



Medizinische Hochschule  
Hannover

# Procedural guidelines for making professorial appointments at Hannover Medical School



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## **W1, W2 and W3 professorships and endowed professorships**

### **Preamble**

Professorial appointments make a substantial contribution to ensuring quality and profile formation in higher-education institutions, and have a lasting influence on the focus of research and teaching there. At the same time, appointment procedures for professorships are the most important instrument in reducing the under-representation of women in leadership roles and in executing the equality mandate set out in the German Basic Law and the Lower Saxony Higher Education Act (NHG). In professorial appointments, the governing body (*Presidium*) of Hannover Medical School (MHH) places particular emphasis on strengthening priority research areas at this institution. The intention is that the best-possible candidates, from both Germany and abroad, are recruited in order to strengthen the School's national and international competitiveness. Depending on the subject matter of the professorship, other aspects of MHH's services and performance (from the areas of teaching, healthcare, leadership skills, technology transfer and knowledge transfer) are of great importance when selecting suitable candidates.

### **1 General remarks**

Professorial appointments are made in accordance with Sections 25–28 and 30 of the Lower Saxony Higher Education Act (NHG). The following are taken into account: MHH's current Structural and Development Plan, the Academic Advisory Council of Lower Saxony's (WKN) Recommendations for Ensuring Quality Procedures for the Appointment of University Professors, the findings of the Benchmarking Association at Lower Saxony's Higher Education Institutions on Equality as a Quality Criterion in Professorial Appointments, MHH's commitment to upholding the German Research Foundation's (DFG's) Research-Oriented Standards on Gender Equality, and MHH's Gender Equality Plan.

### **2 Procedures for professorial appointments**

#### **2.1 Refilling a professorial position**

If an institute director or head of department position requires refilling, the Senate shall first appoint a Structure Committee which, in consultation with the MHH Presidium, shall specify the specialist field, strategic focus and funding of the professorship, and how provision of teaching will be ensured. It shall put this in writing in the form of a profile paper (see Annex). The Section concerned and, as applicable, relevant centres shall provide written comments. Extension of the professorship's specialist field to include gender sensitivity aspects shall be considered.

The succession process to fill a head of department post shall generally be initiated two years prior to the previous post-holder's departure. Where there are plans to refill a new professorship position within a given institute or clinical department, the director/head of said institute or clinical department must submit a profile paper to the School's President. The Presidium and the Senate shall decide on this appointment. If both bodies agree to the appointment, a Professorial Appointments Committee shall be set up by the Senate.

## 2.2 Establishing a new professorship

Similarly, to establish a new professorship (W1, W2, W3 special-focus professorships, [*Schwerpunktprofessuren*]) within a clinical department, endowment professorship) in an institute or clinical department, the institute director / head of department must make application to the President, submitting a profile paper, stating the case for this professorship and including a plan for how to fund it sustainably. As appropriate, thematically related institutes and clinical departments shall be asked to provide written comments on this profile paper. The officer at MHH in charge of the agreed list of posts (*Stellenplanbeauftragter*) must consider whether an established, budgeted post (*Stellenplan*) is available.

## 2.3 Filling a junior-professorship position

Appointment procedures for junior-professor positions shall be conducted in accordance with Sec. 30 NHG. These posts are initially for a three-year term. If the interim evaluation is positive, there is scope for extending the term for another three years (see Annex for rules of procedure on interim evaluations). For medical professorships, time spent doing one's doctorate and in employment should not exceed nine years in total. A longer period shall require additional justification.

Where a junior professorship is to become a (W2) professorship on a permanent basis – i.e. a tenured professorship – a decision can be made in consultation with the Lower Saxony Ministry of Science and Culture (MWK; via the Presidial Office) not to have a call for applications (in accordance with Sec. 26(1) Sentence 2 (1)). To qualify for tenure, junior professors are generally required to have moved to a different higher-education institution after gaining their doctorate or to have worked outside MHH for at least two years (pursuant to Sec. 26(5) Sentence 5 NHG). Written comments from the Gender Equality Officer must be obtained.

