

Presidential Board:

The Senate and the Presidential Board of the Georg August University of Göttingen adopted on 15 January 2014 and 28 January 2014, respectively, by mutual consent the Rules governing Quality Assurance in Appointment Proceedings (*Ordnung zur Qualitätssicherung in Berufungsverfahren*) of the Georg August University of Göttingen (section 15, sentence 2, of the Lower Saxony Higher Education Act [NHG] in the version of the promulgation of 26 February 2007 (Law and Ordinance Gazette of Lower Saxony [Nds. GVBl.] p. 69), most recently amended by Articles 1 and 9 of the Act of 11 December 2013 (Law and Ordinance Gazette of Lower Saxony p. 287), in conjunction with section 25 subsection (4), sentence 1, of the Bylaws of the Georg August University of Göttingen (GO) in the version of the promulgation of 20 December 2010 (Official Announcements 58/2010 p. 6374), most recently amended by the resolution of the Senate of 5 September 2012 (Official Announcements I 3/2013 p. 21)).

Rules governing Quality Assurance in Appointment Proceedings of the Georg August University of Göttingen

(Ordnung zur Qualitätssicherung in Berufungsverfahren Georg-August-Universität Göttingen – QS-BV-O)

Preamble

The present Rules shall serve the purpose of quality assurance in appointment proceedings in recruitment to W2 and W3 professorships at the Georg August University of Göttingen (not including the University Medical Centre Göttingen). As a matter of principle, they shall also be applied in joint appointment proceedings with non-University facilities. Information on the practical implementation of the provisions regarding appointment proceedings shall be summarised in a “hand-out”, which the Presidential Board shall publish once the Senate has made a statement.

Section 1 Approval and job advertisement

(1) ¹The application to establish a W2 or W3 professorship (approval application) shall be prepared as a rule by the representatives of the subjects with the Dean's Office on the basis of the Faculty Development Plan and of the University Strategy, and shall be decided on by the Faculty Council. ²The approval application shall set out the orientation of the professorship, its integration within the faculty, possible cooperation in a centre, as well as how it is planned to be funded.

(2) The Presidential Board shall decide on the approval application and on the content of the job advertisement, with the involvement of the University Foundation Committee.

(3) ¹The German wording of the job advertisement shall exclusively form the binding basis of the appointment proceedings. ²The faculty shall be responsible for the content of the English text of the job advertisement corresponding to that of the German text. ³The Dean's Office shall have the job advertisement placed.

Section 2 Composition of the Appointment Commission

(1) ¹The composition of the Appointment Commission shall be as follows:

a) five members of the university lecturers' group,

b) two members each of the staff group, of the students' group and of the technical and administrative staff group, the latter in an advisory capacity.

²If it is intended by way of exception for fewer than 40 percent of the voting members of the Appointment Commission, and fewer than 40 percent of the voting members of the university lecturers' group, to be women, the Dean must obtain the consent of the Equal Opportunities Officer of the University. ³It shall be guaranteed that at least two voting external university lecturers are involved.

(2) The external members of the Commission shall be informed of the provisions on partiality by the Dean when they are recruited.

(3) It shall be possible to derogate from the composition of the Appointment Commission referred to in subsection (1) in joint appointments with other facilities.

Section 3 Senate observer

(1) ¹The Senate shall nominate a member of the university lecturers' group as a Senate observer (hereinafter: SB), after being informed of the decision on approval. ²Voting members of the Senate from the university lecturers' group, or their respectively first or second deputies, may be nominated. ³The SB is to come from a related academic field to the professorship to be occupied, but wherever possible from another faculty.

(2) ¹The SB shall guide the appointment proceedings up to and including the resolution on the appointment proposal by the Faculty Council. ²Unless this has already been adequately carried out by the spokespersons of the Presidential Board (hereinafter: RPM), the SB shall notify with regard to the quality assurance measures to be complied with, and shall particularly advise on the assessment of critical procedural aspects, above all of possible partiality and how to deal with partiality.

(3) ¹The SB shall be invited to attend all meetings of the Appointment Commission, and may attend them with a right to speak; he or she is to attend the first meeting of the Appointment Commission once the applications have been received. ²The SB shall be invited to attend the agenda items of the meetings of the Faculty Council relating to the appointment proceedings, and may attend them with a right to speak. ³The minutes of the meetings of the Appointment Commission and of the corresponding agenda items of the Faculty Council, as well as all files on the respective appointment proceedings, shall be made accessible to the SB without delay.

(4) The SB, the Senate, the Dean as well as the Presidential Board, shall inform one another of critical procedural aspects, and shall deliberate on the procedure to be followed.

