EC, the Internal Review report will be evaluated first by the steering group including the Vice President for Administration and Finance and, after their feedback has been incorporated, by the University Board. |
|---|---|
| How do you intend to involve the research community, your main stakeholders, in the implementation process? | Information about upcoming actions will be provided to the research community on Saarland University's HRS4R website as well as on other websites concerning the particular field of action. Information will also be distributed to researchers via newsletters. Social media formats and internal communication channels can also be used to inform about the HRS4R strategy. |
| | Via the steering group, representatives of all R-stages will be regularly informed about the progress of the implementation. The members serve as disseminators who share information with research groups and committees they are involved in. |
| | The Senate mainly represents the research community. It will be informed biannually about the state of the implementation and offers advice. |
| | As part of the quality assurance system for R1-R3 researchers (see action 12), overseen by the president's office in cooperation with the HR Division, surveys will be used to identify further requirements of the main stakeholders. The results of these surveys are then communicated to the implementation committee as well as the steering group and will be integrated in the current implementation or future adaptions of the action plan. For example, the outcome of a survey for researchers working on a habilitation thesis serves as the basis for the development of actions tailored to their needs. These researchers are invited to join focus groups to give feedback and to provide ideas regarding the implementation of the measures concerning them. An analogous procedure will be provided for other groups of R1 – R3 researchers. |
| How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's | The HRS4R procedure will be implemented as an integrated part of Saarland University's development of working and research conditions. For this reason, the HR division and the president's office are two main |

| | |
|---|---|
| research strategy, as the overarching HR policy. | divisions in charge of the HRS4R-related processes. Close communication and cooperation between these divisions will be ensured by the HRS4R coordinator. The OTM-R policy as a core element of the HRS4R certification will be developed cooperatively and will be embedded in current HR practices.<br><br>The further development of science-related working conditions, recruitment and personnel development are permanent goals at Saarland University and the subject of various measures, which are recorded and updated in the university development plan, among other things. These include, for example, far-reaching measures to promote research by providing start-up funding for research projects, advice on applications, the provision of high-quality infrastructure and various measures to ensure good scientific practice. Offers for research funding are supplemented by a broad portfolio of support measures in the area of technology transfer. Equally firmly anchored in the university development plan are  measures to promote young researchers, including financial support, further training and the promotion of structured supervision of the qualification phase. In its development plan, Saarland University also commits to a university culture in which gender mainstreaming, diversity policy, family friendliness and equal opportunities are seen as essential maxims for action and guidance. Moreover, Saarland University is aware of its responsibility as an employer. The commitment to offer its employees attractive working conditions and effective support structures promoting the personal development of employees as well as to offer professional security, interesting career opportunities and cater to different life situations and needs is recorded in the university's development plan.<br><br>In this respect, HRS4R is already integrated into the university's HR and research strategy. The core topics of HRS4R are already taken into account within the framework of existing processes and structures  (e.g. process of prior examination of the resources of a professorship, programs for the promotion of young researchers). The award strengthens these structures, processes and policy and increases their visibility both externally and internally. Previously implicit measures |

| | that cater towards the HRS4R principles now become more explicit and part of Saarland University's identity. |
|---|---|
| How will you ensure that the proposed actions are implemented? | The university's departments ensure the implementation of the action plan, which they were also involved in drafting. To ensure that the proposed actions are carried out by experts most suited to this task, the responsible implementation committee will mainly consist of representatives from those university departments by which the actions will be implemented. These representatives may therefore change with future adaptations of the action plan. The effort of the implementation committee will, however, be headed by a permanent HRS4R coordinator experienced in project management who is constantly in contact with the HR division and the president's office. |
| | The work of the implementation committee adheres to the timetable and milestones laid out in the action plan. An action will only be considered as implemented if all target criteria named in the action plan have been met. The way progress will be monitored and measured is described in detail further below. |
| | The HRS4R coordinator oversees the overall progress of the implementation committee's work and maintains a constant exchange with its individual members. The HRS4R coordinator as a head of the implementation committee reports biannually to the steering group on the progress of its work. The steering group will approve implemented actions or request rework or modifications if an action does not meet the target criteria laid out in the action plan. The HRS4R coordinator reports biannually to the University Board, where actions considered accomplished by the steering group receive final approval. |
| | The implementation committee as well as the steering group can request changes and/or additions to the action plan if necessary. Such change requests can be the result of surveys among the target group (R1-R4), outcomes of strategic developments at the university or based on infrastructural or budgetary requirements. These requests will be iterated with the departments affected by the request. If the requested change concerns taking |

| | up a new action, a plan for implementation of this action is developed and included in the action plan. |
|---|---|
| How will you monitor progress (timeline)? | The work of the implementation committee follows the timetable and milestones set out in the Action Plan.<br><br>The HRS4R coordinator monitors the implementation committee's compliance with this schedule. To this end, the coordinator is in constant communication with the individual members of the implementation committee. The coordinator also conducts regular evaluations of the timetable and provides analyses of planned versus actual schedule efforts as well as forecasts.<br><br>The HRS4R coordinator biannually reports to the steering group regarding the progression of its work and its compliance with the timetable to date.<br><br>Changes to the timetable are made in consultation with the departments responsible for implementing the action that is affected by or affecting schedule changes and also with the steering group. |
| How will you measure progress (indicators) in view of the next assessment? | The action plan provides key performance indicators / targets which must be reached for an action to be considered as successfully implemented. Wherever possible, quantitative criteria were used to define and detail these targets. If a target could not be operationalized quantitatively, qualitative indicators in the form of milestones were used.<br><br>The HRS4R coordinator as head of the implementation committee provides detailed reports to the steering group on actions it considers implemented. The steering group then evaluates whether the targets set out in the action plan have been met. If this evaluation is positive, the University Board decides on their biannual briefings with the HRS4R coordinator if an action is to be seen as successfully implemented or not. This action will then be closed and a corresponding note of its closure will be included in the action plan.<br><br>In view of each next assessment an Internal Review is carried out by the implementation committee. The HRS4R coordinator draws upon their ongoing management efforts for an Internal Review report, which shows the overall progress of the work of the |

| | implementation committee so far. Before submission to the EC via the E-tool, the Internal Review report will be evaluated first by the steering group including the Vice President for Administration and Finance and, after their feedback has been incorporated, by the University Board. While the action plan is adapted continuously, the OTM-R checklist is updated every two years at the latest in accordance with the HRS4R technical guidelines. |
|---|---|

Additional remarks/comments about the proposed implementation process:

| Information on considerations to reconstruct the bodies involved in the implementation can be found in the uploaded supplement (EURAXESS). |
|---|