

According to § 1 of the Statutes of Hochschule Geisenheim University regulating the promulgation of statutes of January 23, 2013 (StAnz. 10/2013 of March 4, 2013, p. 394/395) the first amendment of the

Statutes on the Qualification Assessment for Qualifying Professorships with a Development Commitment (so-called Tenure-Track Professorships)

is published herewith.

Based on § 64 in conjunction with § 36 Section 2 of the Hessian Higher Education Act (Hessisches Hochschulgesetz, HHG) in its version of December 14, 2009 (GVBl. I p. 666), last amended by art. 2 of the act of December 18, 2017 (GVBl. p. 482) and the constitution of Hochschule Geisenheim University, the Academic Senate of Hochschule Geisenheim University adopted these statutes on February 11, 2020.

The President's Council of Hochschule Geisenheim University approved these statutes on February 12, 2020.

Tabular Overview of the Version Information

	Adopted	Approved	Effective as of
Statutes established	Senate: Nov. 27, 2018	President's Council: Nov. 30, 2018	November 30, 2018
1 st Amendment	Senate: Feb. 11, 2020	President's Council: Feb. 12, 2020	March 1, 2020

Please note: This is a translation of the German "Statutes on the Qualification Assessment for Qualifying Professorships with a Development Commitment" and is not legally ratified. It is offered solely as an aid to understanding. The German version remains the only official and legally binding version.

Table of Contents

Preamble	3
I. General Matters	3
§ 1 – Scope of Application	3
§ 2 – General Principles	3
§ 3 – Appointment Procedure	4
II. The Qualification Assessment Procedure	4
§ 4 – Parties to the Procedure	4
§ 5 – Tenure-Track Committee	5
§ 6 – External Experts	6
§ 7 – Optional Mentoring	6
§ 8 – Procedure	7
§ 9 – Target Agreement Applying to the Qualification Phase	7
§ 10 – Annual Development Talks	8
§ 11 – Interim Evaluation	8
§ 12 – Final Evaluation	9
§ 13 – Assessment of Qualification	10
§ 14 – Joint Tenure-Track Appointments with Non-University Institutions	11
§ 15 – Managing a Junior Research Group	11
§ 16 – Exceptions	12
III. Entry into Force	12

Preamble

Hochschule Geisenheim University has deliberately made the decision to promote highly qualified scientists in order to provide them long-term and reliable career perspectives. The aim is to make career paths at Hochschule Geisenheim University more plannable and transparent for junior scientists. For this purpose, Hochschule Geisenheim University has established qualifying professorships with a development commitment (so-called tenure-track professorships) which, as stipulated in these statutes, will allow candidates with a positive final evaluation to advance to a permanent professorship within a higher pay group after a 6-year qualification period (“W1 Tenure-Track to W2” and “W2 Tenure-Track to W3”).

All structures, procedures and quality standards applying to tenure-track professorships have been comprised in a quality-assured evaluation procedure stipulated in these statutes. Both appointments and evaluations follow a transparent quality-assured and plannable procedure.

I. General Matters

§ 1 – Scope of Application

These statutes shall apply to all professors of Hochschule Geisenheim University who have been appointed based on § 64 HHG and who hold a qualifying professorship with a development commitment (so-called tenure-track professorship). In the following, they will be referred to as tenure-track professors.

§ 2 – General Principles

- (1) During their qualification phase, tenure-track professors shall be employed under a limited civil service appointment of a maximum of 6 years or a respective fixed-term contract.
- (2) Based on these statutes, a quality-assured evaluation procedure will be applied to assess the qualification of a tenure-track professor in the fields of research and knowledge transfer, academic teaching, academic administrative autonomy and commitment as well as social and leadership skills. Also external scientists shall be involved in this procedure. Please see Appendix 2 for the evaluation criteria to be applied to the evaluation categories mentioned under (1) above.

- (3) After a positive final evaluation and assessment of qualification, the temporary civil service status shall be converted into a lifetime status if the requirements under civil service law are met. This also applies when converting a fixed-term employment contract into a permanent one.

