

## **Presidential Board and Study Quality Commission:**

Pursuant to the statement of the Senate of the Georg August University of Göttingen of 23 April 2014, the Presidential Board and the Study Quality Commission adopted the Guideline on the Use of Study Quality Resources at the Georg August University of Göttingen (not including the University Medical Centre Göttingen) on 17 June 2014 and on 5 June 2014, respectively, (section 41 subsection (2), sentence 2, of the Lower Saxony Higher Education Act [*Niedersächsisches Hochschulgesetz – NHG*] in the version of the promulgation of 26 February 2007 (Law and Ordinance Gazette of Lower Saxony [*Nds. GVBl.*] No. 5/2007 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) and section 34a subsection (4) of the Bylaws (*Grundordnung – GO*) of the Georg August University of Göttingen 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 23 April 2012 (Official Announcements I 3/2013 p. 621)).

### **Guideline on the Use of Study Quality Resources at the Georg August University of Göttingen (not including the University Medical Centre Göttingen)**

#### ***(Richtlinie über die Verwendung von Studienqualitätsmitteln an der Georg-August-Universität Göttingen (ohne Universitätsmedizin Göttingen) – SQM-RiLi)***

## **1st Part – General Provisions**

### **Section 1 Intended utilisation**

(1) <sup>1</sup>The study quality resources shall be used in order to ensure and improve the quality of teaching and the study conditions. <sup>2</sup>In this context, they are to be used as a matter of priority in order to improve the care relationship between students and teaching staff, to offer additional tutorials and to improve the equipment of the libraries, as well as of the teaching and laboratory premises. <sup>3</sup>Insofar as additional teaching staff are funded from the study quality resources, they may only be appointed to perform such teaching tasks as supplement or expand the instruction offered for the courses of study; this teaching staff shall not be taken into account when calculating the instruction offered.

(2) <sup>1</sup>Since the study quality resources serve to compensate for the tuition fees, the utilisations lasting beyond the summer semester 2014 which were previously funded from tuition fees (ongoing activities) shall be funded from study quality resources until the end of the activities envisioned in the decision on utilisation, without the need for a separate decision on utilisation in accordance with the present Guideline. <sup>2</sup>This shall not apply

a) insofar as the tuition fees provided to fund the ongoing activity are still available,

b) insofar as study quality resources may not be used for the ongoing activity.

<sup>3</sup>The competent bodies may decide that and from what point in time an ongoing activity within the meaning of sentence 1 is no longer funded from study quality resources; if the end of the activity envisioned in the decision on utilisation takes place subsequent to this point in time, it must be proven, enclosing any further resolutions which may be necessary, from what other funding the ongoing activity is financed until the end of the activity.

(3) The details on utilisation are regulated in sections 8 and 11.

## **Section 2**

### **The principle of transparency**

The University shall make the utilisation of the study quality resources transparent such that it at least publishes the report which is to be submitted to the competent Ministry of Finance twice yearly on its Internet site.

## **Section 3**

### **Procedural principles**

(1) <sup>1</sup>Study quality resources shall be used to fund central activities in accordance with sections 8-10 and local activities in accordance with sections 11-13. <sup>2</sup>Activities from study quality resources may also be implemented by central facilities and faculties as joint activities.

(2) <sup>1</sup>When taking the decision on the implementation of activities, their cost-benefit ratios (efficiency of the activity) shall particularly be taken into account. <sup>2</sup>The anticipated costs and the anticipated benefits shall be shown in each case. <sup>3</sup>If an activity is to be carried out over several semesters, the proposal for utilisation is to be accompanied by a costs and funding plan. <sup>4</sup>If an ongoing activity is to be extended, the proposal for utilisation shall further be accompanied by information on achieving the ongoing activity, at least to the extent provided for in accordance with section 10 subsection (1).

(3) No final decision is to be taken on the implementation of investment in equipment the anticipated cost of which exceeds 100,000 Euro in material resources until an external expert statement has been made; this must make it recognisable what advantage lies in the acquisition for teaching.

(4) <sup>1</sup>Activities shall be implemented in the form that has been resolved on. <sup>2</sup>The funds stated in the resolution shall be allotted to the implementing facility to be expended appropriately and on time.

(5) <sup>1</sup>Should it not be possible to implement an activity in the form decided and with the allotted funds, or if the benefit anticipated to ensue from the activity on taking the resolution cannot be achieved due to a subsequent change in the framework conditions, the implementing facility shall notify this without delay vis-à-vis the central or local unit (section 5). <sup>2</sup>It shall be furthermore notified in so doing whether a minor change in this activity (modification), which may take place on a one-off basis in accordance with section 9 subsection (3) or section 12

subsection (4), can be considered, and if so for what reasons and to what extent.

