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Statutes of the Heidelberg University of Jewish Studies (HfJS) on the Evaluation of Junior Professors and Tenure-Track Professors

At its meeting on January 27, 2020, the Senate of the HfJS adopted the following statutes of the HfJS on the evaluation of junior professors and tenure-track professors in accordance with § 7 No. 13 of the University Statutes and § 51 b (1) and (2) of the LHG (Higher Education Act). junior professors and tenure-track professors.

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1. Section: General Provisions

§ 1 Purpose of the Statutes

These statutes govern the procedure and requirements for determining the suitability and qualifications of assistant professors as university teachers in accordance with § 51 (7) LHG, as well as the further requirements for conducting a simplified appointment procedure without advertising for tenure-track professors in accordance with § 48 (1) sentence 4 LHG.

§ 2 Definitions

- (1) These statutes refer to assistant professors Section 51 b LHG as tenure-track professors in the same type. Tenure-track professors are generally employed for a period of six years under a private-law contract; deviating fixed terms are permissible if this appears appropriate in view of the tenure-track professor's level of qualification at the time of appointment. In the case of assistant professor without tenure track, the Senate shall decide whether the employment relationship should initially be limited to a term of up to four years in accordance with § 51 (7) LHG.

- (2) These statutes define aptitude assessment as the assessment carried out in preparation for the decision on the assistant professor's aptitude and suitability as a university teacher within the meaning of Section 51 (7) sentence 2 LHG. If the employment relationship is initially limited to a period of up to four years in accordance with Section 51 (7) LHG, the aptitude assessment is carried out under the name of interim assessment (Section 51 (7) sentence 3 LHG), without prejudice to a further evaluation after the employment relationship has expired in its entirety in preparation for a decision on the award of the title of "adjunct professor" in accordance with Sections 51 (9) LHG.

- (3) These statutes define a tenure evaluation as the evaluation in preparation for the appointment of a tenure-track professor to a professorship of a higher salary grade without advertising the position in a simplified appointment procedure (Section 48 (1) sentence 4 LHG).
- (4) These statutes define a consultative evaluation as an information and consultation procedure designed to identify at an early stage any obstacles to a successful aptitude evaluation and, if applicable, tenure evaluation for assistant professors.

§ 3 Procedural Standards and Transparency Requirement

- (1) The provisions of Sections 20 and 21 of the State Administrative Procedure Act and the rules on bias of the German Research Foundation apply accordingly to the exclusion of a person participating in the evaluation on the grounds of bias.
- (2) The provisions of these statutes shall be appropriately referenced in the advertisement for an assistant professor's position.
- (3) When deciding on the appointment proposal, the appointment committee shall establish individualized criteria for the subsequent aptitude evaluation, taking into account the respective applicant's own proposals.

§ 4 Responsibilities

Subject to deviating provisions in these statutes, the following responsibilities apply:

- (1) The Rector shall form a consultative committee for the consultative evaluation. The consultative committee shall be composed of all full-time university teachers.
- (2) The aptitude assessment committee is responsible for conducting the aptitude assessment and determining the aptitude and qualifications of an assistant professor as a university lecturer in accordance with § 51 (7) LHG. The Rector forms the aptitude assessment committee. It is composed of all full-time university lecturers.
- (3) The Rector forms a tenure commission for the tenure evaluation. Section 14 (1) of the HfJS University Statutes applies to the composition of this commission.

2. Section: Consultative Evaluation

§ 5 Purpose of the Consultative Evaluation

The purpose of the consultative evaluation is to point out to the assistant professor at an early stage any possible obstacles to a successful aptitude evaluation. In the case of tenure-track professorship, the consultative evaluation also covers the aspect of a subsequent successful tenure evaluation.

§ 6 Initiation and Termination of Proceedings

- (1) The consultative evaluation shall only take place at the request of the assistant professor to the Rector. If the employment relationship is initially limited to a period of up to four years in accordance with § 51 (7) LHG, the request may only be submitted up to 18 months after the start of employment. If the employment relationship is not initially limited to a period of up to four years, the application may be submitted up to 30 months after the start of employment.
- (2) If, during the course of the consultative evaluation, the assistant professor submits an application for an aptitude evaluation or, even at another university, an application for admission to the habilitation examination, the consultative evaluation shall be discontinued by decision of the consultative commission. In the case of tenure-track professors, it may be limited to the aspect of the subsequent successful tenure evaluation and the suspension may be ordered until the aptitude evaluation or habilitation has been successfully completed, provided that the period remaining until the tenure evaluation is likely to allow the tenure-track professor to respond effectively to the results of the consultative evaluation.

