



**Statute
Governing Tenure-Track Professorships at Charité – Universitätsmedizin Berlin
(Tenure-Track Statute)¹**

Consolidated Version
Last updated: April 21st, 2020²

The German version is the legally binding version. The English version is for informational purposes only.

¹Full citation:

“Tenure-Track Statute from January 23rd, 2019 (Official Gazette p. 1893), as amended by Article 2 of the Statute from April 21st, 2020 (Official Gazette p. 1983)”

²This version takes into account:

- the Statute from January 23rd, 2019 (Official Gazette no. 224, p. 1893)
- Article 2 of the Statute from April 21st, 2020 (Official Gazette no. 244, p. 1983)

Preamble

(1) As one of the most renowned medical faculties and university hospitals in Europe, the Charité relies on recruiting outstanding international figures for research, teaching and patient care and retaining them over the long-term, thereby ensuring institutional competitiveness. With this in mind, Charité – Universitätsmedizin Berlin (the “Charité”) has firmly established the career path of tenure-track professorships at the Charité in order to provide excellent academics with long-term career prospects early on. This applies, above all, to the early stage of one’s academic career, for which the tool of the tenure-track professorship is especially intended to be used.

(2) In order to open up attractive and long-term career prospects for the most promising and bright talent, a nuanced principle is established based on requirements and performance.

(3) For young scientists, the decision to start a family often coincides with the start of their professional career. The Charité strives to make tenure-track procedures more family-friendly and flexible within the framework of what is permitted by law by means of part-time professorships. The expectations in terms of the accomplishments to be achieved by the time of the tenure evaluation do not differ qualitatively from those for the full-time professorships. Proposals for designing one’s academic career in a family-friendly manner are also especially to be granted for tenure-track professorships, within the scope of what is permitted by law.

§ 1

Scope of application

This statute regulates:

1. the structures, procedures and quality standards for tenure-track professorships at the Charité;
2. the establishment and design of tenure-track professorships;
3. specific features of the appointment procedures for tenure-track professorships;
4. the facilities provided and the definition of the performance criteria for tenure-track professorships;
5. support measures and interim evaluations; and
6. the evaluation procedure and how it is applied to tenure-track professorships.

In addition, the provisions of the Appointment Regulations from April 21st, 2020 (Official Gazette p. 1983), apply, as amended, so long as this statute does not provide otherwise.

§ 2

Definition of terms

(1) Tenure-track professors, for the purpose of this statute, are holders of a junior professorship or a professorship that is a limited civil service appointment or is subject to a fixed-term employment contract, in each case with a tenure track.

(2) Lifetime professors, for the purpose of this statute, are holders of a professorship that is a lifetime civil service appointment or is subject to a permanent employment contract.

(3) A tenure-track commitment, for the purpose of this statute, is a binding commitment of an appointment to a lifetime professorship (which is not conditional upon a lifetime position being available at the end of the tenure-track phase) in the event that specific evaluation criteria are met that have been laid down in writing as part of the process for filling the tenure-track professorship, and given that the formal requirements for employment as a lifetime professor are met.

§ 3

Special features of the appointment procedure for tenure-track professorships

Tenure-track professorships are filled as part of a regular, quality-assured appointment procedure, using a public, international call for applications, in which internationally recognized expert appraisers are involved. If the specialist profile of the professorship makes it seem necessary, foreign expert appraisers are also to be involved. Applicants for tenure-track professorships should have changed university after completing their doctorate or should have worked in academia outside the Charité for at least two years. It is not possible to forgo issuing a call for applications for tenure-track professorships. The legal requirements for employment apply.

§ 4

Determination of the performance criteria and facilities for the tenure-track professorships

(1) During the course of the appointment negotiations, performance criteria that are to be achieved for the tenure track in question will be suggested to the appointed candidate by the faculty management on the basis of the non-exhaustive catalog of performance criteria attached to the tenure-track statute, taking into account the subject area and the academic career level, and these will be agreed in a separate performance agreement in addition to the appointment commitment. The performance agreement will also state that fulfillment of the performance criteria in question and the employment requirements according to the procedure set out in § 6 will lead to the incumbent being transferred to a professorship for life.

(2) Furthermore, the separate performance agreement will state that if the performance criteria are determined in the evaluation to have not been met, the fixed-term phase of the tenure-track professorship may be extended, upon application, by up to one year for tenure-track professorships (phase-out period).

(3) The Charité provides appropriate facilities. These facilities ensure the ability to work independently and must be aligned to the subject in question.

§ 5

Funding measures, interim evaluation and early evaluation of junior professorships during the fixed-term phase

(1) As part of the appointment negotiations, individual measures for promoting employee development will be bindingly agreed with the appointed person in coordination with the management of the institution to which the professorship is assigned, and the management of the institution in question will be responsible for their implementation.

(2) In addition, those appointed will be given the opportunity to participate in a faculty mentoring program.

