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## **Bylaws for the Implementation of Interim Evaluations and Tenure Evaluations for Junior Professorships at Universität Hamburg**

**dated 7 June 2018**

The Academic Senate at Universität Hamburg adopted the following Bylaws in accordance with Section 85 subsection 1 no.1 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 18 July 2001 (HmbGVBl. p. 171) last amended by law on 29 May 2018 (HmbGVBl. p. 200) in conjunction with Section 19 subsection 1 sentence 2 and Section 14 subsection 6 no. 3 HmbHG.

### **Section 1**

#### **Integration and mentoring**

(1) For the University, developing and fostering early career researchers is at the center of its strategic activities. In order to ensure this, further attendant measures are envisaged, especially in the initial phase of the junior professorship, in addition to the associated measures offered by HR Development.

(2) The relevant office of the dean shall be responsible for integrating junior professors quickly into the faculty. At the request of the junior professor, the relevant office of the dean shall appoint an experienced colleague as a mentor. This person should meet regularly with the junior professor, particularly in the early stages. The mentor is not permitted to be a member of the Interim Evaluation and Tenure Evaluation Committee.

(3) The dean or the department spokesperson shall conduct periodic status discussions with the junior professor in order to be able to provide early feedback on performance related to the denomination of the professorship. A feedback discussion must be conducted subsequent to the interim evaluation. This must be documented and must also include information about what is expected of the junior professor in order to receive a positive evaluation for tenure.

### **Section 2**

#### **General procedure**

(1) The faculty to which the junior professor is assigned shall carry out the interim and the tenure evaluations. The responsible faculty council shall set up a committee to carry out the respective evaluations (Interim Evaluation Committee / Tenure Evaluation Committee) upon the recommendation of the office of the dean. The committee shall consist of representatives from the groups listed in Section 10

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subsection 1 nos. 1–3 of HmbHG. The faculty council shall decide whether a member of the technical, library and administrative staff (TVP) shall sit on the committee in an advisory capacity. Professors must have an absolute majority of the seats and votes in the committee. The faculty's equal opportunity representative has the right to attend committee meetings in an advisory capacity.

(2) The procedure will be initiated nine months before the end of the third year of the junior professorship (interim evaluation) or twelve months before the end of the last year of the junior professorship (tenure evaluation). The office of the dean shall invite the junior professor to request an evaluation and submit a personal report. If the junior professor forgoes the request, no evaluation will be carried out and the professorship will end at the end of the third or sixth year of service, respectively.

(3) The office of the dean is responsible for ensuring that procedures at the faculty level are conducted properly and that any recommendation is submitted to the Executive University Board in a timely fashion. The respective evaluation committee shall make a recommendation regarding the extension of the employment relationship or the offer of a tenured professorship appointment. The faculty council provides an opinion, as may the office of the dean. The recommendation must be accompanied with a committee report together with the minutes, the personal report, assessments, faculty council comment, and other documents, where appropriate. The Executive University Board submits these documents Universität Hamburg Tenure Commission for review.

(4) If a University W2 or W3 appointment is received in the second phase of the junior professorship, the tenure evaluation procedure may be commenced early. In this case, individual elements of the procedure (e.g., presentation, obtaining assessments) may be dispensed with by agreement between the office of the dean and the Executive University Board.

### **Section 3**

#### **Universität Hamburg Tenure Commission**

A standing commission will be established for tenure track procedures. In agreement with the Executive University Board, each faculty (except for MED) shall appoint a member of the group of university teachers to the Universität Hamburg Tenure Commission. The Executive University Board may appoint seven additional members to the Commission. The Commission members shall elect one additional member as its chair. The Universität Hamburg Tenure Commission shall advise the Executive University Board on the evaluation of applications submitted by the faculties within the scope of tenure evaluations, in particular with regard to compliance with uniform

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quality standards. Uniform evaluation standards should be observed, while taking into account the respective department and faculty cultures. The Commission shall present the Executive University Board with a recommendation. Based on its experience, the Commission may submit proposals for the continuous improvement of the tenure evaluation procedure.

## **Section 4**

### **Evaluation criteria for interim and tenure evaluations**

Evaluation procedures are based on the following criteria:

- (a) Quality of research, demonstrated in particular by publications and lecture activities, acquisition of third-party funded projects, and the potential to stimulate new research ideas, practices or approaches at the University;
- (b) Quality of teaching, demonstrated in particular by teaching activities, supervision of dissertations and doctorates, continuing education courses taken in higher education didactics, and the potential to stimulate new teaching practices or approaches at the University;
- (c) Quality of other activities, in particular activities of international caliber, social responsibility, active academic autonomy or active involvement within the academic and scientific community, and leadership and interpersonal skills.