The procedure for filling a junior-professor position (W1) is as follows:

- The procedure is conducted by the head of the clinical department / director of the institute in which the professorship is to be held; this individual shall chair the Professorial Appointments Committee. The Senate shall initiate the proceedings and appoint a Professorial Appointments Committee. The Gender Equality Officer and Representative Body for People with Disabilities are to be involved.
- The Senate and the Presidium shall decide on the wording of the call for applications; approval by the MWK is not required (unless stated in the call for applications that this W1 professorship is a tenure track position).
- Once the procedure has been carried out, the head of clinical department / institute director shall submit to the President a procedural summary (including a recommended final shortlist of candidates, a statement justifying this list, at least two external assessments and a statement of reasons why the other applicants were rejected). A resolution on the shortlist shall be made by the Senate.
- The MHH President shall make a formal offer to the first-placed candidate.

### **3 Funding and established, budgeted posts**

A professorship shall be funded from the institute's / clinical department's budget or from externally procured resources.

For **endowment professorships**, a contract (examined by MHH's legal department) must be entered into between the donor and MHH. Funding by the donor must generally be documented 'up front' for at least a five-year period. A plan for any follow-up funding must be submitted. In filling an endowment professorship position, the donor may be granted the right of (advisory) representation on the Professorial Appointments Committee. The Presidium is responsible for ensuring compliance with the agreed list of posts.

### **4 Setting and removing time limits**

Professors can, under Sec. 28 NHG, be appointed for a limited (five-year) term. Extension by up to five years at a time is possible, pursuant to Sec. 28(1) (1–6) NHG.

A professorship can be made permanent upon request by the institute director / head of clinical department in question, taking into account capacity legislation and following a positive interim evaluation, and where an established, budgeted post (or an established, non-budgeted post for which external funding is required) is available. The formal offer shall be made by the Lower Saxony Ministry of Science and Culture (MWK; see Annex for the procedure to extend a professorship or make it permanent).

### **5 Procedures up to and including acceptance of a formal offer**

#### **5.1 Establishing a Professorial Appointments Committee / Structure Committee**

If the Presidium consents to the refilling of a professorial position, or to establishing a new professorship, the relevant procedure shall be initiated by the appointment – by the MHH Senate (pursuant to Sec. 26(2) Sentence 2 NHG) – of a Professorial Appointments Committee, whose initial function is that of a Structure Commission. This appointment shall be in agreement with the Presidium. The Structure Committee's function is to discuss and define the future structure and scientific focus of a professorship. Its meetings shall be convened by the Presidium and shall usually be chaired by the President. Where the proceedings are continued, the designation and function of the Structure Committee shall become that of a Professorial Appointments Committee.

The make-up of professorial-appointments committees shall reflect the various status groups within the School. The committee's Chair is to be appointed by the Senate (members of the Presidium shall not assume this role). The members of the committee shall, in accordance with Sec. 16(2) Sentence 2 NHG, be appointed by the Senate at the recommendation of the status groups. Where W3 professorships are to be filled, Professorial Appointments Committees shall take the form of an 'enlarged' committee (six professors, two non-tenured research staff, two employees from Technical and Administrative Services [advisory, without voting rights] and two students) and, where W2 and W1 professorships are to be filled, of a 'smaller' committee (3:1:1:1). Where a larger committee is formed, all four Sections should generally be represented in the group of professors, with two representatives to be designated from within the Section in which the professorship concerned is to be held. Suggestions may be received

from the various Sections as to the representation of their members within a professorial-appointments committee.

One to two advisory members may also be appointed, especially if this is to ensure strengthening of MHH's priority research areas. Members of the Presidium and elected senators may attend the meetings of the Professorial Appointments Committee as advisory members at any time. Prerequisites for attendance by elected senators are that they have notified the Chair of the Professorial Appointments Committee accordingly, and can ensure the continuity of their attendance.

Two external members of the Professorial Appointments Committee shall also be appointed. MHH shall take the opportunity offered by outside members to increase the proportion of females serving on such committees (if it is not possible to have women from MHH account for half of the seats on the committee). In special cases, the number of external members can be increased to more than two, as for example where a fundamentally new line of research is being established or where there are conflicts of interest within the School. External members of the committee have voting rights. To ensure that the votes on the Professorial Appointments Committee are properly representative of the various status groups, those members of the committee who are from MHH shall vote separately from those who are not.

The intention is to achieve fifty-fifty representation by men and women on professorial-appointments committees. At least 40% of members with voting rights should be females (pursuant to Sec. 26(2) Sentence 5 NHG). Half of the members shall belong to the group of teachers at the School. Exceptions are possible only by permission of the Gender Equality Officer.