§ 3 – Appointment Procedure

- (1) Awarding a tenure-track professorship according to § 64 HHG is based on the Appointment Guidelines of Hochschule Geisenheim University in their current version, unless otherwise stipulated in these statutes.
- (2) Before calling for applications for a tenure-track professorship, it shall be determined by a resolution of the President's Council that in case of a positive final evaluation the professorship shall become a tenured professorship and shall advance to a higher salary grade.
- (3) Referring to these statutes, the procedure for qualification assessment (tenure-track procedure) shall be mentioned in the text of the call. In general, calls for applications are placed in suitable national and international media in German and English.

II. The Qualification Assessment Procedure

§ 4 – Parties to the Procedure

Besides the tenure-track professor, the following positions and committees are involved in the qualification assessment procedure:

1. The President's Council of Hochschule Geisenheim University – university management and decision-making body
2. The Head of the Department which the professorship has been assigned to – peer support in the development processes during the qualification period
3. The Head of the Division in which the major part of classes are to be taught – peer support in the development process during the qualification period
4. The Committee for Studying and Teaching as well as the Committee for Research & Development – statements in connection with the evaluations
5. The Tenure-Track Committee (§ 5) – body assuring quality standards and controlling the tenure-track procedure
6. The external experts (§ 6) – external qualification assessment

7. Optional mentoring (§ 7) – supporting and advising the tenure-track professor, if requested.

§ 5 – Tenure-Track Committee

- (1) In order to ensure cross-university quality standards, the President's Council shall appoint a committee after consultation with the Academic Senate. Committee members must not have any personal relationships with the tenure-track professors as provided by the *Guidelines of Hochschule Geisenheim University for Avoiding Conflicts of Interest*. Where there is evidence of a conflict of interest of a committee member, the President's Council shall appoint a substitute for the respective qualification assessment procedure. In case of early resignation of a member, a replacement shall be elected by the President's Council for the remaining period of time.
- (2) It is the duty of the Tenure Track Committee to recognize the tenure-track professor's achievements and to give a recommendation to the President's Council regarding qualification assessment. The criteria defined in the Target Agreement are an essential benchmark for qualification assessment. All assessment criteria shall be taken into consideration. In addition, the committee shall provide a statement as to the sufficiency of both the technical and pedagogical competences required for a permanent professorship.
- (3) The committee consists of 3 members of the group of professors, one member of the group of academic and scientific staff and one member of the student body. In this connection, it is tried to achieve equal participation of both genders as far as possible. In addition, the women's and equal opportunities representative and, if required, the representative body for severely disabled employees will participate as advisory members. A substitute shall be appointed for each member entitled to vote. The members of the group of professors and of the group of academic and scientific staff shall be appointed for a term of four years, the members of the student body for one year.
- (4) The President's Council shall appoint a voting member as chairperson for the respective evaluation procedure.
- (5) For each of the evaluation procedures, the President's Council can also appoint a scientists working in a related field as an advisory committee member. These scientists can either be staff members of Hochschule Geisenheim University or of any other university or research institution in Germany or abroad.

- (6) The President's Council can also appoint already retired professors as members of the Tenure-Track Committee. They can either be former staff members of Hochschule Geisenheim University or of any other university or research institution.
- (7) A member of the President's Council or any other person authorized by it can participate in the Tenure-Track Committee meetings as advisory member.
- (8) When the Tenure Track Committee is established for the first time, its members can be appointed for staggered terms (e.g. the first member for two years, the second member for four years).

§ 6 – External Experts

- (1) In order to assess the tenure-track professor's self-evaluation report, the Tenure-Track Committee shall obtain written expert opinions from internationally renowned scientists. If it seems to be appropriate in terms of the technical profile of the tenure-track professorship, also foreign experts shall be involved.
- (2) Experts must not have any personal relationships with the tenure-track professors as provided by the *Guidelines of Hochschule Geisenheim University for Avoiding Conflicts of Interest*. Experts' written opinions shall be based on these statutes, the verified self-evaluation report as well as the relevant criteria for writing their reports. They will be provided with these documents beforehand.