Participation is voluntary. The mentors must be persons other than the institution managers or any other supervisors, members of the evaluation committee, or other persons involved in the assessment and evaluation procedures of the tenure-track professorships in question. The faculty management will support those appointed in their search for mentors. Regular supervision and support is regulated by the mentoring program, and will be provided on a confidential basis.

(3) In the case of junior professorships with a tenure-track commitment, the procedure for determining one's proof of suitability in the post of junior professorship may be replaced, in individual cases, upon application by the junior professor and following a decision by the faculty management, by the evaluation for a transfer to a professorship for life, in accordance with § 6. For this to be possible, the applicant must have demonstrated exceptional performance and be expected to fulfill the agreed performance criteria, which must be proven in a performance report enclosed alongside the application. The application must be submitted two years and three months after the professorship commenced. If successful, the evaluation will lead to the transfer to a professorship that is a lifetime civil servant appointment or is subject to a permanent employment contract. If the result of the evaluation is negative, the faculty council may initiate the procedure for determining proof of suitability in the post at the request of the dean.

(4) In the case of fixed-term associate (W2) professorships, an interim evaluation may be carried out in individual cases, upon application, after two years at the earliest, which allows the professor to obtain an assessment of his or her performance to date in relation to the fulfillment of the agreed performance criteria for the upcoming evaluation for the transfer to a professorship for life according to § 6 and makes it easier for him or her to embark on further planning. An informative performance report must be submitted alongside the application for an interim evaluation, so as to be able to assess the fulfillment status of the performance criteria. The permanent evaluation committee will carry out the interim evaluation and obtain internal and external expert opinions for this purpose. This interim evaluation has no binding effect in terms of guaranteeing a positive final evaluation.

§ 6 Evaluation process

(1) The evaluation process is used to review the requirements of the tenure-track commitment as per § 2 paragraph 3. The evaluation of the performance achieved by the tenure-track professor is based on the performance report, containing general performance data and illustrating the fulfillment of the agreed performance criteria, including a lecture on the area of research and on the most important findings, including the external expert opinions, and taking into account the subject in question. In order to evaluate the established performance criteria, a standardized procedure is used during the fixed-term phase of the tenure-track professorship, which is applied in the categories outlined in the catalog of performance criteria, attached. The "patient care" category is only stipulated and assessed as part of the performance criteria for clinical professorships. With the exception of the lecture, the evaluation process is not public.

(2) With due regard for the principle of equality between women and men, the Faculty Council appoints a

permanent evaluation committee consisting of the following members, with voting rights:

1. five members from the group of professors, one of whom acts as the lead;
2. two members from the group of academic staff;
3. two members from the group of students.

The women's and equal opportunities officer has an advisory role in the permanent evaluation committee. The responsible disabilities representatives may also take part in the meetings of the permanent evaluation committee in an advisory capacity if they so choose.

(3) During the actual evaluation process, the permanent evaluation committee is supplemented by:

1. two professors from the subject in question, with voting rights, appointed by the faculty council at the suggestion of the permanent evaluation committee, and taking into account the rules excluding partiality and conflicts of interest;
2. the commercial head of the center in question, in an advisory capacity;
3. the head of the institute or clinic in question, in an advisory capacity; and
4. two external, internationally recognized and, if required from a specialist perspective, international expert appraisers appointed by the permanent evaluation committee, in an advisory capacity.

(4) The evaluation is carried out transparently according to quality standards in line with those for appointment procedures. In addition, academic quality, qualifications, experience, reputation and future potential are to be assessed for the relevant criteria in detail in comparable procedures, taking into account equal treatment. Common to all variations is the requirement for external, international experience and intercultural competence. The equivalence principle that has been introduced for other appraisal procedures at the faculty also applies to the evaluations in tenure-track procedures; this allows for aspects of performance within the categories to mutually compensate for one another above a mandatory base performance level (for example, "excellent" in one category and "good" to "very good" in two others).

(5) The evaluation takes place upon application. The deadlines for submitting applications will be set out in the agreement for the performance criteria. They are to be scheduled in such a way that the final evaluation is carried out in good time before the end of the fixed-term professorship – at the latest, one and a half years before the end of the fifth year (W2) or the sixth year (junior professorship). With regard to the extension of deadlines, the provisions of the Berlin Higher Education Act (BerIHG) apply. If a deadline is not met, an extension of six months may be granted if there are serious grounds. If this extension is also not met, the professorship will end, at the latest, after a phase-out period in accordance with paragraph 9.

(6) The evaluation application must also include a current curriculum vitae and a performance report containing general performance data (publications, third-party funding, teaching activities, prizes, patents and other accomplishments) and illustrating the fulfillment of the agreed performance criteria. A concept outlining how the professorship will be further developed in the event that its term is extended indefinitely should be presented

as additional information, though this will not be of any relevance for the decision-making.