Invitations to meetings of the committee must be sent out in good time but no later than two weeks in advance. External members of the committee may be given the option of attending by conference call. With the exception of the second selection meeting, such members may also provide written comments in response to meetings.

Resolutions require a majority vote – both a majority of Professorial Appointments Committee members and a majority of the group of teachers at the School. Where a resolution is not adopted even after a second round of voting, a final decisive vote shall be held among the members of the group of MHH teachers on the committee (Sec. 16 (3) Sentence 2 and 3 NHG).

The members of the Professorial Appointments Committee are referred to MHH's rules for avoiding conflicts of interest (see Annex). Possible conflicts of interest affecting these members shall be reviewed with reference to the list of applicants (additional appointments may be required subsequent to the committee's formation). The view held by the Professorial Appointments Committee shall be decisive in this matter.

For any given meeting, minutes of the previous meeting (including an attendance list) shall be available.

## **5.2 Opening meeting**

At the start of the opening meeting, the members of the Professorial Appointments Committee shall be notified by the Chair of their functions, obligations and rights. In particular, this shall involve advising them of the requirement for confidentiality and discretion, and of the rules for avoiding conflicts of interest. They are also to be informed that in these proceedings, pursuant to Germany's General Equality Act (AGG), discrimination is not permitted on the grounds of gender, age (exception: 50 is the age ceiling for first-time appointment with tenured civil-servant status pursuant to Sec. 27(2) Sentence

1–3 NHG), a disability or chronic health condition, ethnic origin, religion or belief, or sexual identity. They are also advised that, at interviews, no questions about marital status, care responsibilities, etc. are permitted. Under DFG guidelines, if there are unavoidable gaps in one's scientific career history (e.g. longer qualification phases due to childcare commitments, gaps in publications or a reduced number of periods abroad), these must be adequately taken into account. Gender training shall be introduced for members of the committee.

At the opening meeting, the text of the call for applications shall be drafted and decided upon (by vote) by the Professorial Appointments Committee. In addition to the general selection criteria pursuant to Sec. 25 NHG, selection criteria for the professorship position concerned shall be set. These criteria may not be changed during the course of the proceedings. Texts of calls for application shall be broadly worded so as to appeal to as large a pool of applicants as possible. These texts shall generally indicate that MHH is seeking to increase the proportion of female professors (a specimen text for calls for application is given in the Annex). A list of scientists eligible/suitable for professorships must be issued by the director of the institute / head of the clinical department in which a professorship is to be established.

At the opening meeting, the Professorial Appointments Committee shall also determine whether – and, if so, which – candidates should be actively approached with a view to their applying. This must be coordinated in consultation with the Chair of the Professorial Appointments Committee and take place in a transparent manner as per the rules given in the Annex.

The text of a call for applications adopted by the committee shall be:

- a) submitted for resolution to the Senate and the Presidium;
- b) forwarded for approval, together with written comments on strengthening MHH's priority research areas and on the professorship's funding, to the Lower Saxony Ministry of Science and Culture (MWK); and
- c) published via the appropriate channels, usually with a four-week application time limit.

### **5.3 First selection meeting**

At the first selection meeting, applicants shall be narrowed down to those who are to be invited to give talks for selection purposes. As a rule, female applicants shall, provided they fit the required profile, be invited to give a talk. The non-inclusion of applicants is, at all stages of the decision-making process (invitation to give these talks, external assessment, final shortlist of candidates for appointment) to be justified with reference to the selection criteria for the professorship.

If an application has been received from a disabled person, the Representative Body for People with Disabilities shall be informed beforehand and invited to the meeting. If this candidate lacks the professional qualifications required, it may be the case that they – in agreement with the representative body – are not invited for interview.



#### **5.4 Talks given for selection purposes**

Candidates' presentations shall involve a talk, open to everyone at the School and generally of 20 minutes' length, followed by a discussion of around 10 minutes' duration. So that the candidate's teaching abilities can be gauged, the talk should be pitched at a level that students can follow. The Chair of the Professorial Appointments Committee is responsible for ensuring the above-mentioned time limits are adhered to.

Questions on the candidate's own plan for the professorship should not be asked during the public part of the presentation. Following the talk, an individual interview – from which the public are excluded – lasting about 30 minutes shall be held by the Professorial Appointments Committee.

Candidates shall be given the opportunity to familiarize themselves with the institute/clinical department concerned.