(6) <sup>1</sup>Should it emerge once an activity has been implemented that the decision on utilisation was deviated from in the implementation of an activity without the implementing facility having notified this in accordance with subsection (5), or that the study quality resources were utilised contrary to the purpose, the allocation for the activity concerned shall be revoked by the Presidential Board in full or in part in light of the gravity of the breach; the implementing facility shall bear the separation risk. <sup>2</sup>The suspicion of a breach in accordance with sentence 1 shall be notified to the central unit.

## **Section 4**

### **Time-limiting of the activities**

(1) Activities which are implemented for the first time and which are not intrinsically one-off in nature (e.g. funding of equipment) shall be initially funded for a maximum of three (3) years.

(2) Activities which have already been implemented at least once and the benefit of which has been proven by means of an evaluation may be funded for up to five additional years in response to a renewed proposal.

(3) <sup>1</sup>An activity may be funded on an open-ended basis by way of exception insofar as and to the extent that it encompasses the recruitment of an individual in an open-ended employment relationship; the activity shall end in this case when the post becomes vacant. <sup>2</sup>Suitable quality indicators, such as public test lectures, shall be taken into consideration in the personnel selection decision. <sup>3</sup>The participation of a representation of the students to be nominated by the Study Quality Commission, or by the Study Commission, shall be guaranteed.

## **Section 5**

### **Utilisation proposals**

<sup>1</sup>Each member or body of the University may submit, by electronic means, proposals to the competent Dean of Studies or to the member of the Presidential Board who is competent for teaching and studies, as well as to a body designated by the latter (local or central body), for the utilisation of the study quality resources. <sup>2</sup>The competent Study Commission shall include these proposals in its deliberations. <sup>3</sup>Proposals which relate to central activities shall be forwarded by the Dean of Studies to the central unit; proposals related to local activities shall be forwarded by the central unit to the Dean of Studies of the competent faculty.

## **Section 6**

### **Distribution of funds**

(1) <sup>1</sup>The Presidential Board shall distribute in the framework of the economic and budget plans, in each case after deducting an administrative advance, 50 percent in the winter semester 2014/2015 and in the summer semester 2015, and 60 percent in the winter semester

2015/2016 and in the summer semester 2016, of the available study quality resources, subject to the proviso of the provisions contained in subsection (4), among the faculties (local study quality resources) for utilisation in the implementation of local activities. <sup>2</sup>The share accounted for by each faculty among the total amount assigned to the faculties (local study quality resources) in accordance with subsection (1) shall be determined by the share accounted for by a faculty among the total number of study cases of the courses of study the students of which are in a basic course of study or in a consecutive Master's course within the standard study period, plus one unit of four further semesters. <sup>3</sup>With regard to courses of study which contain separate subjects organised by different faculties (e.g. a two-subject Bachelor's course), the study cases shall be assigned among the faculties on a pro rata basis. <sup>4</sup>When calculating the shares of a faculty among the study quality resources, the shares shall be deducted from these shares to the extent of the teaching services provided within the competence of the Centre for Teacher Training (ZELB); this shall not entail a reduction in the assigned amount in accordance with sentence 1.

(2) <sup>1</sup>The Presidential Board shall distribute central study quality resources to the ZELB according to study cases to the extent of the shares of the teaching services provided within the competence of the ZELB in the context of the course of studies entitled "Master of Education" and of the teacher-training profile in the two-subject Bachelor's course of studies. <sup>2</sup>The provisions contained in subsection (1), sentence 2, shall apply to the calculation *mutatis mutandis*; the underlying amount shall be the amount of the study quality resources which the *Land* grants for each student. <sup>3</sup>Furthermore, the provisions regarding the utilisation of the local study quality resources shall apply to study quality resources that have been distributed to the ZELB; the ZELB shall correspond to a faculty in this respect, the Council of the ZELB shall correspond to a faculty council, and the Study Commission on Teacher Training shall correspond to a faculty Study Commission.

(3) <sup>1</sup>The numbers of students which the *Land* takes as a basis for the assignment per semester in accordance with the University's official statistics on students shall be material to the distribution in accordance with subsections (1) and (2). <sup>2</sup>If an advance payment is granted, the settlement shall be effected without delay on the basis of the actual number of students in accordance with sentence 1.

(4) <sup>1</sup>If a faculty or the ZELB is unable to prove within fifteen months of payment by the *Land* for the study quality resources distributed to it that these have either already been expended according to purpose or will undoubtedly be expended within two years of the payment by the *Land*, these funds shall be re-allocated to the central study quality resources on expiry of these fifteen months. <sup>2</sup>Sentence 1 shall apply *mutatis mutandis* to facilities which carry out a central activity.