§ 7 Subject Matter, Means, and Procedure of the Consultative Evaluation

- (1) The subject of the consultative evaluation is the assistant professor's prospects of a successful aptitude evaluation at the end of their term of office in accordance with §§ 8 ff. of these statutes. In the case of a tenure-track professorship the prospects of a successful tenure evaluation in accordance with §§ 12 ff. of these statutes must also be examined. More detailed provisions on the means to be used by the consultative commission for this purpose and the procedure for the consultative evaluation may be laid down by the Senate in rules of procedure.
- (2) After completing the consultative evaluation, the consultative commission shall prepare a written report. This report shall clearly indicate, with comprehensible reasoning, how the commission assesses the assistant professor's prospects for a successful aptitude evaluation and, if applicable, tenure evaluation at the present time. In order to safeguard the freedom of research and teaching, it must be made clear that the recommendations of the consultative committee cannot and should not be binding requirements or expectations.
- (3) The report of the consultative commission shall be forwarded to the assistant professor and the Rector.

3. Section: Suitability Evaluation and Suitability Assessment

§ 8 Purpose and Subject Matter of Suitability Evaluation

The purpose of the aptitude evaluation, which is carried out in the cases specified in § 51 (7) sentence 3 LHG under the designation of interim evaluation, is to determine the aptitude and qualification of the assistant professor as a university teacher within the meaning of § 51 (7) sentence 2 LHG. This includes, in particular, reviewing the suitability and ability to conduct independent research, as required of professors, assessing pedagogical aptitude for academic teaching, and assessing the ability to present academic questions and the answers found to them in an understandable, competent, and critical manner in an oral presentation and to discuss them at an academic level with an audience with prior knowledge of the subject.

§ 9 Initiation of Proceedings and Impediments to Admissibility

(1) The aptitude evaluation is initiated by a written application from the assistant professor to the Rector. The application may not be submitted before the end of two years of service and must be submitted no later than 12 months before the end of the term of service. If the employment relationship is initially limited to a term of up to four years in accordance with § 51 (7) LHG, this term of service shall be decisive and the application shall be for an interim evaluation.

(2) The application must be accompanied by:

1. a statement as to whether and, if so, at which university an application for admission to the habilitation examination has been submitted or a habilitation thesis has been submitted,
2. a complete list of publications and print-ready, completed scientific manuscripts intended for publication,
3. a list of courses taught,
4. any evidence of successfully completed university teaching courses,
5. proposed topics for an academic lecture with discussion in accordance with the regulations applicable in the faculty in the habilitation or evaluation regulations,
6. a self-report as specified in § 13 (3) No. 4.

(3) The application is inadmissible if the junior professor has submitted an application for admission to the habilitation examination or a habilitation thesis. If these conditions arise after the application has been submitted, the application shall be inadmissible. As soon as it becomes foreseeable that these conditions could arise during the aptitude assessment (), the assistant professor must inform the Rector immediately so that the aptitude assessment committee can, if necessary, order the suspension of the procedure.

§ 10 Means and Procedure of the Aptitude Assessment

(1) The assistant professor's suitability and ability to conduct independent research is assessed primarily on the basis of publications and the submitted, print-ready, completed scientific manuscripts intended for publication, which are available in addition to the

writings on which the doctorate is based. To this end, the suitability assessment committee appoints two reviewers after the assistant professor has submitted an application. These reviews must be available no later than six months after appointment. They shall be made available to each member of the aptitude assessment committee together with the list of publications and the submitted, print-ready, completed scientific manuscripts intended for publication. This may also be done electronically. On the basis of a detailed discussion of the assistant professor's academic writings and the reviews obtained, the aptitude assessment committee shall decide on the assistant professor's aptitude and ability to conduct independent research as required of professors.