## **Section 5**

### **Junior professor reports**

Within the scope of critical self-evaluation, the junior professor should document his or her achievements and report on further future goals in research and teaching. The report may also include any setbacks and obstacles (in particular within the scope of the interim evaluation). The following information should be included:

#### **a) Research**

- specify and provide a brief explanation of the most important research topics; further plans for research;
- status of research
- publications during the reporting period
- working groups and research cooperation
- third-party funding applications and third-party funding raised during the reporting period

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- awards and prizes during the reporting period
- supervision of doctorates or activities for the promotion of early career researchers
- transfer activities; cooperation with fields of practice
- contemplation of social responsibility

#### b) Teaching

- a short explanation of the integration into the degree program(s)
- a list of the courses given and brief descriptions of course contents
- Development of student participation in courses
- student course evaluations (if available)
- explanation of teaching methods, applied didactics and methodology, and use of new media
- advice and supervision of students
- supervision of theses and dissertations
- involvement in examinations
- continuing education in university didactics
- strategic teaching concepts
- contemplation of social responsibility

#### c) Other activities

- in academic self-governance
- activities as a publisher, editor, critic, or peer reviewer for academic or scientific journals and publications
- reviewer, *inter alia*, for the German Research Foundation (Deutsche Forschungsgemeinschaft, DFG)
- memberships in academic and scientific committees and activities in the academic and scientific communities

#### d) Tenure evaluation: additional requirements

- leadership and interpersonal skills (proof of management experience, e.g., management of working groups, conducting internal/external training courses)
- teaching and research concepts for the future professorship

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## **Section 6**

### **Further procedure in the interim evaluation**

(1) In order to assess the performance of the junior professor, the Interim Evaluation Committee shall commission two external assessments, one of which should come from outside of the country. There should be a balanced ratio of male and female evaluators. The evaluators must be established professors in their respective fields from different universities or hold an equivalent position in a foreign country.

(2) Assessment will be based on the junior professor's personal report and these Bylaws. The evaluators are to primarily assess the research activities of the junior professor. The evaluators will be provided with a guide containing questions. In particular, the following key questions are to be answered in the assessments:

- What qualitative contribution does the junior professor's research make to the development of the respective specialized field?
- How does the assessment of the junior professor's performance measure up in a national and international comparison?
- How should the relevance and feasibility of the scientific projects for the fourth to sixth year of the junior professorship be assessed and what is the resulting perspective assessment for a future appointment?
- Do the research approaches demonstrate any need for improvement?

(3) The purpose of these assessments is to assist the decision-making process and not replace the evaluation responsibilities of the Interim Evaluation Committee and the faculty council with respect to the junior professor's performance.

(4) On the basis of the documents submitted by the junior professor and the external assessments, the Interim Evaluation Committee drafts a written report, which includes a reasoned recommendation to extend or terminate the junior professorship. The report must also display voting results.

(5) The evaluation must differentiate between research performance, teaching performance, and performance in other activities. When evaluating applicants with disabilities, previous disadvantages as a result of any disability must be taken into consideration. The junior professor's appointment prospects after completion of the junior professorship shall be evaluated in a summary assessment.

(6) The recommendation of the Committee shall be submitted to the faculty council for consideration. If the Interim Evaluation Committee recommends rejection of an extension of the junior professorship, the junior professor must first be notified in writing of the result and given two weeks in which to inspect the files and respond. The junior professor may demand that his or her response be included in the file.

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## **Section 7**

### **Executive University Board decision (interim evaluation)**

The Executive University Board decides on the extension or termination of the employment relationship based on the recommendation of the Interim Evaluation Committee and the opinions of the faculty council and the relevant office of the dean.

## **Section 8**

### **Further procedures in the tenure evaluation**

(1) In order to assess the performance of the junior professor, the Tenure Evaluation Committee shall commission at least four external assessments, one of which should come from outside of the country. There should be a balanced ratio of male and female evaluators. The evaluators must be established professors in their respective fields from different universities or hold an equivalent position in a foreign country.

(2) Assessment will be based on the junior professor's personal report and these Bylaws. The evaluators will be provided with a guide containing questions. In particular, the assessments are to answer the following key questions:

- How does the junior professor's work contribute to research in the relevant field?
- How would you assess the junior professor's performance in a national and international comparison?
- Has the junior professor acquired an independent academic profile?
- Does the junior professor meet the requirements for an appointment according to the requirements for W2/W3 (Section 15 HmbHG )?

(3) The Committee shall invite the junior professor to give a lecture or teaching demonstration, both of which open to the university public.

(4) The Evaluation Committee drafts a written report based on the documents submitted by the junior professor, the lecture/teaching demonstration, and the external assessments. This report must include a reasoned recommendation for an appointment to a W2/W3 professorship. The report must also display voting results.

(5) A summary assessment must state whether the prerequisites for an appointment to a W2/W3 professorship have been satisfied. Deviation from the assessments requires detailed written justification.

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(6) The Evaluation Committee recommendation must be submitted to the faculty council for consideration. If the Tenure Evaluation Committee recommends rejection of a tenured professorship appointment, the junior professor must first be notified in writing and given two weeks in which to inspect the files and respond. The junior professor may demand that his or her response be included in the file.

## **Section 9**

### **Executive University Board decision (tenure evaluation)**

The Executive University Board's decision on the tenured professorship appointment must be based on the recommendation of the Tenure Evaluation Committee, the opinions of the faculty council and the relevant office of the dean, and the recommendation of the Universität Hamburg Tenure Commission.

## **Section 10**

### **Effective date and repeal**

These Bylaws shall become effective on the day after their publication. Simultaneously, these Bylaws repeal Universität Hamburg's bylaws regarding interim evaluations of junior professors (Satzung der Universität Hamburg zur Durchführung der Zwischenevaluation von Juniorprofessuren) pursuant to Section 19 subsection 1 sentence 2 HmbHG dated 19 January 2006 and the Bylaws for the implementation of an evaluation procedure for a tenure track proceeding (Satzung der Universität Hamburg zur Durchführung des Bewertungsverfahrens in einem Tenure Track Verfahren) dated 20 November 2014.

Hamburg, 7 June 2018

**Universität Hamburg**