#### **5.5 Second selection meeting**

Following the talks, the Professorial Appointments Committee shall hold a second selection meeting at which it selects the candidates whose application documents shall be forwarded to external subject-matter representatives. Two such reviewers and one reserve reviewer shall be appointed; they must hold a chair and, in line with DFG criteria, not be in close contact with the candidate. The reviewers are, accordingly, requested to make a statement on impartiality. If women have been shortlisted for a professorship, at least one female reviewer shall, as far as possible, be requested to provide an external assessment. Under Sec. 26(5) Sentence 3 NHG, an external assessment does not need to be obtained if there are at least three external members serving on the Professorial Appointments Committee.

Where the position to be filled is a head of clinical department post, the Professorial Appointments Committee shall decide whether, and for which candidate, site visits shall be made. The Senate shall appoint members of a delegation, which reflects all status groups, for site visits by the Professorial Appointments Committee.

#### **5.6 Closing meeting**

Following receipt of the external assessments, the Professorial Appointments Committee shall draw up a shortlist for appointment at its final meeting. The only candidates in the final shortlist should be those that the committee unreservedly feels are suitable for the professorship.

#### **5.7 Senate resolution**

The proposed shortlist of candidates shall be submitted to the School's Senate for resolution. Resolutions require a majority vote by both the Senate and the group of teachers at MHH. The Presidium shall then make the final decision concerning the officially approved final shortlist.

If the shortlist appointment decided by Senate resolution has been voted against by the Gender Equality Officer, the latter may, under Sec. 42(4) Sentence 1–3 NHG, request that this decision be reviewed (i.e. appealed against). A further resolution shall be adopted within the Senate. The Presidium shall then make a final decision on the shortlist and submit it to the MWK (Sec. 26(2) Sentence 8 and 9 NHG). If the Presidium's decision is at variance from the Senate's resolution, the Presidium shall discuss the matter with the Senate once again.

## **5.8 Making of a formal offer by the Lower Saxony Ministry of Science and Culture (MWK)**

The President shall forward the officially approved final shortlist, together with a statement justifying the inclusion and order of candidates along with comments by the Gender Equality Officer, to the MWK so that the latter can formally offer the post to the first-placed candidate. The following shall be included with this final official shortlist: the text of a call for applications, the composition of the Professorial Appointments Committee, the list of applicants, the minutes of the meetings, the Senate's resolution, the external assessments, and the shortlisted candidates' application documents.

If the MWK intends to offer the post to a candidate who is not the first choice, the Professorial Appointments Committee is to be reconvened and its written comments obtained. The Senate shall be informed of this.

The shortlisted candidates shall be informed about their rank on the shortlist, and that the post is to be offered to the first-placed candidate.

In the event that the first-placed candidate turns down the offer, the MWK shall be requested to offer the post to the next-placed candidate. If there are no candidates remaining on the shortlist and no-one has accepted the offer, the Professorial Appointments Committee shall reconvene and decide whether other individuals from among the original applicants should be reconsidered (for which two external assessment must be obtained and a new recommended shortlist submitted to the MWK), whether a new call for applications should be made, or whether the proceedings should be terminated. A repeat call for applications requires the MWK's approval.

Under Sec. 26(5) Sentence 4 NHG, even persons who have not applied can, with their consent, be considered.

## **5.9 Acceptance of the formal offer**

If the appointment negotiations prove successful, all applicants shall be informed about the acceptance of the formal offer; their application documents shall be returned.

## **5.10 Other aspects**

The travel expenses of the committee's external members shall be reimbursed by MHH, as shall those of applicants invited to give talks for selection purposes.

The President shall, at each meeting of the Senate, report on the status of ongoing professorial-appointment proceedings in order to ensure procedural transparency.

## 6 Special arrangements

### 6.1 Non-requirement for a call for applications

Under the Lower Saxony Higher Education Act (NHG), professorships must be publicly advertised.

Following approval by the MHH Senate and the federal state of Lower Saxony's Ministry for Science and Culture (MWK), in the following cases there is (pursuant to Sec. 26(1) Sentence 2–4 NHG) no requirement for a call for applications:

- a) if a junior professor or a temporary professor is to be offered a tenure track position (i.e. removing time limits);
- b) if a professor who has received an offer from another higher-education institution is to be offered a higher professorship (to deflect offers from other universities);
- c) if a professorship is funded from a cross-university support programme whose regulations for awarding funds require a call for applications or an application procedure, as well as a selection procedure with external assessment;
- d) if a particularly well-qualified person is sought whom the School has a special interest in appointing to improve the quality of, and strengthen, its profile.

