

### **The Senate:**

On 10 April 2013 the Senate adopted the second amendment of the Regulation governing the award of a professorship for life at Georg-August-Universität Göttingen within "tenure-track proceedings" of 16 November 2011 (the "Tenure-Track Regulation"), as last amended by resolution of the Senate of 17 October 2012 (Official Announcements I 4/2013 p. 22), (Article 41, Para. 1 Clause 1 of the NHG [Lower Saxony Higher Education Act] in the version of the Announcement dated 26 February 2007 (Nds. GVBl. [Lower Saxony Law and Ordinance Gazette] No. 5/2007 p. 69) last amended by Article 1 of the law of 29 June 2011 (Nds. GVBl. p. 202), Article 26, Para. 1 Clause 4 of the NHG).

**Regulation governing the award of a professorship for life at the  
Georg-August-Universität Göttingen within "tenure-track proceedings"  
(including Göttingen University Medical School)  
- "Tenure-Track Regulation" -**

**Clause 1      Scope**

- (1) This Regulation applies to
- a) Junior professors (W 1) within the meaning of Article 30 of the NHG and
  - b) Professors appointed for a limited time within the meaning of Clause 28 of the NHG,
- who have been or will be in line for a tenured professorship ("tenure-track proceedings").
- (2) Should a professorship be subject to "tenure track proceedings" this should be expressly made clear in the announcement of the vacancy.
- (3) Prior to the announcement within the meaning of Paragraph 2 it must be stipulated how, in the event of a positive evaluation, the limited-appointment professorships concerned are to be filled and where they should be located.

## **Clause 2      Decision criteria**

(1) The award of a professorship for life within "tenure-track proceedings" is conditional upon a quality-assured, positive evaluation meeting the standard of an appointment procedure at the Georg-August-Universität Göttingen with a recommendation for the continuation of the professorship.

(2) The evaluation criteria are:

- a) Research: ongoing academic activity and evidence of the same, in particular in publications, the giving of presentations and attraction of outside funding;
- b) Teaching: successful teaching, in particular at undergraduate level, as well as the provision of support to students;
- c) Management: adequate engagement in academic management;
- d) Encouragement of the next academic generation (at post graduate as well as post doctorate level);
- e) Leadership skills, ability to work in a team and social skills.

(3) For the evaluation other subject-specific items should also be taken into account, in particular achievements in patient care as well as in cooperation with institutions outside the university (e. g. Göttingen Research Campus).

(4) <sup>1</sup>Tenure is awarded, if the performance to date and to be expected in future is significantly above average compared with the normal performance for the relevant age group (taking into account equal-opportunity considerations) within the relevant subject area. <sup>2</sup>The age group includes those academics that have, for about the same length of time and in the relevant subject area, occupied academic positions that are equivalent in terms of content.

## **Clause 3      Introduction to the proceedings**

(1) The proceedings shall officially commence one year prior to expiry of the term of appointment or upon an application by the candidate.

(2) The result of the evaluation should be made available no later than six months prior to the end of the term of the relevant limited appointment.

(3) The provisions of the current regulation shall not affect the interim evaluation of junior professors under Article 30 Para. 4 Clause 2 of the NHG in conjunction with the Regulation on the Appointment and Evaluation of Junior Professors (Announcement dated 3 July 2006, Official Announcements 7/2006 p. 398) as amended from time to time.

#### **Clause 4      Evaluation Commission**

(1) The evaluation is carried out by an evaluation commission appointed to this end by the responsible faculty council in agreement with the Presidential Board.

(2) <sup>1</sup>The evaluation commission shall be chaired by a voting member of the group of university teachers, who should not be a faculty member but should be familiar with the area, and is, notwithstanding Paragraph 1, appointed by the Presidential Board at the suggestion of the faculty council. <sup>2</sup>He/she shall report to the Presidential Board and the Senate on all relevant stages of the proceedings.

(3) All those involved shall be obliged to keep matters absolutely confidential, including and in particular, vis-à-vis the candidate.

(4) <sup>1</sup>All those who are offered a mandate or who are commissioned to provide a reference shall immediately disclose all circumstances which could bring their impartiality into doubt. <sup>2</sup>Due to the concern over partiality, where there are grounds which could justify a lack of trust in the impartiality or independence of the commissioned activity, the latter shall be rejected. <sup>3</sup>It is for the Presidential Board to decide whether there is any concern over partiality.