- (2) The assistant professor's pedagogical suitability for academic teaching is assessed on the basis of the course-related classes held. For this purpose, the Dean of Studies prepares a written report based on the documents submitted and any teaching samples or observations. This report shall be made available to the members of the aptitude assessment committee together with the documents referred to in paragraph 1. This may also be done electronically. After discussing the report, the committee shall decide on the assistant professor's pedagogical aptitude for academic teaching.
- (3) The assistant professor's ability to present a scientific question and the answers found to it in an understandable, competent, and critical manner in oral speech and to discuss it with an audience of specialists at a scientific level is determined on the basis of a lecture by decision of the aptitude assessment committee.
- (4) If the decisions pursuant to paragraphs 1 to 3 affirm the suitability and ability of the assistant professor in each case, the committee shall determine the suitability and ability of the assistant professor as a university teacher in accordance with Section 51 (7) LHG. The aptitude assessment committee is not bound by the job description of the assistant professorship in this regard. If the employment relationship is initially limited to a term of up to four years in accordance with § 51 (7) LHG, the decision shall be made no later than three months before the end of the term of employment and communicated to the Rector.
- (5) If the aptitude assessment committee concludes that the assistant professor's aptitude and qualification as a university teacher cannot be determined because not all of the decisions to be made in accordance with paragraphs 1–3 have led to an affirmative conclusion, it shall notify the assistant professor in writing, providing detailed reasons.

§ 11 Notification of the Assessment Decision

The assistant professor shall be informed in writing by the Rector of the assessment pursuant to § 10 (4) of these statutes.

4. Section: Tenure Evaluation

§ 12 Purpose and Subject Matter of the Tenure Evaluation

The tenure evaluation prepares the decision on the initiation of a simplified appointment procedure for tenure-track professors without advertising the position in accordance with § 48 (1) sentence 4 LHG. In order to uphold the principle of selecting the best candidates, it serves to determine whether the academic achievements of the tenure-track professor, beyond their fundamental suitability and qualifications as a university teacher, also meet the specific requirements set by the HfJS for the professorship to be filled. In addition to significantly above-average achievements in research and teaching, these requirements also include the promotion of young academics, participation in academic self-administration, and personnel management skills.

§ 13 Initiation of Proceedings and Grounds for Inadmissibility

- (1) The tenure evaluation is initiated by a written application from the tenure-track professor to the Rector. The application may be submitted at the earliest 14 months and must be submitted at the latest 12 months before the end of the tenure-track professor's term of office.
- (2) The application is inadmissible if an early aptitude evaluation (§ 17 of these statutes) has not led to a positive decision in accordance with § 10 (4) of these statutes.
- (3) The following must be enclosed with the application for a tenure evaluation:
 1. in the case of an isolated tenure evaluation (§ 15 sentence 2 of these statutes), a copy of the letter in accordance with § 11 of these statutes or a certified copy of the habilitation certificate from a university with habilitation rights,
 2. the documents required for the aptitude evaluation pursuant to § 9 (2) nos. 2 to 6 of these statutes (in the case of an isolated tenure evaluation pursuant to § 9 (2) of these statutes, excluding no. 5),
 3. in the case of an isolated tenure evaluation pursuant to § 15 sentence 2 of these statutes, a topic proposal for an academic lecture with discussion,
 4. a self-report, which should include in particular:
 - a. a presentation of up to 5 pages on completed, ongoing, and planned research projects,
 - b. a list of scientific lectures given to date and existing lecture invitations (including the event in each case),
 - c. a list of completed, ongoing, and proposed third-party funded projects,
 - d. a list of existing and planned scientific collaborations (internal, external, national, international),
 - e. a list of conferences organized or co-organized by the applicant,

- f. a list of memberships and functions in professional associations as well as activities for non-university educational institutions, government organizations, or comparable institutions,
- g. a list of scientific prizes and awards received (including teaching awards) and, if applicable, patents and similar,
- h. a list of activities for the purpose of knowledge transfer,
- i. a list of review activities outside of official examination activities,
- j. a list of participation in completed and ongoing doctoral procedures, specifying the respective function (first or second reviewer), the respective topic and, in the case of completed procedures, the result,
- k. a list of supervised theses (bachelor's, master's, and comparable theses in other degree programs), specifying the topic, status (ongoing or completed), and, if applicable, the result,
- l. a list of examination activities (type and number of examinations, respective function in the examination procedure),
- m. a list of special activities and offerings in the area of teaching (e.g., courses in other languages, invitations to guest professorships, development of new teaching formats, counseling and support services, etc.),
- n. a list of participation in academic self-administration (committee memberships, functions, assumption of other tasks for the university and its institutions),

5. any evidence of further training in personnel management.