## **Section 7**

### **Guidelines for utilisation; guarantee of implementation**

(1) The Presidential Board may establish guidelines for utilisation regarding the present Guideline in agreement with the Study Quality Commission, in particular regarding the admissibility of decisions on utilisation.

(2) The punctual adoption of a resolution on the utilisation of the study quality resources shall be guaranteed; in the event of a repeated or grievous breach, the Presidential Board may establish special implementation procedures for the responsible body.

## **Part II – Utilisation of central study quality resources; central activities**

### **Section 8**

#### **Definition of the central activities**

(1) Activities funded from central study quality resources (central activities) shall serve the purpose of safeguarding and improving the cross-faculty or cross-subject conditions for study, and shall safeguard and improve the quality of teaching.

- (2) Central activities within the meaning of subsection (1) shall be in particular
- a) safeguarding or improving the equipment of the central libraries, in particular improving the equipment with teaching materials, as well as extending the opening times,
  - b) safeguarding or improving the equipment in teaching and laboratory premises (including modernising and refurbishment),
  - c) early re-appointment to professorships, as well as the establishment of additional professorships, junior professorships or staff posts for teaching staff,
  - d) the establishment of additional learning and group workplaces and premises or the improvement of existing ones (including modernising and refurbishment), as well as the improvement of ways to access these,
  - e) activities for establishing or improving the infrastructure provided for students, in particular childcare and psychosocial advice,
  - f) improving the Career Service and improving the central student guidance service and the central information service for domestic and foreign students by appointing additional staff or by providing further training to existing staff,
  - g) improving the IT services available to the students (computer access, wireless network, notebook workplaces),
  - h) the range of didactical further training programmes for teaching staff,
  - i) additional services of university sport and improving the sports equipment,
  - j) model projects, as well as
  - k) prefunding of local activities.

(3) <sup>1</sup>Activities to additionally improve the conditions for study at faculty level shall also be deemed to constitute activities within the meaning of subsections (1) and (2). <sup>2</sup>The cost-benefit ratio and particular strains within the interdependence between teaching resources shall particularly be taken into account when deciding on these activities. <sup>3</sup>A statement by the competent Study Commission is to be submitted for activities in accordance with sentence 1, as well as for activities in accordance with subsection (1) where there is an organisational link with a faculty; insofar as a Study Commission is competent for several activities, it is to propose a ranking.

## **Section 9**

### **Decision on utilisation**

(1) <sup>1</sup>The Presidential Board shall decide in agreement with the Study Quality Commission on the utilisation of the central study quality resources, once the Senate has made a statement. <sup>2</sup>If the Senate does not favour the utilisation of study quality resources for an activity that has been adopted by the Study Quality Commission, the Study Quality Commission must adopt a resolution once more regarding its decision on utilisation before the Presidential Board decides.

(2) The total amount of activities with open-ended funding is not to exceed ten percent of the budget item "University management and administration" in the economic plan and 50 percent of the amount which is left over at central level after deduction of the share of the assignment in accordance with section 6 subsection (1); the separation risk shall be borne by the University.

(3) <sup>1</sup>A permissible modification shall be deemed to exist if, for factual reasons,

- a) the expenditure of the study quality resources cannot take place until up to three months later and the implementing facility is not responsible therefor,
- b) in case of material resources, a cost increase takes place by a maximum of 5 % of the amount of the approved study quality resources or by a maximum of 500 Euro,
- c) the activity is to be only slightly modified for other reasons; the thresholds in accordance with (a) and (b) may also not be exceeded in this case.

<sup>2</sup>The decision as to whether a permissible modification exists shall be taken in cases falling under sentence 1 (a) and (b) by the staff unit on controlling, and by the central body in cases falling under sentence 1 (c). <sup>3</sup>The central body shall consist of two members of the Study Quality Commission, who shall be nominated by the latter for a term of two years, of one member of the university lecturers or staff group, who shall be nominated by the Senate for a term of two years, as well as of a further individual who shall be nominated by the Presidential Board; deputies are to be nominated at the same time. <sup>4</sup>Decisions of the central body shall require unanimity. <sup>5</sup>The determination of section 6 subsection (4), sentence 2, shall remain unaffected by a decision in accordance with sentence 2. <sup>6</sup>If there is no permissible modification, and if the activity cannot be implemented without a modification, the activity shall be deemed to have been terminated.

## **Section 10**

### **Evaluation, obligation to report**

(1) <sup>1</sup>The evaluation of central activities shall be regulated by the Presidential Board once the Study Quality Commission has made a statement. <sup>2</sup>The nature and extent of the intended evaluation shall be established in advance for each type of activity to be implemented.

(2) The Presidential Board shall submit to the Senate and to the Council of Deans of Studies an annual overview of the utilisation of the central study quality resources.

