



Guidelines (Rules of Procedure)

For the interim assessment of 'Junior Professorships'

In its session of 17 July 2003 the academic senate of Humboldt-Universität zu Berlin agreed on the following Rules of Procedure, in accordance with section 102b paragraph 2 of the BerlHG ('Berliner Hochschulgesetz', the Berlin Regulations governing Institutes of Higher Education') in connection with section 5 paragraph 1 II of the provisional constitution of Humboldt-Universität:

1. Framework

Pursuant to the Framework Regulations governing Institutions of Higher Education ('Hochschulrahmengesetz, HRG') and its formulation in the BerlHG, junior professors are appointed temporary civil servants for a period of three years. It is envisaged that in the course of the third year, this appointment as civil servant will be extended for a further three years, with the consent of the junior professor, provided they have proved themselves suitable as professors. Otherwise the appointment may be extended for up to one further year, in agreement with the junior professor¹.

The decision as to suitability of a junior professor shall be taken by the faculty, taking into consideration the assessments of at least two external experts². The experts are appointed by the faculty council³. This guideline is intended to outline the course of the assessment in the third year of a junior professorship. It was developed with reference to the guidelines for the evaluation of research at Humboldt-Universität, as well as to the 'Promotion & Tenure Guidelines' of the University of Washington⁴ and the 'Annual Bib-Bibliography' of the University of California.

2. Course of the Evaluation

Timetable

The Evaluation takes place during the third year of a junior professorship. In the case of a sabbatical or other such absence as would extend the contract pursuant to section 102b paragraph 1 (3) in connection with section 95 of the BerlHG, such time shall not be taken into consideration. The decision of the faculty shall be made one month before the end of the third year at the latest.

Given the planned procedural steps, this results in the following timetable:

¹ Section 48 (1) HRG and section 102b (1) BerlHG

² Section 102b (2) BerlHG

³ Section 102b (2) BerlHG

⁴ <http://www.artsci.washington.edu/Services/Personnel/>

Procedural Step	Duration	Timeline (following the commencement of work)
Initiation of proceedings by the faculty council		2 years, 5 months
Self Assessment Report of the Junior Professor	4 weeks	2 years, 6 months
Nomination of the Assessment Committee by the Faculty Council	4 weeks	2 years, 7 months
Nomination of the external experts by the Evaluation Committee		
Appointment of the external experts by the Faculty Council		
Experts' Report	8 weeks	2 years, 9 months
Committee Report	3 weeks	2 years, 10 months
Reply of the Junior Professor	1 week	2 years, 10 months
Opinion of the Council of the Department	4 weeks	2 years, 11 months
Decision by the Faculty Council		
Processing by the Personnel Department	2 weeks	2 years, 11 months

2.2 Procedural Steps

2.2.1 Initiation of Proceedings

The proceedings are initiated by the Faculty Council requesting the junior professor to submit his own self-assessment report.

2.2.2 Junior Professor's Self Assessment Report

The junior professor submits a report detailing his/ her achievements during the first two and a half years of his/ her junior professorship. This consists of a personal report, as well as documentation evidencing his achievements (for details see '3. Junior Professor's Self-Assessment Report').

2.2.3 Appointment of the Evaluation Committee

The Faculty Council appoints an Evaluation Committee. This committee shall consist of at least 5 members: 3 professors, a representative of the research and teaching assistants and a student representative. One of the professors must have a different subject of specialisation.

Upon application by the junior professor, a mentor proposed by the junior professor may be admitted to the Evaluation Committee in an advisory function. In the case of S-Junior Professors, the Committee shall consist in equal parts of members of Humboldt-Universität and the institutions concerned.

2.2.4 Appointment of External Experts

The Evaluation Committee shall suggest to the Faculty Council two external experts, who are to submit a written assessment of the junior professor. The experts should be excellent scholars. Experts must be impartial towards the junior professor, both on an academic and on a personal level.

2.2.5 Evaluation by the External Experts

The external experts shall be provided with a copy of the junior professor's self-assessment report as a basis for their assessment. Where necessary, the junior professor shall provide the external experts with an English version of this self-assessment report.

