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ORDER

FOR THE RECOGNITION OF THE STATUS OF JUNIOR RESEARCH
GROUP LEADER AT THE UNIVERSITY OF PADERBORN

FROM AUGUST 8, 2023

Please note: This publication is an English translation. Only the German original of these regulations as published in the Official Announcements of the University of Paderborn („Amtliche Mitteilung“) is legally binding.

Regulations for the Recognition of the Status of Junior Research Group Leader at the University of Paderborn

of August 8, 2023

On the basis of Section 2 (4) of the Act on Higher Education Institutions of the State of North Rhine-Westphalia (Higher Education Act - HG) in the version of the Higher Education Act (HZG) of September 16, 2014 (GV. NRW. p. 547), last amended by the Act of June 30, 2022 (GV. NRW. p. 780b), the University of Paderborn has issued the following regulations:

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§ 1 Preamble:

With the career path of a junior research group leader, the University of Paderborn enables young scientists with strong research skills to become independent at an early stage by independently leading a research group. A junior research group leadership opens up a special, attractive development perspective for postdocs, which specifically prepares them for a lifetime professorship and makes this qualification visible to the outside.

The status of junior research group leader is awarded at the University of Paderborn according to a university-standardized process regulated by the statutes. The aim is to ensure a quality-assured position for junior research group leaders. The term junior research group leader may only be used at the University of Paderborn after recognition of the formal status according to these regulations.

With the status of junior research group leader, the University of Paderborn addresses scientific employees after the doctorate in an early postdoc phase, who distinguish themselves through outstanding scientific achievements.

Junior research group leaders play an important role in the research profile of the University of Paderborn: They represent a temporary addition or expansion of existing research foci and enable the development of new research fields. With a junior research group leadership, excellent postdocs can be attracted to the University of Paderborn or kept at the University of Paderborn. Thus, the University of Paderborn establishes an instrument for the promotion of young researchers and positions itself as an attractive research environment for young scientists.

§ 2 Characteristics of junior research group leadership and requirements

The status of junior research group leader can be awarded to persons who fulfill the following characteristics or requirements:

Personal requirements for recognition as a junior research group leader on the part of the candidate are:

1. completion of the doctorate, as a rule, no more than five years ago
2. outstanding scientific achievements after the doctorate as well as demonstrable experience in teaching.

In addition, the position of the candidate must meet the following criteria:

3. the candidate heads a scientifically and financially independent working group; independent tasks in research and teaching are assigned to him/her by the Faculty Council.
4. the working group must have at least one additional scientific employee (at least Master's degree).

5. The candidate is responsible for personnel and budget within the working group and has adequate financial resources to enable him/her and the working group to work independently. In addition, the candidate has access to the necessary infrastructure.
6. The candidate is granted the right to confer a doctorate by the respective faculty for the duration of the leadership of the junior research group.
7. The candidate is directly assigned to the dean of the respective faculty.
8. The candidate employed under collective bargaining agreements is grouped at least according to pay group 14 TV-L. A grouping according to pay group 15 is only possible in very limited exceptional cases. The grade for academic civil servants depends on the respective status.

§ 3 Possibilities of acquiring the status of junior research group leader

The following options exist for acquiring the status of Junior Research Group Leader:

Group A: Recognition of the status in external junior research group programs: Scientific employees who have acquired an external junior research group in a quality-assured, competitive procedure are awarded the status at the University of Paderborn.

Group B: Award of the status in a quality-assured, competitive procedure at the University of Paderborn.

There are two options:

Option 1) Award of the status after filling a publicly advertised position as junior research group leader according to the requirements of §2

or

Option 2) Awarding of the status after application for recognition as a junior research group leader upon fulfillment of the criteria according to §2.

§ 4 Procedural steps and basic modalities

(1) General procedural steps:

- Applications for recognition of the status of junior research group leader are submitted to the Presidential Board by the faculty in which the candidate is or will be employed (application procedure see § 6).

As an operational body, the Tenure Board (see Tenure-Track Regulations §5) is charged by the Presidential Board with the procedure and quality assurance of the status. Group A applications received by the Presidential Board are noted by the Tenure Board. In the case of group B applications, the tenure board examines whether the prerequisites for the requirements for recognition of the status as a junior research group leader and the procedural regulations are fulfilled. If the assessment is positive, it recommends the recognition of the status to the Presidential Board. The Presidential Board makes the final decision. In the event of rejection by the Presidential Board, the faculty will be informed of the reasons for the

rejection.

- The status is awarded by the Presidential Board.
- Each junior research group leader receives a corresponding certificate from the Presidential Board.

- (2) In the case of interdisciplinary junior research groups, it is possible for several faculties/central scientific institutions to submit joint applications for the award of status. The application must specify the faculty to which the junior research group leader and the corresponding staff will be assigned, which faculty will be involved in the application and evaluation process, and which faculty has the right to award doctoral degrees.
- (3) The status is awarded for a limited period of time. The total duration of the junior research group leadership is usually 5 years, taking into account the regulations under labor and civil service law regarding the duration of the employment and civil service relationship. Further details are regulated in § 5 and § 6.
- (4) In principle, an interim evaluation is planned. Interim evaluations serve to critically reflect on the scientific development of the candidates so far and to generate constructive impulses for their further scientific career.

Group A: In group A, this is usually coordinated by the external funding body and the regulations of the funding body apply. Requirements of external funding institutions (reporting obligations and, if applicable, evaluations) remain unrestricted. Quality-assured evaluations by the external funding institution are recognized. If no interim evaluation is foreseen by the funding institution, the procedure is the same as for group B.