For such cases, MHH has special rules governing the professorial-appointment procedure that differ from those in Sec. 26 (2) Sentence 2–6 and Sec. 5 Sentence 1–4 NHG (see Annex).

Written comments shall be obtained from the Gender Equality Officer.

### 6.2 In-house professorial appointments

Where professors are to be appointed from in-house, the candidate is generally required to have moved to a different higher-education institution after gaining their doctorate or to have worked outside MHH for at least two years (cf. Sec. 26(5) Sentence 5 NHG). This also applies where junior professors are appointed to tenured professorships. Exceptions are possible only by permission of the MWK.

### 6.3 Joint professorial appointments with non-university research institutions (Fraunhofer Institute ITEM in Hannover, Helmholtz Centre for Infection Research (HZI) in Braunschweig)

The procedure for professorial appointments shall, as described above, be conducted in accordance with a cooperation agreement. Members of MHH and the Fraunhofer Institute or Helmholtz Centre for Infection Research (HZI) shall be represented equally on the Professorial Appointments Committee.

### 6.4 Overview of what appointment procedures involve

Procedural steps for appointments	Review / approval / persons or bodies responsible
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Establishment of a professorship: Submission of a profile paper and funding plan by the relevant institute director / head of clinical department or by the Structure Committee Review of the availability of an established, budgeted post and position reference number	1. Presidium 2. Senate: Establishment of a Professorial Appointments Committee / Structure Committee
(As appropriate) Cooperation agreement	Legal department
Involvement of Gender Equality Officer	Officer for Professorial Appointment Procedures
Involvement of Representative Body for People with Disabilities	Officer for Professorial Appointment Procedures
Review of conflicts of interest for the entire Professorial Appointments Committee	Professorial Appointments Committee and Officer for Professorial Appointment Procedures
Text of a call for applications and setting of selection criteria	Professorial Appointments Committee Senate MWK
Call for applications for positions with tenured civil-servant status or privileged (non-union) employment status	Presidium and MWK (W2, W3)
Publication of text of a call for applications	Officer for Professorial Appointment Procedures
Notification of receipt to all applicants	Officer for Professorial Appointment Procedures
Review of application documents Narrowing-down of applicants to give talks for selection purposes	Professorial Appointments Committee
Invitation of applicants to give talks	Officer for Professorial Appointment Procedures
Talks for selection purposes with individual interviews	Professorial Appointments Committee
(As appropriate; for clinical professorships) Site visits	Delegation for site visit
Appointment of external reviewers Review of conflicts of interest for external reviewers Obtaining of external assessment	Professorial Appointments Committee Officer for Professorial Appointment Procedures
Decision on conflicts of interest and suitable measures to maintain procedural objectivity	Chair of the Professorial Appointments Committee
Resolution on list of final recommended candidates	Professorial Appointments Committee, Senate, Presidium

Obtain written comments from Gender Equality Officer	Gender Equality Officer
Officially approved final (recommended) shortlist to MWK as basis for making a formal offer; with statement of reasons why these applicants were selected and why others were not (with reference to <i>Habilitation</i> -equivalent achievements)	Institute director / head of clinical department Officer for Professorial Appointment Procedures President
Making of a formal offer	MWK
Information on all those involved at MHH and about candidates on final shortlist	Officer for Professorial Appointment Procedures
(Following acceptance of the formal offer) Notification of all applicants	Officer for Professorial Appointment Procedures

## 7 Appointment negotiations

### 7.1 W1/W2 professorships

Meetings with the selected candidate to discuss their individualized contract and provision of resources for the professorship are, for W1/W2 professorships, initially conducted with the head of clinical department / institute director concerned. The following aspects should be arranged:

- a. Personnel resources (for the professorship);
- b. Investment resources;
- c. Facilities; and
- d. Individualized contract (with involvement of Personnel Management).

The outcome of these discussions shall be recorded in a letter addressed to the President. All additional wishes of the candidate that cannot be met by the clinical department / institute concerned shall be finalized with the Presidium on the basis of this summary. To this end, meetings shall be held between the candidate and the Presidium with the involvement of the institute director / head of clinical department.