(7) The evaluation committee will determine whether the requirements for employment have been met and will assess whether the professor has satisfied the agreed performance criteria on the basis of the performance report, containing general performance data and illustrating the extent of fulfillment of the performance criteria, including the external expert opinions and taking into account the subject in question. In doing so, the evaluation committee may determine that achievement of the performance criteria to an excellent degree in one category compensates for a weaker performance in another category, in accordance with the equivalence principle. The appraisal is carried out using the classifications “fulfilled to an excellent degree”, “fulfilled to a very good degree”, “fulfilled to a good degree” or “not fulfilled” for each category of performance criteria. In the final analysis, the evaluation committee must make a clear, well-founded decision as to whether the agreed performance criteria have been achieved overall and whether the requirements for employment have been met.

(8) If, when applying the above criteria, the evaluation committee comes to the conclusion that the requirements of the tenure-track commitment pursuant to § 2 (3) have been met, it will submit a justified proposed decision to the extended faculty council, expanded to include the faculty professors as per § 70 (5) of the Berlin Higher Education Act, to make an appointment to a lifetime professorship, which will include the evaluation documents, expert opinions, and protocols. The decision of the extended faculty council will be presented, along with the evaluation documents, expert opinions and protocols, to the executive board of the Charité and the Medical Senate for comment, and then passed on, together with any comments, to the member of the Senate of Berlin who is responsible for higher education institutions as a recommendation to issue the offer of a lifetime professorship.

(9) If the extended faculty council, expanded to include the faculty professors as per § 70 (5) of the Berlin Higher Education Act, determines, on the recommendation of the evaluation committee, that the requirements of the tenure-track commitment pursuant to § 2 (3) have not been met, the limited civil service appointment or fixed-term employment contract may be extended by up to one year upon application (phase-out period). For tenure-track professorships that receive funding from the Joint Federal Government–Länder Funding Programme for Junior Academics, the limited civil service appointment or fixed-term employment contract is to be extended by up to one year upon application (phase-out period).

(10) Evaluation procedures are to be carried out transparently, uniformly and neutrally. The requirements and the course of proceedings will be publicized at the Charité in a comprehensive manner and so as to be always understandable and transparent. The necessary documents for submission (templates, samples, dossiers, checklists) are available to download from the Charité website.

§ 7

Special regulation on joint appointments

For tenure-track professorships that are set up jointly with a non-university research institution, the procedure and the criteria for the tenure evaluation must be settled by an agreement between the Charité and the non-university research institution before the tenure-track professorship is filled, in accordance with the principles set out in these regulations.

§ 8

Equality and diversity

When establishing tenure-track professorships, the Charité takes particular account of the principles of equality and diversity. In order to be able to meet people’s career wishes and needs as well as family obligations, and to significantly increase the proportion of women, gender-specific measures are adopted within the Charité’s career system. Aspects of diversity such as internationalization and migration backgrounds are likewise taken into account.

§ 9

Transitional provision

For appointment procedures for tenure-track professorships that were started up to and including April 21st, 2020, the provisions of this statute together with the provisions of the framework statute for appointments at Charité – Universitätsmedizin Berlin from October 26th, 2016 (Official Gazette p. 1533), shall continue to apply, in each case in the version valid up until that point.

§ 10

Entry into force

(Entry into Force)³

³Not reproduced here.

Appendix

Catalog of performance criteria

(Examples – additional criteria can be added to the categories)

A. Research

1. Publications
2. Quality, originality and interdisciplinarity by international standards
3. Reputation in the international environment (prizes, awards, guest lectures)
4. Acquired third-party funding (EU, DFG [German Research Foundation], BMBF [Federal Ministry of Education and Research], NIH, etc.)
5. Potential for scientific development by international standards
6. Independence

B. Teaching

1. Scope of teaching activities (proof of fulfillment of the standard teaching commitment in accordance with the Ordinance on Teaching Obligations at Higher Education Institutions [Lehrverpflichtungsverordnung])
2. Quality, evaluations
3. Introduction of new, up-to-date teaching content and/or concepts
4. Teaching awards
5. Supervision of theses
6. Subsequent positions
7. Potential for development in teaching, participation in further didactic training

C. Academic self-governance/service

1. Coordination of joint projects
2. Peer review
3. Editorial boards, editor
4. Reviewer for research funding
5. Participation in professional associations/specialist societies
6. Commission work, committees and offices within and outside the Charité
7. Public relations work, public visibility
8. Participation in non-subject-specific events
9. Membership in academies
10. Services in a laboratory

D. Patient care

1. Quality of clinical competencies
2. Clinical quality management
3. Own further specialist medical training/development of clinical career
4. Clinical management/leadership
5. Clinic services

E. Supporting junior academics

1. Supervision of bachelor's and master's theses
2. Supervision of doctorates
3. Participation in the Doctorate Environment
4. Activity as a mentor

F. Knowledge and technology transfer

1. Invention disclosures
2. Patents
3. Spin-off companies
4. Science communication

G. Academic further training

1. Advanced and further training
2. Acquisition of additional qualifications

H. Personnel management skills

1. Further training in management and leadership skills
2. Participation in management coaching/peer coaching
3. Staff development in the managed area
4. Results of peer reviews