Group B: For group B, an internal interim evaluation is planned. The interim evaluation begins two years after the awarding of the status of junior research group leader. The framework conditions of the interim evaluation must be communicated to the candidate upon taking up the position. Part of the interim evaluation is a self-report, an external expert opinion and a statement of the faculty. The statement of the faculty should be a maximum of two pages long and refer to the candidate's achievements in research, teaching, self-administration and, if applicable, acquisition of third-party funding. The results of the evaluation are made available to the Tenure Board, which makes a recommendation to the Presidential Board. The presidium decides on the extension of the status of junior research group leader.

- (5) It is recommended to assign a mentor to the head of the junior research group. The selection is made in consultation with the dean. The mentor should give the candidate critical collegial feedback and be available as a contact person and for advice. The mentor is not to be involved in the interim evaluation.
- (6) The status ends at the end of the award period, in case of negative interim evaluation, in case of early appointment or upon leaving the University of Paderborn. After termination of the junior research group leadership, the respective faculty is responsible for ensuring an orderly conclusion of ongoing doctoral studies of the junior research group. In the case of permanent employees, the applicant shall make arrangements for the termination of the delegated authority to the junior research group leader.

§ 5 Group-specific modalities

- (1) **Group A: Recognition of status in external junior research group programs:**
- a) Holders of the following funding instruments receive recognition as a junior research group leader after being awarded by the Presidential Board at the University of Paderborn:
- Emmy Noether Research Group of the DFG
 - BMBF junior research group
 - Sofja Kovalevskaja Award
 - ERC Starting Grant (if the leader does not hold a W2/W3 professorship and at least one additional research associate is employed)

In the case of holders of other external junior research groups, the tenure board examines whether the same procedure can be followed as for group A if comparable requirements are met. Otherwise, the procedure is the same as for group B.

- b) The status is recognized upon application - taking into account the permissible term of the current employment or civil service relationship - for the duration of the external junior research group; extension options are determined by the funding body. The tenure board will be informed before the status is recognized.
- (2) Group B: Award of status within the framework of a quality-assured, competitive procedure at the University of Paderborn:

a) Option 1 – Public job advertisement

The faculties may publicly advertise a position as junior research group leader*. The position must fulfill the criteria No. 3 to 8 according to § 2. The corresponding template of the Human Resources Department is to be used for the advertisement. As part of the application process, an external expert opinion by an independent professor from outside the university must be submitted to assess the performance of the candidate. of the candidate in research and teaching. When selecting a candidate, the criteria No. 1 and 2 according to § 2 must be observed. The initial

contract period should be at least three years, with an option to extend for an additional two years, taking into account the permissible term of the current employment and civil service relationship. The Tenure Board formally verifies the fulfillment of the university-wide standards according to §2 prior to filling the position. This is also possible by circular procedure.

b) Option 2 – Application for recognition as a junior research group leader* for internal scientific staff members

Faculties can apply for the awarding of the status for research assistants already working at the university. As this is an ongoing competition, applications can be submitted at any time. The position of the candidate must meet the criteria No. 3 to 8 according to § 2. Part of the procedure must be an external evaluation of the candidate's performance in research and teaching by an independent professor from outside the university. Criteria No. 1 and 2 according to § 2 must be observed. The term should be at least three years, taking into account the permissible term of the current employment and civil service relationship, with the option of extension for a further two years.

§ 6 Application procedure and extension

- (1) The faculty submits an application to the Presidential Board for the above-mentioned groups to be awarded the status in good time beforehand. The application must specify the type and duration and (if available) include the funding decision of the funding body. In addition, the faculty must confirm the scientific independence, the financial autonomy of the junior research group leader, the granting of the right to confer doctoral degrees, and the provision of premises and infrastructure from existing resources. The transfer of independent tasks in research and teaching for the duration of the junior research group leadership is made by the Faculty Council. The corresponding excerpt from the Faculty Council minutes is to be attached. The award of the right to confer the doctorate for the duration of the junior research group leadership is made by the doctoral committee. The corresponding decision is to be enclosed. Deviations from § 2 No. 1 must be justified separately. For group B, the external expert opinion must also be enclosed.
- (2) In principle, an extension beyond five years is possible if permitted by the provisions of labor and civil service law. The timely application before the expiration of the status is made to the Presidential Board. A vote of the dean on the intention to extend the status must be submitted with the application for extension. This must include a statement on the previous achievements of the in research, teaching, self-administration and, if applicable, the acquisition of third-party funding. In case of changes in the general conditions, these are to be explained in the application. The extension of the status is done by the presidium after recommendation or acknowledgement by the tenure board.

§ 7 Premature withdrawal of status

In case of proven scientific misconduct, the candidate will be immediately deprived of the status of Junior Research Group Leader by the Presidential Board.

§ 8 Final Provisions, Transitional Regulations

These regulations come into force on the day after their publication in the Official Notices of the University of Paderborn. At the same time, the Regulations for the Recognition of the Status of Junior Research Group Leader* at the University of Paderborn of October 29, 2019, shall expire. Status awards made before the entry into force of these regulations are governed by the regulations of October 29, 2019.

Issued on the basis of the resolution of the Senate of the University of Paderborn dated July 5, 2023.

Paderborn, August 8, 2023

The President
of the University of Paderborn

gez. Professorin Dr. Birgitt Riegraf

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