### 7.2 W3 professorships

Appointment negotiations to fill a W3 professorial position shall be conducted directly with the MHH Presidium on the basis of the candidate's plan encompassing research, teaching and (if appropriate) healthcare. Where the position is a W3 professorship integrated into a particular department, the institute director / head of clinical department shall be consulted prior to the interview with the President. The negotiations shall cover personnel resources, facilities and the individualized contract.

The Presidium shall not negotiate with lawyers acting for the candidate. Legal advice may be sought from the German Association of University Professors and Lecturers (DHV).

### 7.3 Further information

MHH holds 'family-friendly university audit' certification. Three different child daycare facilities have places available for the School's staff. Many other support services for employees are also provided. As part of the appointment negotiations, support is offered for dual-career couples. The 'Initiative Wissenschaft Hannover' science initiative runs a Dual Career Network.

Commitments made by MHH regarding personnel, material and equipment resources for newly appointed professors are generally valid for five years.

Travel expenses incurred in connection with appointment negotiations shall be reimbursed if the formal offer is accepted.

Acceptance of the offer shall be in the form of a simple letter to the Minister of the Lower Saxony Ministry of Science and Culture (MWK), and to the MHH President.

Following acceptance of the offer, all applicants shall be notified thereof and their application documents returned.

All relevant contacts at MHH shall be notified of the acceptance of the offer and the commitments made by the School during appointment negotiations.

### 7.4 Overview of what is involved in professorial-appointment negotiations

<b>Procedural steps</b>	<b>Persons or bodies responsible</b>
<b>Appointment negotiations</b>	
Appointment negotiations	W1/W2 professorships: institute directors / heads of department  W3 professorships: Presidium (Director, Division of Research and Teaching / President; Director, Division of Healthcare; Director, Division of Business and Administration)
Compilation of information on personnel, facilities, budget	Officer for Professorial Appointment Procedures
Requesting the candidate's scientific / (as appropriate) clinical plan	Officer for Professorial Appointment Procedures
Negotiation of individualized contract	Director, Division of Business and Administration
Preparation of minutes and a statement on commitments made by the School during appointment negotiations	Officer for Professorial Appointment Procedures / Presidium

Acceptance/Rejection of the formal offer	Candidate
Notification of all those involved at MHH	Officer for Professorial Appointment Procedures
Provision of guidance to appointee during their first year after accepting the offer	Officer for Professorial Appointment Procedures

## 8 Annex

### 8.1 Profile paper

<b>Checklist for a profile paper on the establishment of a professorship<sup>1</sup></b>
<p><b>Basic information:</b></p> <ul style="list-style-type: none"> <li>• Appointment grade (W1–W3);</li> <li>• Specialist field covered by the professorship, (as appropriate) specialist subfield for gender research;</li> <li>• Position reference number; where does the position belong in the agreed list of posts? (Consult officer in charge of this list);</li> <li>• In the case of joint appointments with non-university research institutions: collaborative partners;</li> <li>• Draft of a call for applications, also in English as appropriate, gender-neutral wording of the text (see Annex for specimen);</li> <li>• Funding plan for the professorship;</li> <li>• In the case of endowment professorships and externally funded professorships: funding sources.</li> </ul> <p><b>Additional information in the case of ‘dependent’ professorships (i.e. those ranked below the head of clinical department / institute director):</b></p> <ul style="list-style-type: none"> <li>• Assigned institute / clinical department</li> </ul>

<sup>1</sup> Cf. Technische Universität Berlin: Leitfaden zur Durchführung von Berufungsverfahren (Procedural Guidelines for Making Professorial Appointments) (in German). 2011, here: p. 28ff.

