



Disclaimer

This English translation of the Rules of Procedure of the Senate Evaluation Committee is provided for information purposes only. In the event that the English and German versions permit different interpretations, the German text shall prevail.

Rules of Procedure of the Senate Evaluation Committee of the Leibniz Association 6 June 2013 (as amended 9 March 2017)

The provisions in these Rules of Procedure are based on provisions in the Statutes of the Leibniz Association of 27 November 2015, the General Rules of Procedure of the Leibniz Association of 24 November 2016¹ and the management instructions of 25 April 2016 issued to the Secretary General and Headquarters of the Leibniz Association by the Board.

§ 1 Duties

(1) Basis

(wording of the Statutes § 8 (4)) The task of the Senate Evaluation Committee is to carry out regular evaluations of the Leibniz Association institutes and to advise the Senate on all matters relating to evaluation. The committee prepares Senate resolutions and position statements, which are used by the federal government and the *Länder* to decide whether the institutes are eligible for support.

(2) Application of the Basic Principles of the Senate Evaluation Procedure

The Senate Evaluation Committee (SAE) is bound by "The Leibniz Association Senate Evaluation Procedure – Basic Principles".

¹ Amended on 30 November 2017; re-enacted in § 3 (2) of the Rules of Procedure of the Senate Evaluation Committee by resolution of the SAE of 27 February 2018.

§ 2 Rules of Procedure

(1) Basis

(wording of the Statutes § 8 (5)) The Senate Evaluation Committee carries out its tasks with full autonomy.

(2) Adopting the Rules of Procedure

The Senate adopts the Rules of Procedure of the Senate Committee on the basis of a proposal from the SAE. The SAE adopts this proposal concerning the Rules of Procedure with a majority of two-thirds of eligible votes cast (abstentions do not count as votes cast). The Board of the Leibniz Association shall be responsible for putting into effect the Rules of Procedure adopted by the Senate.

(3) Deviation from the Rules of Procedure

The SAE may deviate from the Rules of Procedure in individual cases by a unanimous decision, subject to the Statutes and the General Rules of Procedure of the Leibniz Association.

§ 3 Members

(1) Basis

(wording of the Statutes § 8 (2)) The members of the Senate Evaluation Committee are appointed by the Senate. They should reflect the scientific spectrum of the Leibniz Association. The committee consists of the members appointed by the Senate from within its own ranks, representatives delegated by the federal and *Länder* governments, and other scientists nominated by the Senate Evaluation Committee for appointment by the Senate, based on proposals from the Sections and from members of the Senate Evaluation Committee. Employees of member institutes may not be committee members.

(2) Respect for equality and diversity

(wording of the General Rules of Procedure § 2 (5)) Due consideration is given to equality and diversity aspects when nominating candidates for election to governing bodies and committees of the Leibniz Association.

(3) Number of members and the groups from which they are drawn

The SAE has thirty voting members:

- (a) Four members elected to the SAE by the Senate from among its members. Their terms of office are based on the term of their membership of the Senate.
- (b) Twenty scientists elected by the Senate on the basis of proposals from the SAE. The term of office is four years (renewable once).
- (c) Three members representing the federal government and three members representing the *Länder*, nominated by the committee of the Joint Science Conference (GWK). The GWK committee can nominate deputies for these members.

(4) Election of members under 3 (b)

For the election of a member under 3 (b), the SAE supplies the Senate with a ranked list of candidates, which should not contain more than three names.

For this purpose, the chairpersons of the SAE, in consultation with the Leibniz Association's scientific representative in the SAE, establish for which specialist field proposals should be requested for a candidate list.

Those entitled to make proposals are the voting members of the SAE and the Sections of the Leibniz Association. The period for submitting proposals is at least eight weeks.

On the basis of the proposals, the two chairpersons of the SAE, in consultation with the scientific representative of the Leibniz Association, supply the SAE with a ranked list of candidates. This list may contain up to five names.

On the basis of the candidate list supplied, the SAE, after a discussion, votes in a secret ballot on a ranked list of no more than three names.

Provided this list achieves the majority of eligible votes cast, it is presented to the Senate for a vote. If the list does not achieve a majority of eligible votes cast, the discussion on the ranking is resumed and a secret ballot is held on a new ranked list, which is presented to the Senate for a vote.

(5) Non-voting members, officers with the right to take part in meetings

Non-voting members of the SAE are: a representative of the Executive Board of the Leibniz Association, the Secretary General of the Joint Science Conference and the head of the Evaluation Division.

The members of the Board and the Secretary General of the Leibniz Association are entitled to take part in SAE meetings.

§ 4 Chair(1) Basis

(wording of the Statutes § 6 (1)) The Senate consists of: [...] the chairperson of the Senate Evaluation Committee as a non-voting member.

(2) Duties

The SAE is headed by a chairperson. The chairperson reports to the Senate of the Leibniz Association on the work of the SAE, especially the SAE proposals for position statements on Leibniz institutes. They represent the committee to the outside world.

(3) Representation

If the chairperson is unable to carry out their duties, a deputy chairperson takes on the tasks of the chairperson.

In SAE meetings, if both chairpersons are unable to carry out their duties, the eldest present and voting scientific member of the SAE chairs the meeting.