Section 4 Involvement of the spokespersons of the Presidential Board

¹The spokespersons of the Presidential Board (hereafter: RPM) shall be available as the first port of call to provide advice on procedural matters. ²They may attend all meetings of the Appointment Commission with a right to speak on procedural matters.

Section 5 Applications

(1) Once the job advertisement has been published, the Dean, or if already established the Appointment Commission, shall write to candidates who potentially appear to be suitable who are placed on the list enclosed with the approval application, and shall inform them of the job advertisement.

(2) ¹The applications and further documents for the work of the Commission shall be posted in a sharepoint or in a corresponding electronic administrative system. ²Applicants are to submit their application in electronic form; this shall be pointed out in the text of the job advertisement.

Section 6 Special provisions on quality assurance related to the work in Appointment Commissions

(1) ¹The Dean shall open the constitutive meeting, and shall chair it until the Chair is elected. ²He or she shall inform the members of the Commission of the provisions to be complied with on quality assurance, and shall indicate the documents to be considered in this regard, in particular the present Rules, the hand-out on quality assurance in appointment proceedings, as well as the Guideline on Partiality (*Richtlinie zu Befangenheiten*). ³The Dean may attend the further meetings of the Appointment Commission with a right to speak.

(2) ¹The Appointment Commission shall select from among its midst a member of the

university lecturers' group as Chair. ²It shall be ensured in the ballot that where possible no partiality may be anticipated, and that the person envisaged has already collected experience in implementing appointment proceedings and has sufficient time to perform the office of the chair of the Commission. ³The Chair shall bear responsibility in the further proceedings for compliance with the provisions on quality assurance; the Dean shall indicate this accordingly.

(3) ¹After having taken note of the application documents which have been received, and prior to the first deliberation on the applications by the Appointment Commission, the Chair shall call on the members to inform him or her of any possible concern as to partiality without delay. ²The members of the Appointment Commission shall indicate whether persons are known to them apart from the present applications who appear to be excellently suited for the professorship that has been advertised and who might potentially be recruited. ³If the Appointment Commission decides to engage in active recruitment measures, the Chair shall notify the person concerned of the job advertisement, as well as of the possibility of making an application, within two weeks.

(4) The meeting following the constituting meeting shall be scheduled such that the applications which have been received during the subsequent deadline period can be taken into consideration when it is decided who will be shortlisted according to the content of the file, and who is to be invited to a personal interview.

(5) The Appointment Commission shall appoint external experts with regard to whom the same rules shall apply to avoiding partiality as to the members of the Commission with regard to the persons who are to be assessed.

(6) ¹If at least three members of the university lecturers' group are externals, and if, in derogation from subsection (5) above, no external experts are appointed, these members are to each draw up a written statement independently of one another in which they assess the academic qualification and professional aptitude of the candidates who have been shortlisted on a comparative basis. ²The statements shall be enclosed with the final report of the Appointment Commission.

(7) ¹The Chair of the Appointment Commission shall draw up a final written statement providing reasoning for the appointment proposal and containing an assessment of the qualification and aptitude of the applicants listed in the appointment proposal. ²The Chair shall state in writing that the Appointment Commission has adhered to the procedural rules on quality assurance, and that he or she is not aware of any indications of quality shortcomings.

Section 7 Procedure in case of foregoing a job advertisement

¹Quality assurance by the SB shall take on particular significance in appointment proceedings in which no job advertisement is carried out, in particular in the event of foregoing preparation of the appointment proposal by an Appointment Commission. ²The university and the faculty Equal Opportunities Officer shall be involved in good time. ³The details shall be governed by the Rules governing the Implementation of Appointment Proceedings in case of Foregoing a Job Advertisement (*Ordnung über die Durchführung von Berufungsverfahren bei*

Ausschreibungsverzicht).

Section 8 Special provisions for the University Medical Centre Göttingen

¹The statutory provisions on competences shall apply in appointment proceedings of the University Medical Centre Göttingen (UMG). ²The UMG may establish its own Rules with the participation of the University bodies.

Section 9 Final provisions

The present Rules shall come into force on the day after their notification in the Official Announcements I of the Georg August University of Göttingen. The following shall apply in derogation from sentence 1:

- a) The present Rules shall not apply to tenure proceedings of junior professors who were appointed as heads of junior research groups within the Excellence Initiative (in Courant Centres or as free floaters).
- b) The present Rules shall apply for the first time to the appointment proceedings in which the decision on approval or on the initiation of the tenure procedure¹ did not take place until the present Rules had come into force.

¹ N.B.: The following shall be deemed to constitute initiation of the tenure procedure:

- a) receipt by the HR department of the candidate's application to initiate the tenure procedure (section 3 of the Tenure Track Rules [*I tt-O*]),
- b) the dispatch of the letter of the HR department to the candidate informing him or her of the initiation of the proceedings (section 3 of the Tenure Track Rules).