<ul style="list-style-type: none"> <li>• Where positions are subsequently refilled: previous post-holder</li> <li>• Where a professorship is time limited: is it to be made permanent?</li> </ul>
<p><b>Teaching and research content:</b></p> <p>Statement of reasons why the professorship, and the (re)filling of the position, is necessary:</p> <ul style="list-style-type: none"> <li>• Description of previous research and future priority research areas;</li> <li>• Potential for development;</li> <li>• Relevance to MHH's priority areas and strategic focus, relation to collaborative research centres (SFBs) and other networks at MHH;</li> <li>• Coordination/Consultation with institutes / clinical departments that have a similar thematic focus;</li> <li>• Collaborative partners at MHH;</li> <li>• Description of teaching content and teaching strategies;</li> <li>• List of relevant courses of study.</li> </ul> <p><b>Additional information in the case of 'dependent' professorships:</b></p> <ul style="list-style-type: none"> <li>• Overview of the scientific field and its relevance.</li> </ul>
<p><b>Assessing the applicant situation</b></p> <ul style="list-style-type: none"> <li>• Disclosure of expected in-house applications</li> <li>• Submission of a list of scientists eligible for professorship</li> </ul>
<p><b>Provision of resources</b></p> <ul style="list-style-type: none"> <li>• Description of resources (personnel, investment, facilities) provided with the professorship</li> </ul>

## 8.2 Rules for directly approaching candidates<sup>2</sup>

Especially suitable candidates may be actively approached by the Professorial Appointments Committee. The procedure must be transparent and verifiable. The following rules apply:

- Responsibility for such contact lies with the Chair of the Professorial Appointments Committee; in the case of 'dependent professorships' (i.e. those ranked below the head of clinical department / institute director), in consultation with the latter.

<sup>2</sup> Cf. Friedrich-Alexander Universität Erlangen-Nürnberg (FAU): Berufungsverfahren für Universitätsprofessuren und Juniorprofessuren unter besonderer Berücksichtigung des Gleichstellungsaspektes. Genderbezogene Auszüge aus dem umfassenden Berufungsleitfaden der FAU (Appointment procedures for university professors and junior professors with particular reference to the gender equality aspect. Gender-related passages from the FAU's comprehensive guidelines on professorial appointments) (in German) 2011, here: p. 19ff



- Candidates should be actively approached within the time limit for the call for applications.
- In exceptional cases, persons who have not applied can, with their consent, be included in the procedure for professorial appointments in accordance with Sec. 26(5) Sentence 4 NHG. If the candidate is shortlisted, two external assessments must be obtained for them.
- Active recruitment should involve the following steps:
  1. Search for candidates eligible/suitable for the professorship using the following channels/sources:
    - a. Subject-matter representatives at MHH
    - b. Relevant specialist societies
    - c. Science databases
    - d. Winners of science awards
  2. Announcement of call for applications by means of (women's) networks (e-mailing list);
  3. Initiate contact with candidates (verbally or in writing, with reference to the general call for applications or involving a specific, non-binding invitation to apply for the post);
  4. Invitation of outstanding scientists to give guest lectures or speak at symposia, generally in the run-up to the call for applications;

### 8.3 List of criteria for selection of applicants<sup>3</sup>

Requirements for professorial appointments are specified in Sec. 25 NHG; these include the *Habilitation* postdoctoral lecturing qualification or *Habilitation*-equivalent achievements.

For a professorship with a (partially) medical/dentistry-related remit, the post-holder must be accredited as a specialist physician.

The following are expected:

- An excellent research track record, as evidenced by publications, procurement of external funding (DFG, German Federal Ministry of Education and Research [BMBF], foundations, etc.), formal offers of professorships, research awards, lectures, etc. Assessment of candidates' individual qualifications must not be guided by impact factors;
- An excellent teaching track record and assessment of teaching, as evidenced by evaluation outcomes, teaching awards, in-service training on teaching in higher education, etc. Expectations include particular commitment to student teaching, including interdisciplinary units of instruction;

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<sup>3</sup> Cf. Technische Universität Berlin: Leitfaden zur Durchführung von Berufungsverfahren ((Procedural Guidelines for Making Professorial Appointments) (in German). 2011, here: p. 6f.

- Strengthening the priority research areas at MHH; involvement is expected in the coordinated research and teaching programmes at MHH;
- international visibility, as documented by publications in international journals, international collaboration, internationally recognized research achievements;
- Clinical expertise (where clinical chairs are to be filled);
- Observance of gender equality standards;
- Management ability, especially people management skills, and communicative and cooperative skills with supporting evidence in line with outcome measures for excellent leadership at MHH;
- A plan for research, teaching and, as appropriate, for healthcare or other services.

#### **8.4 Evaluation where a professorship is to be made permanent**

The following documents serve as the basis for the interim evaluation:

- Application to the President made by the institute director / head of department concerned;
- Clarification of availability of an established, budgeted post, or of an established, non-budgeted post for which external funding must be obtained;
- Securing of funding for the professorship for the period of the extension;
- Strategy paper that led to the professorship being established;
- The candidate's plan for teaching, research and (as appropriate) clinical activities submitted as part of the application;
- Agreements on goals/targets and performance.

