



Evaluation criteria and standards for tenure-track procedures¹

The appointment to a lifetime professorship as part of a tenure-track procedure requires a quality-controlled positive evaluation based on transparent criteria that are clearly defined within the appointment agreement. The performance of tenure-track professors at the Humboldt-Universität zu Berlin is assessed in the following categories:

- (1) Research
- (2) Academic teaching
- (3) Participation in academic self-government
- (4) Promotion of young researchers
- (5) Acquisition of personnel management skills

Subject-specific substantiation of the performance requirements

This annex to the statute governing appointments to professorships specifies interdisciplinary performance requirements in these categories, as a university-wide framework, which are then exemplified through individual performance indicators.

During the course of the appointments procedure, and taking into account subject-specific, internationally accepted assessment standards, the Appointments Commission selects the performance requirements specific to the professorship in question, which are always to be negotiated in specific terms with the persons to be appointed, and which the faculty council or the council of the central institute decides along with the appointment proposal. The specifically negotiated performance requirements must be definitively laid down in an appointment agreement. The performance requirements are to be formulated in such a way that their fulfilment also entails the required level of specialist and pedagogical aptitude.

Performance requirements must be selected from all five categories, and these will then be the subject of the agreement with the tenure track professors. At least two-thirds of the performance requirements must be selected from each of the categories "Research" and "Academic teaching". The individual performance requirements are to be further detailed on the basis of concrete performance indicators. It should be noted here that individual performance requirements, especially those from the quantitative sphere, mean very different things and have very different chances of being realised in each of the particular disciplines. Where possible, qualitative goals should be defined.

Bases for assessment

A positive evaluation requires the attainment of achievements in all five categories. In the category "Research", achievements must be registered that are at least significantly above average, when compared on an international level. The performance requirements in the category "Teaching" must be met in full. When making its decision, the Tenure Commission may take account of particularly outstanding achievements in the category "Research" or the category "Teaching", as a decisive factor, if the performance requirements in one of the other three categories are not met as agreed.

¹ Translation of the Official Gazette of the Humboldt-Universität No 1/2019. For the legally binding German version, please see https://gremien.hu-berlin.de/de/amb/2019/1/01_2019_berufungssatzung_hu_druck.pdf.

The following also apply:

- For the category "Academic teaching", the teaching evaluations made by students are to be consulted for at least half of the teaching activities that took place.
- Regarding the supervision of students, doctoral students and post-doctoral students, it is the quality and not the number of supervisory relationships that is decisive.
- In the category "Participation in academic self-government", one's own successful work has to be proven; mere membership of any kind is not sufficient. However, the involvement of a tenure-track professor in the work of governing bodies does not have to be as extensive as with professors in permanent positions.
- In the category "Acquisition of personnel management skills", skill in managing personnel must be proven, for example through successful participation in relevant advanced training courses.

Framework catalogue of performance requirements for the evaluation of tenure,
with provision of possible performance indicators²

<i>Category: Research</i>
<p><i>Performance requirement:</i></p> <p>Quality, originality & innovative character of the research</p> <p><i>Possible performance indicators:</i></p> <ul style="list-style-type: none"> - Independence of the academic approach - Significance of the research and potential for academic development compared on a national and international level - New methodological and conceptual developments - Broadening and innovation of the research approaches in comparison with the dissertation
<p>Publications</p> <ul style="list-style-type: none"> - Quality and, where appropriate, quantity of specialised publications with substantial own contribution - Breadth and depth of questions investigated and publications, respectively - Plausibility, methodological basis and innovative character of the research project (in particular, of the most important long-term research project) or contribution to the development of the field of research - Reception and appraisal of publications in the research community - Joint publications with international colleagues - Publication triumphs in particularly prestigious publication outlets/number of published articles assessed in peer-review processes, or impact factor of the monograph/journal/anthology, and bibliometric indicators, if applicable - Work as a publisher, editor or reviewer for scientific journals/other publications
<p>Acquisition of third-party funds</p> <ul style="list-style-type: none"> - Type and extent of third-party funds applied for and acquired as part of a competitive process - Reputation of the funding bodies
<p>Establishment or stabilisation of academic collaborations</p> <ul style="list-style-type: none"> - Forms and results of academic collaborations: <ul style="list-style-type: none"> o with other university institutions/within the Berlin network o with research institutions external to the university o at the international level - Role as spokesperson for, or participation in, coordinated research projects (e.g., CRCs, post-graduate training research programmes (GRKs), EU or BMBF joint projects) - Joint publications (the relevant shares of the work must be clearly discernible) - Forms and results of interdisciplinary collaboration <ul style="list-style-type: none"> o Organisation of interdisciplinary symposia or workshops o Engagement in interdisciplinary structures (e.g., integrative research institutes (IRIs), interdisciplinary centres (IZs)) o Inter-institutional collaboration with colleagues - Participation in international university collaborations, organisation of, or participation in, international symposia/workshops

² The accentuated headings enumerate each particular performance requirement; the lists that follow contain possible indicators to substantiate the performance requirement in question.