The tenure-track professor may attach additional documents to the application, such as the results of teaching evaluations, teaching materials, or the report of the consultative commission.

§ 14 Means and Procedure of the Tenure Evaluation

- (1) Immediately after receiving the application from the tenure-track professor, the Rector shall form a tenure committee in accordance with § 4 (3) of these statutes, unless the tenure-track professor has previously declared in writing that he or she will not submit an application for a tenure evaluation.
- (2) The chair of the committee shall immediately make the documents submitted by the tenure-track professor in accordance with § 13 (3) of these statutes available to all committee members. This may also be done electronically.
- (3) In order to assess the research achievements and research potential of the tenure-track professor, the tenure committee shall appoint two external reviewers immediately after receiving the application for a tenure evaluation. One of these reviewers shall generally come from abroad. The reviewers shall be provided with a complete list of publications, copies of the completed scientific manuscripts ready for publication, and the tenure-track professor's self-report. In a detailed written statement clearly explaining the basis for

their decision, they shall assess whether the research achievements and research potential of the tenure-track professor are below average, average, above average, or outstanding in comparison with scientists of the same age and stage of development in the discipline. In particular, the following criteria shall be taken into account:

1. Quality and quantity of publications,
2. Independence, originality, innovative content, and methodological soundness of previous and planned research
3. the national and international visibility and significance of previous and planned research,
4. the development of the tenure-track professor's research fields and approaches since obtaining their doctorate,
5. the acquisition of third-party funding.

The reports should be available no later than three months after they've been requested and will be made available to the members of the tenure committee right away. This can also be done electronically. If the tenure-track professor has completed a habilitation before the tenure evaluation and therefore no suitability evaluation is carried out in accordance with § 8 ff. of these statutes, the reports from the habilitation procedure must also be consulted.

(4) To assess the tenure-track professor's teaching performance, the Dean of Studies shall prepare a written report based on the submitted documents and other officially obtained information about the tenure-track professor's teaching activities. The report shall include, in particular, comments on

1. the independence, scientific foundation, and pedagogical-didactic quality of the courses taught,
2. the breadth of subject matter and formats of the courses taught,
3. any innovative achievements in the field of teaching,
4. the assistant professor's advisory and supervisory activities (including in the context of theses),
5. on courses taught by the assistant professor in other languages, and on invitations to the tenure-track professor to teach outside the university, especially internationally. The statement must be discussed by the relevant study commission before it is sent to the tenure commission. The results of the consultation shall be attached to the statement. The statement shall be made available to the members of the tenure committee no later than three months after the tenure-track professor has submitted their application. Electronic availability is sufficient.

(5) Once all the reports mentioned in paragraphs 3 and 4 and the report from the Dean of Studies are in, the tenure committee will discuss and evaluate them in detail within a maximum of two months. As part of these discussions, the tenure committee shall determine the date for a concept meeting with the tenure-track professor as early as possible. This concept meeting shall include a presentation of the professor's plans and ideas for future research projects, his or her teaching concept and concept for promoting

young academics, as well as a public academic lecture by the tenure-track professor followed by a discussion. If the suitability evaluation and tenure evaluation are carried out jointly by the tenure committee (§ 15 sentence 1 of these statutes), § 10 paragraph 3 of these statutes applies to the determination of the lecture topic.