(4) Elections

The chairperson and deputy chairperson are elected by the voting members from among the members of the SAE, as a rule in a secret ballot. The term of office is two years (renewable). Those eligible for election are the members under § 3 (3) a) and b).

Those entitled to make proposals are the voting members of the SAE. The period for submitting proposals is at least eight weeks.

The candidate elected is the one with the absolute majority of eligible votes cast; abstentions are not counted as votes cast. If no candidate achieves an absolute majority in a first or second ballot, a third ballot is held. In the third ballot, the candidate elected is the one who receives the most eligible votes cast (relative majority). If the votes are tied, the election is decided by drawing lots.

§ 5 Meetings

(1) Convening

The SAE is convened at least once a year by the chairperson or at the request of at least half of the voting members. Invitations to a meeting are sent out at least four weeks before the date of the meeting. The meeting documents should be sent at least two weeks before a meeting.

(2) Participation of guests

Guests may take part in meetings in an advisory capacity. The SAE decides by a majority of its members on the participation of guests, on the basis of a proposal from the chairperson.

(3) Agenda

The chairperson proposes an agenda when inviting members to a meeting. The members of the SAE can propose additional agenda items or modifications. The SAE decides on the agenda at the start of the meeting.

(4) Minutes

SAE meetings are minuted. After being signed by the meeting chair, the minutes are presented to the SAE for approval within one month.

(5) Confidentiality

The meetings of the SAE and the documents sent to the members are confidential.

(6) Reimbursement of travel costs, expense allowance

Travel costs are reimbursed to SAE members in accordance with the provisions of Germany's Travel Expenses Act (*Bundesreisekostengesetz*), provided they do not already receive reimbursement in their official capacity. The members of the SAE under § 3 (3) a) and b) receive an expense allowance for attending meetings (day rate).

§ 6 Resolutions

(1) Votes

Each voting member of the SAE has one vote. If a member is unable to attend a meeting of the SAE, they may transfer their vote to another voting member. A member who is present in a meeting and entitled to vote may vote on behalf of up to two other members in addition to his/her own vote.

(2) Passing resolutions

The SAE adopts its resolutions with a majority of eligible votes cast (abstentions are not counted as votes cast). Different rules apply for the election of chairpersons of the SAE (§ 4 (4)) and for resolutions concerning the Rules of Procedure (§ 2 (2) and (3)).

(3) Quorum

An SAE meeting is quorate if more than half of its voting members are present or if the majority of votes are represented by those present.

(4) Passing resolutions by written circulation procedure

The SAE may pass a resolution by written circulation procedure with a period of silence, provided this form of passing resolutions is agreed on during a meeting of the SAE. Resolutions passed by written circulation procedure should be limited to what is absolutely necessary. In particularly urgent cases, the chairperson may introduce a written circulation procedure to pass resolutions, provided they justify the necessity and no member raises an objection immediately.

§ 7 Appearance of bias

(1) Basis

(wording of the General Rules of Procedure § 6 (1) to (5)) When dealing with matters that could be advantageous or disadvantageous to individual Leibniz institutes or individuals, the rules of conflict of interest must be observed. Any potential bias must be reported.

Bias and potential conflicts of interest may arise from:

- close academic collaboration in the past seven years or direct academic competition,
- current or previous (less than seven years ago) membership of an institution under discussion,
- membership of a committee, especially the scientific advisory council and/or supervisory board, of an institution under discussion,
- a current or failed job application for a position at an institution, or
- a close personal connection to people at an institution under discussion.

Where a cause for bias is found to exist, the chairperson shall decide on the consequences. If a member is excluded from the voting, they may not transfer any votes to another member and may not make use of any votes that others have transferred to them.

(2) Application of the Basic Principles of the Leibniz Association Senate Evaluation Procedure

The “Criteria to determine a potential conflict of interest on the part of review board members” (Attachment 1 of “The Leibniz Association Senate Evaluation Procedure – Basic Principles”), which explain these provisions in more detail, provide supplementary guidance.

(3) Decision on a potential conflict of interest concerning the chairperson of the SAE

If a discretionary decision is required in relation to the chairperson of the SAE, this is the task of the deputy chairperson.

§ 8 Administrative support for the SAE

(1) Basis

(wording of (7) to (9) of the management instructions issued to the Secretary General and Headquarters of the Leibniz Association by the Board) The head of the Evaluation Division reports to the chairperson of the Senate Evaluation Committee in all functional matters, and to the Vice President of the Leibniz Association who is the Executive Board’s representative for evaluation in all public service matters. Decisions on appointments to the head of the Evaluation Division are delegated by the Board to this Vice President, who takes these decisions in consultation with the chairperson of the Senate Evaluation Committee.

The other employees in the Evaluation Division report to the head of the division in functional and public service matters. Decisions on appointments to positions in the division are delegated by the Board to the head of the division, who takes these decisions in consultation with the Secretary General of the Leibniz Association.

The Evaluation Division works with its own budget within the budget of Leibniz Headquarters and of the Leibniz Association.

(2) Duties

The Senate Evaluation Committee is supported administratively by the Evaluation Division at Leibniz Headquarters.

Put into effect on 2 May 2017 by the Board of the Leibniz Association (in accordance with the Leibniz Association Statutes § 10 (2)).