

University of Konstanz**Konstanz, 25 September 2017****Zukunftskolleg****Statutes of the Zukunftskolleg of the University of Konstanz**

The German version of this document is the only legally binding version. This English translation is for your convenience only.

The following amendments to the Zukunftskolleg Statutes were determined by the Senate of the University of Konstanz in its meeting on 28 June 2017, as well as by the Rector in an express decision on 25 September 2017. The amendments are based on § 19 para. 1 No. 10 Landeshochschulgesetz LHG (state law on higher education) as of 1 January 2005 (GBl. p. 1), as last amended through article 3 of the law on 9 May 2017 (GBl. p. 245, 250).

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§ 1

Position within the University of Konstanz

- (1) The Zukunftskolleg developed out of the ZWN (Centre for Junior Research Fellows) as per resolution of the University of Konstanz Senate dated 30 January 2008.
- (2) The Zukunftskolleg is a central, interdisciplinary, scientific institution of the University of Konstanz pursuant to § 15 para. 7 of the Landeshochschulgesetz Baden-Württemberg (LHG) (state law on higher education) and was established as part of the University's Institutional Strategy "Model Konstanz – towards a culture of creativity" within the German Excellence Initiative.

§ 2

Objectives and tasks

- (1) The Zukunftskolleg's objective is to support early career researchers in the natural or social sciences or the humanities.
- (2) The Zukunftskolleg's task is to create a stimulating intellectual environment for early-career post-doctoral researchers that supports their research and helps them qualify further.
 1. The Zukunftskolleg is an interdisciplinary community, fosters transdisciplinary exchange and offers both post-doctoral researchers as well as Senior Fellows an opportunity to work together with other researchers beyond the boundaries of their own subjects, discuss the progress of their work and advance research at the university.
 2. The Zukunftskolleg supports its members' scientific training and careers through transferable skills and coaching measures as well as advice and mentoring in close cooperation with Academic Staff Development and Research Support.
 3. The Fellows' dual membership of the Zukunftskolleg and their respective department ensures that the Zukunftskolleg is closely linked both to the departments and to teaching.
 4. The Zukunftskolleg assists early career researchers with their supervision and exam responsibilities.
 5. By making available a flexible and service-oriented infrastructure, the Zukunftskolleg facilitates institutional independence and the freedom of scientific research and gives early career researchers all they require to raise external funding with which to finance their research projects.
- (3) In accordance with the University of Konstanz's Equal Opportunity Plan, the Zukunftskolleg pursues the goal of gender equality in research and teaching and the removal of existing disadvantages for female academics. It establishes consistent and lasting support structures together with an organisational and research culture that cultivates diversity as well as being gender-equitable and family-friendly. The Zukunftskolleg's Executive Committee assigns the necessary responsibilities.

- (4) To reach its objectives and fulfil its tasks, the Zukunftskolleg has at its disposal the funding instruments listed in § 15.
- (5) The Rectorate may appoint a commission consisting of internal and external persons and instruct it to evaluate the Zukunftskolleg. The commission's report is discussed by the Zukunftskolleg's bodies

§ 3

Structure

- (1) The Zukunftskolleg is structured as follows:
 1. Fellows' research projects
 2. Central Office
- (2) The Executive Committee may initiate further organisational units within the framework of these statutes. Such changes may require the agreement and a resolution as stipulated in § 16 para. 1.

§ 4

Bodies

The Zukunftskolleg consists of the following bodies:

1. Assembly of Members (Plenary)
2. Executive Committee
3. Director
4. Scientific Advisory Board

§ 5

Members and Associate Members

- (1) The members, in the sense of the "users", of the Zukunftskolleg are natural persons. Members within the meaning of these statutes are the Director as well as the Fellows and Senior Fellows of the Zukunftskolleg.
- (2) Fellows are early career post-doctoral researchers in the natural or social sciences or humanities who have not yet been appointed to a post as professor or a post with life tenure, whose academic performance is already outstanding and whose projects promise exceptional research work.
- (3) Associate Members of the Zukunftskolleg are project staff, doctoral researchers and external cooperation partners of the Fellows and Senior Fellows, beneficiaries of funding programmes for the duration of their funding by the Zukunftskolleg or members of the University of Konstanz whose field of work is related to that of the research units represented in the Zukunftskolleg. The Executive Committee decides on associate membership applications.
- (4) A commission appointed by the Rectorate of the University of Konstanz is responsible for selecting members from amongst the fellowship applications submitted.
- (5) A fellowship comprises a post as post-doctoral researcher or junior research group leader for up to 5 years.

- (6) Membership ends when the member terminates his or her work or employment contract with the University of Konstanz, notifies the Director in writing of his or her withdrawal from the Zukunftskolleg or at the latest at the end of the maximum membership term. The Executive Committee decides on further details governing fellowship.
- (7) The Fellows of the Zukunftskolleg, the Director and the Rector of the University of Konstanz may nominate researchers in the natural or social sciences or humanities at the University of Konstanz as well as from Germany and abroad as Senior Fellows. Up to 15 senior fellowships (lasting up to 12 months) are awarded per year. Nominations and awards are possible at any time. The Zukunftskolleg's Executive Committee decides on the awards.
- (8) Senior Fellows have the opportunity to conduct research at the University of Konstanz for a period of between one and twelve months within the framework of the Zukunftskolleg. Their task is to pursue their personally chosen research theme in Konstanz and contribute to advancing Fellows' projects. The Executive Committee decides on further details governing senior fellowships.
- (9) Interested parties may submit a formless application for associate membership to the Executive Committee. The Executive Committee decides on further details governing associate membership.