#### **Clause 5      Evaluation proceedings**

(1) The starting point of the evaluation is a report presented by the candidate as described in the attachment.

(2) <sup>1</sup>The evaluation commission shall appoint from among its members a secretary belonging to a different academic (member) institution (department, institute, centre etc.) from the candidate. <sup>2</sup>The

secretary shall keep records and draw up a final report. <sup>3</sup>Each member of the commission shall be entitled to have a vote recorded.

(3) The evaluation commission shall, for the purpose of evaluating the achievements in research, teaching and management, collect generally five but at least three written references from external experts.

(4) The evaluation commission shall require from the responsible director of studies a written commentary evaluating the candidate's teaching performance, to be drawn up after consultation with the responsible course studies commission.

(5) The evaluation commission shall take account of the results of any equivalent external assessments, in particular the evaluation results of the German Research Foundation (Deutsche Forschungsgemeinschaft).

(6) The evaluation commission shall invite the candidate to give a lecture open to all staff/students at the university on a topic of his/her choice, followed by a discussion.

(7) Prior to any decision on the evaluation recommendation the candidate will generally be invited to an oral hearing and discussion before the evaluation commission.

(8) Achievements or circumstances which become known only after submission of the personal report may be taken into account up until the decision on the evaluation recommendation; a supplement to the reference may be obtained from the academic referees.

## **Clause 6      Evaluation recommendation**

The evaluation commission shall advise the responsible faculty of the evaluation recommendation.

## **Clause 7      Evaluation decision**

(1) <sup>1</sup>The award of tenure is conditional upon a positive vote by the responsible faculty council and statement by the Senate. <sup>2</sup>The decision is made by the Presidential Board in consultation with the university management board.

(2) <sup>1</sup>The Presidential Board makes a negative decision based on the vote of the responsible faculty council and/or the Senate's statement. <sup>2</sup>The candidate shall be notified of a decision which may be appealed against.

#### **Clause 8      Variations in exceptional cases**

(1) In exceptional cases the evaluation proceedings may be waived if this is necessary in order to keep someone at the Georg-August-Universität Göttingen by awarding them tenure where they have been offered a professorship by another university or been offered a similar post and where an immediate decision is necessary in order to defeat the external offer of a professorship.

(2) <sup>1</sup>The decision is made by the Presidential Board in consultation with the university management board; the Senate and the equal opportunities officer shall be given the opportunity to comment in advance. <sup>2</sup>This is subject to the provision of a written reasoned statement by the relevant subject representative, a positive vote by the responsible faculty council and confirmation of this assessment through consultation with external experts.

(3) Paragraphs 1 and 2 shall apply as appropriate to the use of tenure-track proceedings where there has been no announcement of a vacancy.

#### **Clause 9      Special provisions for the implementation of the excellence initiative**

In the case of tenure-track proceedings for junior professors who are offered professorships as the heads of junior research groups under the auspices of the excellence initiative in tenure-track proceedings (in Courant Centres or as free floaters) Article 1 Para. 3 shall not apply but the following special terms shall apply:

1. Notwithstanding Article 4 Para. 1 the evaluation commission shall be set up by the Presidential Board in consultation with the Göttingen Research Council (GRC).
2. By way of derogation from Article 4 Para. 1 the evaluation commission set up according to status groups shall consist of four members proposed by the Faculty Council of the faculty to which the professorship shall be assigned to respectively the junior research group already is assigned to, and two members proposed by the GRC; the two members proposed by the GRC must pertain to the group of University teachers.

3. Notwithstanding Article 7, a statement shall be obtained from the GRC prior to the statement from the Senate and the decision of the Presidential Board in place of a vote by the responsible faculty board.

#### **Clause 10 Special provisions for the Göttingen University Medical School (UMG)**

(1) <sup>1</sup>The Göttingen University Medical School may, in consultation with the Senate and the Presidential Board, propose additional criteria and special provisions which are relevant in clinical fields to the appointment of a tenured professor. <sup>2</sup>They shall be set out in a supplemental report model in accordance with Article 5 Para. 1.