§ 7 – Optional Mentoring

- (1) During their qualification phase, tenure-track professors have the option to take advantage of a mentoring program on a voluntary basis which means it will not be considered in the evaluations. The independence and confidentiality referring to this mentoring relationship shall be maintained at any time, even after the end of the qualification phase.
- (2) The mentor shall provide guidance and support to the tenure-track professor in order to reach the agreed targets and to assist and advise him/her in their preparation for taking on an academic leadership position.
- (3) If requested by the tenure-track professor, mentors can give their comments within the scope of the annual development talks (§ 10 Section 1).

§ 8 – Procedure

The procedure for the qualification assessment of tenure-track professorships comprises the following steps (see table in Appendix 1):

1. Target Agreement (§ 9)
2. Annual development talks (§ 10)
3. Interim evaluation based on the self-evaluation report, the external expert opinion and the evaluation of the Tenure-Track Committee which serves as a guideline for the statements given by the Committee for Research & Development and the Committee for Studying and Teaching. This step is finalized with the interim report by the Tenure-Track Committee stating the progress made by the candidate (§ 11)
4. Final evaluation based on the self-evaluation report, the external expert opinions and the evaluation of the Tenure-Track Committee which serves as a guideline for the statements given by the Committee for Research & Development and the Committee for Studying and Teaching. This step is completed with the final evaluation report and a recommendation given by the Tenure-Track Committee for qualification assessment (§ 12).
5. Qualification assessment by the President's Council (§ 13).

§ 9 – Target Agreement Applying to the Qualification Phase

- (1) The President's Council shall make an agreement with the tenure-track professor on targets to be reached during the qualification phase according to the sample agreement in Appendix 3.
- (2) This agreement shall specify general and individual as well as specific and measurable targets required for reaching the qualification level of the next higher salary grade in the following evaluation categories:
 - research and knowledge transfer
 - academic teaching
 - academic administrative autonomy and commitment
 - social and leadership skills.

The targets shall be defined and agreed by the President's Council after having consulted the Head of Department and the Head of Division. Respective negotiations regarding the targets to be reached in each of the evaluation categories shall be negotiated between the President and the tenure-track professor.

- (3) This Target Agreement is considered as a benchmark for reviewing the progress made by the candidate within the scope of the interim evaluation as well as for qualification assessment in the final evaluation.

§ 10 – Annual Development Talks

- (1) During the qualification period, annual development talks based on the agreed targets shall take place between the tenure-track professor and, if required, the Head of Department, the Head of Division, members of the President's Council and the President. Upon the request of the tenure-track professor, additional participants relevant to the tenure-track professorship due to their function, can be invited to the talks (e.g. a mentor or representative body).
- (2) It is the aim of these talks to coach and support the tenure-track professor in his/her progress as well as to talk about obstacles to targets that have not been reached or that cannot (can no longer) be reached and to agree on respective measures to be taken. In addition, it should also be talked about possible plans for individual training and advanced education.
- (3) The contents and results of the talks according section 2 shall be documented, and, if necessary, third parties that need to be involved for implementing the measures defined under section 2 be informed. The tenure-track professor can attach the documentations to his/her self-assessment report.

§ 11 – Interim Evaluation

- (1) The interim evaluation is used for orientation in order to make a forecast as to which extent the tenure-track professor is successful in his/her progress towards reaching the targets defined in the target agreement.
- (2) The interim evaluation will be initiated three years after starting employment by the tenure-track professor by submitting a self-evaluation report prepared according to the specifications defined in Appendix 4 (if required, in English) to the Tenure-Track Committee in due time. The report shall be supplemented by a written declaration verifying that the principles stipulated in the "Statutes for Ensuring Good Scientific Practice at Hochschule Geisenheim University" in their current version have been complied with.
- (3) The deadline for receipt of the final self-assessment report by the Tenure-Track Committee is four weeks prior to completion of the third year of employment. Exceptions according § 16 Section 3 shall be considered.
- (4) The Tenure-Track Committee shall review the submitted self-evaluation report for completeness and plausibility. In order to assess the tenure-track professor's self-evaluation report, a written expert opinion from internationally renowned scientists according § 6 shall be obtained. Based on the reviewed self-evaluation report and the expert opinion the Tenure-Track Committee shall then prepare a temporary interim evaluation report.