## **Part III – Utilisation of local study quality resources; local activities**

### **Section 11**

#### **Definition of local activities**

(1) Local activities shall serve to secure and improve the quality of teaching and the conditions for study that relate to courses of study.

(2) Activities within the meaning of subsection (1) shall be in particular

- a) improving the care relationship between students and teaching staff, as well as expanding or adding to the teaching needed for the course of study, in particular by funding the early re-occupation of professorships and the establishment of additional professorships, junior professorships or staff posts for teaching staff,
- b) the provision of tutorial and mentoring programmes,
- c) safeguarding or improving the equipment of the decentralised libraries, in particular improving the provision of teaching materials, as well as extending the opening hours,
- d) safeguarding or improving the equipment of teaching and laboratory premises (including modernisation and refurbishment),
- e) establishing additional learning and group workplaces and premises or improving existing ones (including modernisation and refurbishment), as well as improving the access available to these,
- f) acquiring subject-related equipment for teaching over and above the necessary basic needs,
- g) improving subject-related study advice, local career advice, and the central information service for domestic and foreign students, as well as improving support for students, e.g. when looking for internships, in each case by appointing additional staff and providing further training to existing staff,
- h) subsidies towards and the organisation of excursions,
- i) the organisation and funding of additional practice lectures.

### **Section 12**

#### **Decision**

(1) <sup>1</sup>The Presidential Board shall decide on the utilisation of the local study quality resources in agreement with the Study Commission, once the Faculty Council has made a statement. <sup>2</sup>If the Faculty Council does not favour the utilisation of study quality resources for an activity adopted by the Study Commission, the Study Commission must take a renewed resolution regarding its decision on utilisation before the Presidential Board decides. <sup>3</sup>The faculty which offers the class shall be competent for an activity that is related to a class.

(2) <sup>1</sup>If a faculty (offering faculty) offers an activity exclusively for another faculty (accepting faculty), and if the activity is funded from study quality resources of the accepting faculty, the Presidential Board shall decide in agreement with the Study Commission of the accepting faculty, once the faculty council of the accepting faculty has made a statement. <sup>2</sup>The decision in accordance with sentence 1 shall additionally require the consent of the Dean of Studies of the offering faculty.

(3) <sup>1</sup>The total amount of activities with open-ended funding may not exceed ten percent of the respective faculty budget and 50 percent of the respective amount allocated in accordance with section 6 subsection (1); the separation risk shall be borne by the faculty. <sup>2</sup>The share of the new open-ended activities per semester is not to exceed four percent of the local study quality resources of a semester. <sup>3</sup>The budget rules shall apply mutatis mutandis in other respects.

(4) <sup>1</sup>A permissible modification shall be deemed to exist if, for factual reasons,

a) the expenditure of the study quality resources cannot take place until up to three months later, and the implementing facility is not responsible therefor,

b) with material resources a cost increase by a maximum of 5 % of the amount of the approved study quality resources or by a maximum of 500 Euro takes place, and/or

c) the activity is to be slightly altered for other reasons; the thresholds in accordance with (a) and (b) may also not be exceeded in such cases.

<sup>2</sup>The decision as to whether a permissible modification exists shall be taken in the case of sentence 1 (a) and (b) by the unit that is competent in the faculty for the administration of the study quality resources, in cases falling under sentence 1 (c) by the faculty body. <sup>3</sup>The faculty body shall be composed of three members of the Study Commission, including at least one member of the university lecturers' or staff group, who shall be nominated by the latter for a term of two years, as well as of another individual who shall be nominated by the Presidential Board; deputies are to be nominated at the same time. <sup>4</sup>Decisions of the faculty body shall require unanimity. <sup>5</sup>The provision contained in section 6 subsection (4), sentence 1, shall remain unaffected by a decision in accordance with sentence 2. <sup>6</sup>If there is no permissible modification, and if the activity cannot be implemented without a modification, the activity shall be deemed to be terminated. <sup>7</sup>The staff unit on controlling shall be notified without delay of decisions within the meaning of sentences 1 and 2; the documents underlying the decision shall be made available to it.

### **Section 13**

#### **Evaluation, obligation to report**

(1) <sup>1</sup>The evaluation of local activities shall be regulated by the Presidential Board once the respective Study Commission has made a statement. <sup>2</sup>The nature and extent of the intended evaluation shall be established in advance for each type of activity to be implemented.

(2) The Deans of Studies shall submit to the Presidential Board and to the Senate an annual overview of the utilisation of the local study quality resources.

## **Part IV – Final provision**

### **Section 14**

#### **Coming into force**

The present Guideline shall come into force on the day after its publication in the Official Announcements I (*Amtliche Mitteilungen I*), of the Georg August University of Göttingen.

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