National and international reputation and visibility

- Prizes/awards (e.g., the Heinz Maier-Leibnitz Prize, ERC Starting Grants, the Berlin Research Award in the Young Researchers category, the Caroline von Humboldt Prize, etc.)
- Invitations to give lectures at international conferences (key note/plenary lectures)
- Organisation of workshops and conferences (size, international nature and acclaim of the conferences/organised meetings)
- Fellowships

Knowledge and technology transfer

- Number of and/or volume of third-party funding for projects, commissioned research, scientific services and research collaborations with private and public institutions
- Number of invention disclosures/supervised university spin-offs
- Registration, granting and exploitation of intellectual property rights (e.g., patents)
- Third-party funding acquired for transfer projects, e.g., foundation or validation
- Participation in trade fairs and conferences with industry relevance or at events for the purposes of academic communication
- Communication of research results to the general public
- Collaboration with cultural, social and academic institutions, academically focussed non-university engagement
- Commitment on behalf of foundations for the promotion of scholarship and involvement in research funding institutions
- Membership of academic academies or associations for academic consultation and the promotion of scholarship
- Responsibility-bearing participation in specialist committees or in relevant professional associations and professional agencies
- Contributions to policy advice or membership of political advisory bodies

Academic teaching

Quality, spectrum and scope of the teaching

- Teaching across the breadth of the subject (where appropriate, also beyond the denominated field of the professorship)
- Number and quality of self-designed and conducted teaching activities of various kinds (lectures, seminars, tutorials, practical courses, etc.) at different levels of education (bachelor's degree, master's degree, PhD)
- Evaluation of teaching by students (of at least half of the teaching activities that took place)
- Specialist knowledge (theoretical foundation, clarity of approach, knowledge of materials, subject didactics)
- Didactics (communication, presentation of knowledge, teaching materials, etc.)
- Advisory skills (flexibility, objectivity, responsibility, support in decision-making, etc.)
- Courses offered in English/another foreign language
- Prizes/awards for good teaching

Development or application of new teaching methods and concepts

- Development or introduction of new taught content, didactic teaching concepts or teaching formats
- Textbooks/monographs written on new teaching methods and/or teaching concepts
- Organisation of, or participation in, (inter-)national conferences on teaching methods and educational research

Supervision of students

- Number and quality of supervised theses
- Supervision of exchange students or international doctoral students
- Implementation of, or contribution to, examinations
- Involvement in international summer schools

Didactic further training

- Participation in advanced didactic training measures, in advanced training sessions in gender- and diversity-appropriate didactics or interdisciplinary events, etc.

Participation in academic self-government

Roles and activities within academic self-government

- Participation in university-internal commissions or governing bodies
- Active participation in university management
- Professional and academic contribution to the development strategy of the faculties and institutes (e.g., as a member of the Faculty Council) or interdisciplinary structures (e.g., integrative research institutes (IRIs), interdisciplinary centres (IZs))

Support for internationalisation

- Support for internationalisation (e.g., visiting professorships, Alexander von Humboldt (AvH) and German Academic Exchange Service (DAAD) scholarships)
- Securing funding for study places abroad, support for international degree courses

Promotion of equal opportunity

- Activity as a decentralised women's representative
- Involvement in attracting STEM students (e.g. Girls Day, summer schools, WiNS Adlershof, etc.)
- Promotion of female junior researchers and/or junior researchers that are disadvantaged due to their origin, ethnicity, disability, etc. (e.g., as a mentor)
- Special activities to promote equality of opportunity, participation in advanced training measures in the field of gender equality and diversity (e.g., gender- and diversity-appropriate communication)

Commitment for the benefit of the academic community

- Activities as a referee
- Participation in commissions or governing bodies
- Editorship or membership of the editorial or advisory board of a scientific journal in a peer review process

Promotion of young researchers

Promotion of young researchers

- Supervision of (post)doctoral students
- In the case of W1 professorships, participation in the supervision of doctoral students (refereeing, doctoral colloquia, co-supervision)

Acquisition of personnel management skills

Proof of personnel management skills

- Participation in advanced training courses on managing employees, non-discriminatory recruitment of staff, etc.