Furthermore, the external experts shall be provided with a copy of this guideline in English or German.

The role of the external experts is primarily to assess the research activity of the junior professor. Nevertheless, aspects arising out of their teaching activity as well as committee work may also be taken into consideration.

The following questions should be addressed in the assessment:

- What contribution is made by the work of the junior professor to their specific area of specialisation?
- In the assessor's opinion, how do the achievements of the junior professor compare on a national and international level?
- How do you judge the relevance and feasibility of the intended research for the fourth to sixth year of the junior professorship?

The external experts should primarily give an assessment of the junior professor's research; nevertheless, this assessment may also include a recommendation to prolong the junior professor's tenure.

This evaluation by the external experts is to be given substantial influence with regard to the decision concerning the research achievements. The Evaluation Committee and the Faculty and Department Councils may only disregard this external assessment in evaluating the junior professor's scientific achievements, where the faith in such an assessment has been sufficiently shaken, and where this is substantiated in writing.

2.2.6 Evaluation Committee Report

The Evaluation Committee shall compile a written report on the basis of the junior professor's self-assessment report, as well as the external assessments. Such report is to comprise both a description and a critical evaluation of the research, teaching and committee work of the candidate, as well as an evaluation of his/ her further academic development. In the assessment of the research achievements, significant importance is to be given to the external experts' evaluation thereof (see '2.2.5 Evaluation by the External Experts'). The report shall conclude with

a recommendation regarding the extension of the junior professorship (see '5. Report of the Evaluation Committee').

From receipt of the committee's report, the junior professor shall have seven days time to make a reply.

2.2.7 Opinion of the Council of the Department

The Council of the Department shall give its opinion regarding the positive or negative assessment on the basis of all documentation submitted (the self-assessment report by the junior professor, the external assessment, the Evaluation Committee Report and the junior professor's reply to that report). This opinion shall include the result of the vote on the matter in the Council of the Department.

In the case that the junior professor works at two departments, both departments shall give their opinion regarding this evaluation. In the case of single faculties an opinion of the Council of the Department is not applicable.

2.2.8 Final Decision by the Faculty Council

The Faculty Council shall make the final decision regarding an extension of the junior professor's tenure, on the basis of all documentation submitted (the self-assessment report by the junior professor, the external assessment, the Evaluation Committee Report, the junior professor's reply to that report and the Opinion of the Council of the Department). This decision shall be documented in writing and shall include the results of the vote of the Faculty Council, as well as the reasons for the decision.

The University's Board shall be notified of this decision immediately.

3. Self Assessment Report of the Junior Professor

The self-assessment report of the Junior Professor comprises two parts; a personal assessment report and documentary evidence. As a rule, the report should be submitted in German. However, where there are English speaking external experts, the Junior Professor should also prepare an English version, to be submitted upon request by the assessor.

The personal assessment report is intended to describe the Junior Professor's activities during the preceding two and a half years of his/ her employment at the university. In this report he/ she should enter into particulars concerning the following three fields: research, teaching and committee work. While the Documentation is meant to be a factual inventory, this personal assessment report gives the Junior Professor the opportunity to describe his/ her focuses of research and to attach the respective importance to them.

In particular, the report should clarify the current state of work on the most important long-term research project ('second book', surveys and similar), as well as solutions to previous and potential problems and

strategies. Furthermore, plans and concepts for the further shaping of the junior professorship should be developed. The report should be critical, not merely documenting successes, but also detailing difficulties and suggestions as to how they could be solved. The report should consist of at least three and no more than ten pages.