- (5) When requested by the Tenure-Track Committee, the Committee for Studying and Teaching and the Committee for Research & Development shall provide their statements on the qualification progress made by the tenure-track professor, based on the target agreement and the temporary evaluation report.
- (6) The women's and equal opportunities representative and, if required, the representative body for severely disabled employees shall receive the interim evaluation report and can submit a written comment on this within a period of two weeks.
- (7) After having received the statements of the Committee for Studying and Teaching and the Committee for Research & Development and, if appropriate, those of the women's and equal opportunities representative as well as the representative body for severely disabled employees, the Tenure-Track Committee shall give a recommendation for qualification assessment to the President's Council.
- (8) The President's Council shall inform the tenure-track professor about the results of the interim evaluation. In case of a negative interim evaluation, the tenure-track professor, the President, the Head of Department and the Head of Division will then have joint talks to discuss appropriate measures to be taken in the second part of the qualification phase.
- (9) The entire procedure of assessing the qualification progress shall be finalized within a period of three months from the day the self-evaluation report has been submitted.

§ 12 – Final Evaluation

- (1) One year prior to the expiry of the limited civil service appointment or the fixed-term employment contract at the latest, the qualification assessment procedure based on a final evaluation will be initiated by the tenure-track professor by submitting his/her self-evaluation report prepared according to the requirements defined in Appendix 4 to the Tenure-Track Committee in due time. The report shall be supplemented by a written declaration verifying that the principles stipulated in the "Statutes for Ensuring Good Scientific Practice at Hochschule Geisenheim University" in their current version have been complied with.
- (2) The Tenure-Track Committee shall review the submitted self-evaluation report for completeness and plausibility. In order to assess the tenure-track professor's self-evaluation report, two written expert opinions from internationally renowned scientists according § 6 shall be obtained. Based on the reviewed self-evaluation report and the expert opinions, the Tenure-Track Committee shall then prepare a temporary final evaluation report, taking also the target agreement into consideration.

- (3) When requested by the Tenure-Track Committee, the Committee for Studying and Teaching and the Committee for Research & Development shall provide their statements on the issue of the tenure-track professor's qualification, based on the target agreement and the temporary final evaluation report
- (4) The women's and equal opportunities representative and, if required, the representative body for severely disabled employees shall be informed about the intended statements and the measures recommended and can submit a written comment on this within a period of two weeks.
- (5) After having received the statements of the Committee for Studying and Teaching and the Committee for Research & Development and, if appropriate, those of the women's and equal opportunities representative as well as the representative body for severely disabled employees, the Tenure-Track Committee shall review whether the agreed targets have been reached and shall give a recommendation for qualification to the President's Council.

§ 13 – Assessment of Qualification

- (1) After completed final evaluation, the final assessment of qualification of the tenure-track professor shall be executed by the President's Council based on all documents provided during the procedure. The President's Council shall then inform the tenure-track professor in writing about the decision and give respective reasons.
- (2) After a successful final evaluation and assessment of qualification and upon expiry of the fixed-term contract, the limited employment status will be converted into a lifetime status with the tenure-track professor's consent. He/she will then be awarded a permanent professorship within a higher pay group. If the requirements under civil service law are met, he/she will be appointed to civil servant for life. Respective appointment negotiations shall be held with the President.
- (3) If, within the scope of the final evaluation according § 12, the required qualifications in the categories of research and knowledge transfer, academic teaching, academic administrative autonomy and commitment could not be assessed and the candidate could not provide evidence of social and leadership skills and good conduct according to laws and regulations for public officials, the temporary civil service appointment or the fixed-term employment contract can be extended by up to one year according § 64 Section 4 Sentence 6 HHG upon the tenure-track professor's request.

During this bridging year, the tenure-track professor shall be offered support and advice when looking for advanced education programs and/or new career options according to his/her preferences, qualifications and competences.