- (6) Following the concept discussion, the tenure committee deliberates on the basis of the documents submitted with the application and the concept discussion, taking into account the documents submitted, expert opinions, and the report of the Dean of Studies, whether the tenure-track professor's academic achievements, beyond his or her fundamental suitability and qualifications as a university teacher, meet the specific requirements set by the HfJS for the Professorship to be filled. If the Tenure Commission affirms this, it decides to propose the tenure-track professor for appointment without advertisement in a simplified appointment procedure. Otherwise, it decides not to propose the tenure-track professor for appointment in such a procedure. The vote of the Tenure Commission shall be available no later than six months before the end of the tenure-track professor's term of office.

Section 5: Concentration of Procedures for Tenure-Track Professors

§ 15 Principle of Joint Implementation of Aptitude and Tenure Evaluations

In the case of tenure-track professors, the suitability and tenure evaluations shall generally be jointly by the tenure committee; § 9 (3) of these statutes does not apply in this case. If the suitability evaluation has been brought forward (§ 17 of these statutes) or is not necessary due to the tenure-track professor's successful habilitation, the tenure evaluation shall be conducted separately.

§ 16 Procedure for the Joint Conduct of Suitability and Tenure Evaluations

If the suitability and tenure evaluations are conducted jointly, an additional reviewer shall be appointed in accordance with § 10 (1) of these statutes, in addition to the reviewers to be appointed in accordance with § 14 (3) of these statutes. In this case, all expert opinions, reports, and statements must comment on both the fundamental suitability of the tenure-track professor as a university teacher and the special requirements pursuant to § 12 of these statutes. § 14 of these statutes applies accordingly to the procedure. After the final deliberations of the tenure committee, the committee shall first decide on the fundamental suitability of the tenure-track professor as a university teacher in accordance with § 10 paragraphs 4 and 5 of these statutes. If this decision is positive, the committee shall decide on the proposal for an appointment without advertisement in a simplified appointment procedure in accordance with § 14 paragraph 9 of these statutes.

§ 17 Early Suitability Evaluation

At the request of a tenure-track professor, the Rector may order the aptitude evaluation to be brought forward if the tenure-track professor has a legitimate interest in doing so.

Section 6: Further Procedure after Completion of the Tenure Evaluation

§ 18 Referral to the Rector and Senate

The decision of the tenure committee pursuant to § 14 (9) of these statutes shall be forwarded to the Rector and the senate for consideration. If the senate has serious doubts about the factual correctness of the tenure committee's decision, it shall decide to refer the decision back to the committee for further deliberation and decision-making. Otherwise, it shall approve the decision of the tenure committee.

§ 19 Requirements for Appointment without Advertisement in the Simplified Appointment Procedure

- (1) The Rector appoints the tenure-track professor to the professorship without advertising the position if this is in accordance with the recommendation of the Tenure Commission and this recommendation has been approved by the Senate and the funding body has not objected in accordance with § 14 (2) sentence 2 of the HfJS University Statutes.
- (2) The Rector shall also make the appointment in accordance with the recommendation of the Tenure Commission if this recommendation has not been approved by the Senate after a new resolution has been passed in accordance with § 18 of these statutes.
- (3) If the tenure commission, with the approval of the Rector and the senate or after a renewed resolution in accordance with § 18 of these statutes, proposes not to appoint the assistant professor without advertising the position in a simplified appointment procedure, the Rector shall make a corresponding decision. This decision shall be communicated to the tenure-track professor in writing without delay. The same applies in the case of paragraph 2, sentence 2.

Section 7: Other Provisions

§ 20 Acceleration of the Procedure to defend against an External Appointment

If a tenure-track professor receives an external appointment to a permanent professorship, the Rector may, at the request of the relevant faculty and with the consent of the tenure-track professor, order the immediate implementation of the aptitude and tenure evaluation.

§ 21 Extension in the Event of Non-Appointment

If a tenure-track professor is not appointed to the professorship because his or her suitability and qualifications as a university teacher could not be determined (§ 10 (5) of these statutes), the legal relationship underlying the tenure-track professorship may be extended by one year in accordance with § 51 (7) sentence 4 LHG. The same applies if the Rector decides, in accordance with § 19 (3) of these statutes, not to appoint a tenure-track professor to the professorship without advertising the position in a simplified appointment procedure.

§ 22 Entry into Force

These statutes shall enter into force on the day after their publication on the website.

Heidelberg, January 27, 2020

signed Prof. Dr. Johannes Heil
Acting Rector