(2) <sup>1</sup>In the case of Article 4 Para. 1, Para. 2 and Para. 4 Clause 3, Article 7 and Article 8 Para. 2 Clause 1 the Presidential Board shall be replaced by the board of the Göttingen University Medical School. <sup>2</sup>In the case of Article 7 Para. 1 Clause 2 and Article 8 Para. 2 Clause 1 the university management board shall be replaced by the university medical school management board. <sup>3</sup>The provisions of Article 63 h Para. 3 of the NHG shall apply as appropriate.

#### **Clause 11 Entry into effect; transfer provisions**

(1) <sup>1</sup>This Statute shall take effect the day after it is published in the University's Official Announcements. <sup>2</sup>The Regulation on the Award of a Professorship for Life at the Georg-August-Universität Göttingen in "Tenure-track Proceedings" ("Tenure-Track Regulation") of 13 August 2008 (Official Announcements 19/2008 p. 1221), last amended by a resolution of the Senate of 7 July 2010 (Official Announcements 16/2010 p. 1108), shall simultaneously cease to have effect.

(2) Notwithstanding Paragraph 1 the evaluation criteria under Article 2 Para. 2 letter e) and Para. 3 shall not apply to proceedings where the evaluation proceedings are commenced within two years of this regulation taking effect.

**Attachment:**

**Candidate's report**

The following information must be clearly formulated and presented in chronological order. As far as possible and unless stipulated otherwise, the following information shall be presented divided into periods before and after commencement of the current term of employment.

**I. Personal information**

Surname, first name(s)

Date and place of birth

Work and home address (including telephone, fax and e-mail)

**II. Education**

(Information since matriculation)

Commencement of studies, university/universities, degree course and subject area, final degree, class of degree achieved; in the case of a dissertation: subject and supervisor, where relevant mentor or thesis committee.

**III. Employment**

(including time spent as a post-doctoral student)

Length of employment, name of employer, name of superior, responsibilities/field of work, where relevant any special circumstances (e.g. reduced hours of work based on legal regulations).

**IV. Description of research work to date**

(Length: no more than two sides)

Description of research work to date (excluding the time since commencement of the current term of employment) including references to academic collaborations as well as rights to intellectual property (e.g. patents) and the results of equivalent external assessments

## **V. Description of planned future research**

(Length: from three to a maximum of five sides)

Description of planned future research

## **VI. Teaching**

1. List of all courses giving

a) Lecture number, semester

b) Title

c) Length (in hours per week of the semester)

d) Average number of those attending

e) In the case of courses jointly taught, the names of the other course teachers

f) In the case of courses jointly taught: information on the candidate's share of the teaching as a percentage

g) Teaching assessment by students or indication of the reason for the absence of a teaching assessment

2. Supervision of academic final theses (e.g. theses as part of a Bachelor's or Master's degree), period of supervision, title of final thesis

## **VII. Promotion of the next generation of academics**

Supervision of post-doctoral or research plans, period of supervision, title of post-doctoral or research project

## **VIII. Publications**



1. List of publications, divided into refereed publications and those which have not been refereed, giving information as to:

- a) All authors (in the same order as in the publication)
- b) The title
- c) The publisher (e.g. journal, record of conference proceedings)
- d) Date of publication.

2. Publications that have not yet appeared may be included provided these are "publications accepted for printing"; other publications which have not yet come out may not be included.

3. The candidate should in addition present and enclose what he or she considers to be his/her most important publications, though in this context no more than three publications may be presented.

## **IX. Presentations**

List of all presentations specifically stating which were the result of an invitation.

## **X. External funds**

List of approved applications

Description of the application

Approving institution (indicating whether private or public funding is involved)

Period of approval

Approved amount

List of all applicants in the order given in the application

In the case of collaborative research applications, the name of the spokesperson

## **XI. Prizes, awards, honours**

Name of any prize, award or honour; name of the awarding institution

## **XII. Memberships in academic organisations and associations**

Commencement and term of membership, status/function/office (e.g. senior member, fellow)

## **XIII. Other activities relevant to academia**

List of other academic work (e.g. organisation of academic conferences, work as a referee, cooperation with an academic publisher, contributions for the good of the community)

## **XIV. Participation in academic management**

Commencement and term, status/function/office

## **XV. Leadership skills, ability to work in a team and social skills.**

Description of leadership skills, ability to work in a team and social skills

## **XVI. Information relating to conditions of work and other factors which have had positive or negative influences on achievement**

Information relating to conditions of work and other factors, in particular, infrastructure, personnel, personal circumstances

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