§ 14 – Joint Tenure-Track Appointments with Non-University Institutions

- (1) In case of joint tenure-track appointments with non-university institutions, especially under the secondary employment model (Karlsruher Modell), the non-university research institution reserves the right to appoint two members of its executive circle to participate in the appointment commission as well as the tenure-track commission. Together with the staff members of Hochschule Geisenheim University they will take part in all meetings of the respective commission as voting members.
- (2) In agreement with the non-university research institution, the technical specifications defined in the call for applications shall be submitted to the President's Council by the Head of Department and the Head of Division together with the application for opening of the position.
- (3) Details shall be stipulated in a cooperation agreement with the non-university research institution.

§ 15 – Managing a Junior Research Group

- (1) If a candidate, when being appointed to a tenure-track professorship, can already demonstrate sufficient academic qualifications, such as the head of an externally assessed junior research group (e.g. Emmy Noether Program, ERC Starting Grant and other programs with highly competitive selection procedures) or as a junior professor, the President's Council, on request of the appointment committee, can decide to shorten the qualification period leading to the final evaluation by up to two years.
- (2) The decision on whether to shorten the qualification phase shall be made in the qualification negotiations. In each individual case it shall be reviewed whether the respective prerequisites in the fields of research and knowledge transfer, academic teaching, academic administrative autonomy and commitment as well as social and leadership skills are given.

§ 16 – Exceptions

- (1) An evaluation procedure according § 64 Section 2 Sentence 2 HHG may be waived in justified individual cases if another university has offered a professorship.

The President's Council shall inform and request the Tenure-Track Committee to initiate the evaluation procedure according § 12 of these statutes if negotiations about a permanent employment are to be held with the tenure-track professor.

- (2) If a candidate demonstrates outstanding scientific achievements, the President's Council can shorten the qualification period in justified individual cases after the final evaluation procedure according §§ 12, 13 has been completed.
- (3) In case of childbirth, adoption of a child or placement of a foster child in the household with the aim of adopting the child during the qualification period, an extension may be granted on request within the limits of legal possibilities by one year per child, the maximum, however, being a total of two years. Upon substantiated request by the tenure-track professor, the maximum allowed term of employment can, for documented reasons (e.g. care of family members), be extended by a maximum of the time that, according to legal provisions (Hessian Civil Service Act or Home Care Leave Act), would entitle to leave of absence or release from work.

III. Entry into Force

These statutes shall be effective as of March 1, 2020.

signed
Prof. Dr. Hans Reiner Schultz
President of Hochschule Geisenheim
University

Entered into force on March 1, 20

Appendix 1: Recommended Schedule according § 8 of these Statutes

Term of Employment of the Tenure-Track-Professorship (TTP)	Procedure Steps	Responsible Person/Body
Start of employment	Target agreement	President's Council
1 year	Development talks	TTP, Head of Department and Head of Division
2 years	Development talks	TTP, Head of Department and Head of Division
2 years, 11 months	Interim evaluation procedure initiated: Application by TTP by submitting self-evaluation report	Tenure-Track Professorship
3 years, 1 month	Report verified for completeness and plausibility and external expert opinion obtained	Tenure-Track Committee
3 years, 2 months	Temporary interim evaluation report created and forwarded to the Committee for Studying and Teaching and the Committee for Research & Development as well as the women's and equal opportunities representative and the representative body for severely disabled employees requesting their written comments within 14 days	Tenure-Track Committee
	Interim evaluation report and statements forwarded to the President's Council in preparation of the talk with the TTP	Tenure-Track-Committee
3 years, 3 months	Interim evaluation talk with TTP	President, Head of Department and Head of Division