The required documentation is to be submitted in five copies, and should include the following documents:

1. CV (including scholarships, professional positions held, prizes awarded, positions both at and outside the university)
2. Bibliography (books, newspaper articles, contributions to miscellany, reviews, and proceedings. Unpublished works must be clearly marked as such.)
3. Completed parts of significant long-term research projects ('second book', surveys or similar)
4. Off-prints or copies of up to three publications.
5. A sketch of the proposed research for the fourth to the sixth year of the junior professorship (topic, how this is positioned in the current field of research, methodology used and perspectives) consisting of at least three and no more than ten pages.
6. List of lectures or presentations (differentiated according to the categories of 'invited' and 'contributed to')
7. Review of teaching activity (a list of courses taught, including the number of hours taught per week and the average number of participants. Furthermore, the number of exam supervisees, PhD students, and documentation of the teaching evaluation, where this was conducted at the department. The documentation for this review may contain assessments by students, peer reviews or external teaching evaluations.)
8. Academic advisory activity (consultation hours per week during and outside the semester, any other student supervision)
9. A list of any sponsorship gained by the junior professor from third parties (short description, sponsors, amount)
10. Further supporting material (e.g. documentary evidence of acting as an expert, advisor, editor, leading positions in scientific associations, successes of students)

4. Assessment Criteria

The evaluation is based on criteria that have already proved successful in nationally and internationally recognised methods for the assessment of academic achievement. However, it needs to be borne in mind that in the different subjects certain criteria will have differing relevance and possibilities of being realised. This is particularly the case where quantitative aspects are concerned (Third Party Funds, international

publications). For this reason the following criteria provide a possible framework, which can be extended or reduced depending on the subject.

The basis and the starting point of the assessment is the firm belief that a junior professor is an independent researcher, capable of arranging their own research and work, independently instruct co-workers and to represent their field of research.

The assessment of achievement in the fields of research, teaching and committee work shall bear the following in mind: the passing on of knowledge and the responsibility for students and postgraduates is a substantial aspect of a junior professorship. Therefore a positive appraisal of the junior professor's teaching activity is essential for the wider assessment. In cases where a junior professor's teaching activity does not get a positive appraisal, the junior professorship cannot be extended. Nevertheless, research is the first and foremost area, in which a junior professor needs to excel. As a principle, outstanding research may compensate for minor deficits in a junior professor's teaching activity, but conversely outstanding teaching cannot compensate for an unsatisfactory research assessment. It is expected that the junior professor would become involved in the university administration. However, such involvement in committee work need not be as comprehensive as would be expected from tenured professors.

Research

- Quantity and even more importantly the quality of publications, documented by:
 - Plausibility, methodological basis and innovative nature of the research project (particularly with regards to the most important long term research project) or the contribution to the development of that area of research
 - Citations: impact factor of the applicable magazines
 - How publications were received and rated in the applicable academic field of research
- Third Party Funds (extent, sponsoring institution)
- Breadth and depth of the scientific problems approached and of the publications
- Furtherance and innovation of the research approaches as compared to the doctoral thesis
- Independence of academic approach
- Willingness and ability to conduct interdisciplinary research
- Relevance of the research in international comparison
- Academic co-operation:
 - a) with other research institutions, both from within and outside the university
 - b) international co-operation

- c) joint publications (in such cases the own contributions must be clearly recognisable)
- d) subject-specific conferences
- Activities as editor or reviewer of academic journals and other publications
- Co-operation with cultural, social and academic institutions, as well as with business and industry in the field of basic, applied and product-oriented research.

Teaching Activity

- Subject specific knowledge (theoretical basis, clarity of approach, knowledge of the material, didactic of the subject)
- Advisory ability (flexibility, objectivity, responsibility, help with decisions, etc.)
- Teaching evaluation by students
- International aspects (supervising exchange students, international PhD students, participation at international university co-operations, personally organised study places abroad, international summer schools, lectures in English or other foreign languages)
- Didactic (Communication, presentation of knowledge, teaching material etc.)
- Use of multimedia and promoting the multimedia abilities of the students
- Syllabus
- Scope of syllabus

Committee Work/ Extra-university involvement

- Involvement in committee work both at the department and generally within the university
- Work for academic, scientific or professional organisations (e.g. as office-holder or committee member)
- Work done for educational, governmental or other institutions
- Particular activities aimed at promoting gender equality

5. Report of the Evaluation Committee

The Evaluation Committee's written report shall summarise the documentation submitted by the junior professor, as well as the external assessments. The Committee's recommendation regarding the extension of the junior professor's tenure shall derive from this. It should be phrased as clearly and concisely as possible.