The following documents must be submitted to the President:

- Self-evaluation by the post-holder (previous track record in research, teaching and healthcare, and achievements in technology transfer and knowledge transfer since their appointment, strategy for the future);
- CV, publications, procurement of external funding, teaching performance, supervision of doctoral students since the appointment;
- Assessment by the candidate's line manager.

The following documents must be submitted to the MWK in order to obtain approval for making the professorship permanent:

- Resolution by the Senate and the Presidium not to place a call for applications;
- Application for non-requirement of a call for applications pursuant to Sec. 26(1) 1, Sentence 2(2) NHG and in accordance with MHH's Regulations on Professorial Appointments;

following approval by the MWK:

- Assessment by two external subject-matter representatives on achievements in scientific research, teaching and (as appropriate) healthcare;
- Resolution by the Senate and the Presidium on making the professorship permanent;
- Written comments obtained from the Gender Equality Officer;
- CV, list of publications, documents on post-holder's suitability in terms of teaching ability.

The MWK shall make a formal offer of a tenured professorship to the post-holder.

## 8.5 Extending the term of a professorship

- Application to the President by the institute director / head of department concerned
- Clarification of availability of an established, budgeted post, or of an established, non-budgeted post for which external funding must be obtained
- Securing of funding for the professorship for the period of the extension
- Documents serving as the basis of the interim evaluation: see 8.4
- Documents for submission to the President: see 8.4
- The following documents must be submitted to the MWK for approval of the extension:
  - Assessment by two external subject-matter representatives on achievements in scientific research, teaching and (as appropriate) healthcare;
  - Resolutions on the extension by the Senate and the Presidium;
  - Comments from the Gender Equality Officer;
- CV, list of publications, documents on post-holder's suitability in terms of teaching ability;

The MWK shall make a formal offer to the post-holder concerning extension of the professorship. If this professorial appointment is the post-holder's first, a temporary extension is, under Sec 28(1) (1) NHG, not possible.

## 8.6 Further information

Table of applicants

Specimen wording of a call for applications

Information sheets for newly appointed professors

MHH Regulations on Professorial Appointments

Rules of procedure for interim evaluation of junior professorships

Gender Equality Plan for MHH

Academic Advisory Council of Lower Saxony (WKN) (2005): Recommendations for Ensuring Quality Procedures for the Appointment of University Professors (in English) ([www.wk.niedersachsen.de](http://www.wk.niedersachsen.de); website in German)

German Research Foundation (DRG) (2006): Research-Oriented Standards on Gender Equality (in English)

([http://www.dfg.de/en/research\\_funding/principles\\_dfg\\_funding/equal\\_opportunities/index.html](http://www.dfg.de/en/research_funding/principles_dfg_funding/equal_opportunities/index.html))

Forum 'Gleichstellung und Qualitätsmanagement an Niedersächsischen Hochschulen' (Forum on 'Gender Equality and Quality Management at Lower Saxony's Higher Education Institutions') (2011): Gleichstellung als Qualitätskriterium in Berufungsverfahren. Ergebnisse des Benchmarking-Verbundes an Niedersächsischen Hochschulen. (Gender Equality as a Quality Criterion in Procedures for Professorial Appointments. Findings of the Benchmarking Association at Lower Saxony's Higher Education Institutions) (in German) ([https://his-he.de/fileadmin/user\\_upload/Publikationen/Forum\\_Hochschulentwicklung/fh-201102.pdf](https://his-he.de/fileadmin/user_upload/Publikationen/Forum_Hochschulentwicklung/fh-201102.pdf))

## 8.7 Contacts

### **Presidium, Hannover Medical School**

Prof. Dr. med. Michael Manns

President / Director, Division of Research and Teaching

Tel. +49 (0)511 532 6001, Fax +49 (0)511 532 6003

Baum.Christopher@mh-hannover.de

### **Officer for Professorial Appointment Procedures**

Dr. Sabine Barlach

Hannover Medical School Presidial Office

Carl-Neuberg-Str. 1

30625 Hannover

Germany

Tel. +49 (0)511 532 6012; Fax +49 (0)511 532 6003

email: Barlach.Sabine@mh-hannover.de