Publication Number 01/20

4 years	Development talk	TTP, Head of Department and Head of Division
5 years	Development talk	TTP, Head of Department and Head of Division
5 years	Final evaluation procedure initiated: Application by TTP by submitting self-evaluation report	Tenure-Track Professorship
5 years, 1 month	Report verified for completeness and plausibility and external expert opinions obtained	Tenure-Track Committee
5 years, 5 months	Temporary final evaluation report created and forwarded to the Committee for Studying and Teaching and the Committee for Research & Development as well as the women's and equal opportunities representative and the representative body for severely disabled employees requesting their written comments within 14 days	Tenure-Track Committee
5 years, 6 months	Interim evaluation report and statements forwarded to the President's Council with a recommendation for qualification or rejection	Tenure-Track Committee
5 years, 7 months	Decision made and resolution passed by the President's Council	President's Council
5 years, 8 months	Appointment negotiations or, in case of a negative evaluation, final talk held with the tenure-track professor	President, TTP

Appendix 2: Evaluation Criteria according § 2 Section 2 of these Statutes

The defined criteria are used for all performance evaluations, from the mid-level academic career to the highest level. The denomination and requirements of the professorship and the personal circumstances of the professor (parental leave, care of family members, etc.) must be given due consideration during application.

The selected evaluation criteria are not to be changed in the course of an ongoing process. This assessment is supported by the teaching evaluations of Hochschule Geisenheim University and by the willingness to participate in further education in the didactic field. In exceptional cases, fixed weightings and the level of proficiency may be adjusted accordingly.

The following evaluation criteria are used in the evaluation categories:

Research and Knowledge Transfer

- Appropriate research strategy in the interest of the university development plan
- Significance of scientific work in national/international comparison
- Publications: monographs, book contributions, peer-reviewed articles and conference papers
- National and international reputation
- Acquired third-party funding
- Encouragement of young academics (successful supervision of PhD and postdoctoral students)
- Scientific development potential in national/international comparison
- Transfer activities (business, administration, politics) or cooperation with business practice
- Publications and lectures for target groups outside the scientific community
- Scientific cooperations with other university and non-university research institutions, international cooperations

Academic Teaching

- Appropriate teaching strategy (development and introduction of new teaching content, didactic concepts or formats)
- Conception and implementation of various types of courses (lectures, seminars, practical exercises, etc.)
- Quality of teaching activities
- Carrying out of courses in English or German language or international teaching
- Supervision of bachelor's and master's degree theses
- Final exams and module tests
- Participation in university didactic training and further education courses

Academic Administrative Autonomy and Commitment

- Management and participation in university internal commissions, committees, bodies (academic senate, appointment commissions, examination committees, accreditation commission, tenure-track committee etc.)
- Taking over functions and active cooperation in the university management (as head of department, head of division, head of degree program or in university development projects)
- Serving as internal university commissioners (ombudsperson, women's and equal opportunities representative, evaluation representative, German scholarship representative), special commitment to foreign students, etc.).
- Specialist and scientific contribution to the development planning and strategy of the department/divisions (e.g. member of the Committee for Research and Development or the Committee for Studying and Teaching)
- Active development of (corporate/institutional) cooperation network
- Participation in further education courses offered by the Graduate School (support of PhD students)
- Active participation in school partnerships, summer schools, Girls Days (promotion of students for MINT subjects)
- Responsible cooperation in institutions and foundations for the promotion of science and institutions for research promotion (DAAD, DFG, PROMOS, ERASMUS etc.)
- Assessor and reviewer activities

- Editorship of scientific journals with peer-review procedure
- Membership in academies and scientific advisory and support committees
- Management and participation in (inter-) national commissions and committees
- Responsible participation in important specialist committees, relevant professional associations or professional representations
- Contributions to policy advice and membership of political advisory bodies

Social and Leadership Skills

- Participation in internal and external training courses in leadership or interdisciplinary competences (e.g. annual appraisals, criticism and conflict management skills, self-reflection, positive leadership, etc.)
- Leadership tasks
- Voluntary work or committee functions with benefits for the university and university development
- Ability to work in a team

Appendix 3: Target Agreement according § 9 Section 1 of these Statutes

Target Agreement –Tenure-Track Professorship

Appendix 4: Self-Evaluation Report according § 11 Section 2 and § 12 Section 1 of these Statutes

Self-Evaluation Report Tenure-Track Professorship (template)