The final assessment result should be based on the assessment criteria listed under "4." above, and should result in an appraisal comparing the candidate on a national and international level.

In order for the reports of Evaluation Committees to be comparable, they should be fashioned as uniformly as possible. In order to achieve this, the report should be structured as follows:

1. Summary (framework conditions, key results, recommendations)
2. Introduction
 - 2.1 Framework conditions of the evaluation (method of proceeding, description of the Self Assessment Report, choice and description of the external experts)
 - 2.2 Criteria and standards for the assessment
3. Description and outline of the research
 - 3.1 Main emphases
 - 3.2 Description of the individual achievements
 - 3.3 Academic co-operation (within and outside the university as well as internationally)
4. Description of teaching activity
 - 4.1 Description of lectures
 - 4.2 Supervision of students and PhD students
 - 4.3 Didactic
5. Description of committee work and extra-university involvement
6. Discoveries and assessment
 - 6.1 Framework conditions (subject-specific features)
 - 6.2 Assessment of the achievements in the separate fields of research/ teaching activity/ committee work and extra-university involvement as compared on a national and international level
 - 6.3 Assessment of the achievement on the whole
 - 6.4 Chances for future development of the junior professor
7. Recommendation of the Evaluation Committee to the Faculty Council
 - 7.1 Recommendation regarding the extension of the tenure
 - 7.2 Possible steps to improve the achievements, conditions etc. of the junior professorship

This constitution shall come into force on the day following its publication in the Official Information Bulletin of Humboldt-Universität zu Berlin (Amtliches Mitteilungsblatt der Humboldt-Universität zu Berlin).

APPENDIX

1. Extracts from the Framework Regulations governing Institutions of Higher Education ('Hochschulrahmengesetz, HRG') in the version of 8 August 2002 (6.HRGÄndG)

Section 48

Legal status of the employment of a junior professor

(1) A junior professor is appointed as a civil servant for a limited period of three years. This civil service relationship should be extended for a further three years, with the consent of the junior professor, provided they have proved themselves suitable as professors. Otherwise the appointment may be extended for up to one further year, in agreement with the junior professor. With the exception of the cases specified at section 50 paragraph 3, any further extension is not permissible; this also applies to a renewed employment as a junior professor. The possibility of going into retirement directly after this employment is expressly excluded.

(2) Unless otherwise specified in this Act, the guidelines for civil servants for life shall apply accordingly to junior professors.

(3) Junior professors may also be given employee status, in which case paragraph 1 shall apply accordingly.

Source: http://www.bmbf.de/pub/hrg_2002815.pdf (in German)

2. Extracts from the 9th Act amending the Berlin Regulations for Institutions of Higher Education (Neuntes Gesetz zur Änderung des Berliner Hochschulgesetzes- 9. BerlHGÄG)

Section 102b

Legal status of the employment of a junior professor

(1) A junior professor is appointed as a civil servant for a limited period of three years. This civil service relationship should be extended for a further three years, with the consent of the junior professor, provided they have proved themselves suitable in their function. Otherwise the appointment may be extended for up to one further year, in agreement with the junior professor. With the exception of the cases specified at section 95, any further extension is not permissible; this also applies to a renewed employment as a junior professor. The possibility of going into retirement directly after this employment is expressly excluded.

(2) Whether or not a junior professor has proved himself or herself suitable in the sense of paragraph 1, sentence 2, shall be decided by the faculty council. In cases of universities without faculties, such decision shall be made by the academic senate. When making this decision, assessments shall be taken into consideration, at least two of which are to be external assessments. The experts are determined by the departmental council. Further details are regulated by the constitutions of the universities.

(3) Section 102 paragraphs 3 and 4 shall apply accordingly.

(4) Junior professors may also be given employee status, in which case their working conditions shall correspond to the rights and duties of junior professors who are appointed as civil servants, provided this is not in contravention of general employment or budgetary regulations.

Source: http://www.science.berlin.de/cgi-bin/frames.pl?http://www.science.berlin.de/3_politik/inhalt/4_recht/3_berlhg/BerlHG_Abschnitt_11-12.htm (in German)