§ 6

Members' rights and obligations

- (1) Members may propose activities or the development of new funding instruments to the Executive Committee at any time which could be implemented and supported within the scope of the Zukunftskolleg.
- (2) Members are entitled to use, within its possibilities, the Zukunftskolleg's infrastructure and resources. They may participate, in accordance with the procedures stipulated in § 13, in the funds available to the Zukunftskolleg. They are especially entitled to apply to the Zukunftskolleg's Executive Committee for co-finance to fund staff and materials.
- (3) Members are obliged to contribute to the Zukunftskolleg's objectives and tasks pursuant to § 2 and actively support them. Members are required to work together, mutually advise and support each other as well as contribute proactively to Zukunftskolleg events - especially the weekly *jour fixe* - and participate in them.
- (4) Members are obliged to report on a regular basis to the Zukunftskolleg's Executive Committee and the University of Konstanz. They should equally contribute to applications submitted by the Zukunftskolleg as an institution. Should a member withdraw or resign, he or she must present within 6 months a final report on the research work he or she has conducted within the Zukunftskolleg.
- (5) Members are obliged to comply with the Guidelines for the Use of Funds of the German Research Foundation (DFG), in particular the rules concerning publications, commercial application, reporting obligations as well as good scientific practice. Membership of the Zukunftskolleg and the source of financial support must be indicated in publications originating from research projects undertaken within the Zukunftskolleg.
- (6) Should a member relocate and withdraw from the Zukunftskolleg as a consequence, he or she may, as a rule, continue to use the funds made available to him or her from Zukunftskolleg funds for a maximum period of 3 months as completion funding. Equipment may on no account be taken to the new location. Other solutions require the

consent of the Executive Committee and the Kanzler (Chancellor) of the University of Konstanz.

- (7) The Fellows of the Zukunftskolleg are entitled to nominate researchers for senior fellowships.
- (8) At the suggestion of the Director, a Fellow may be excluded from the Zukunftskolleg on important grounds should the research work being conducted within his or her project be abandoned or it becomes apparent that the Fellow is not endeavouring to achieve the funding purpose to a necessary and reasonable degree. If a Fellow is excluded from the Zukunftskolleg, he or she is no longer entitled to avail himself or herself of material and personnel resources.
- (9) A Fellow wishing to take leave of absence from the Zukunftskolleg must submit an application to the Director. The Fellow may apply for suspension of his or her Zukunftskolleg membership for a maximum period of 12 months. Exceptions are at the discretion of the Executive Committee.
- (10) Associate Members are entitled to participate in internal events (e.g. jour fixe) and use the Zukunftskolleg's Central Office.

§ 7

Assembly of Members (Plenary)

- (1) The Assembly of Members takes place at least twice a year in the framework of the jour fixe. It is convened by the Director with a period of notice of at least 8 working days. The agenda is sent to all members at the latest one week before the meeting.
- (2) The Director chairs the meetings.
- (3) The Assembly of Members is responsible in particular for the following:
 - a. Election and voting out of the Executive Committee pursuant to § 8 para. 2 and para. 5
 - b. Decisions on proposals concerning the dismissal of the Director pursuant to § 9 para. 9.

§ 8 Executive Committee

- (1) The Executive Committee comprises:
 1. The Director
 2. Five elected Fellows
 3. A nominated Senior Fellow in the case of an appointment pursuant to para. 9
 4. The Vice-rector for Research and Academic Staff Development
 5. The Coordinators by virtue of their office as advisory members of the Executive Committee
- (2) The five members of the Executive Committee to be elected pursuant to para. 1 No. 2 are elected by the Assembly of Members from amongst the Fellows. Care must be taken to ensure that all three faculties of the University of Konstanz are represented on the Zukunftskolleg's Executive Committee.
- (3) Elections must take place at the earliest 90 days before and at the latest 30 days after the end of the term of office of an Executive Committee member. The Director sets the date for the elections.
- (4) Elected as Executive Committee members are those persons who receive the most votes, depending on the number of Executive Committee members to be elected. In the case of a tie, there is a run-off in a second round of voting. In the case of a tie in the second round of voting, lots are drawn.
- (5) The Assembly of Members may, pursuant to para. 1 No. 2, vote out elected Executive Committee members by electing a successor through a majority vote of two thirds of all Zukunftskolleg members eligible to vote.
- (6) The term of office on the Executive Committee of Fellows elected pursuant to para. 1. No 2 is 1 year. Members can be re-elected once. The purpose of a double term of office is greater continuity in the Executive Committee.
- (7) Should an Executive Committee member withdraw prematurely, a successor is elected for the full term of office.
- (8) Should an Executive Committee member be absent for over three months, the Executive Board may nominate a representative.
- (9) The Executive Committee may appoint a Senior Fellow as member of the Executive Committee.
- (10) The Executive Committee is the Zukunftskolleg's central decision-making body and decides on:
 1. The annual research budget and allocation of research funds
 2. Members' applications for finance from funds for staff and materials to execute research projects
 3. The award of senior fellowships
 4. The award of funding programmes

The Rectorate's authority regarding decisions on staff positions and funds remains unaffected.

- (11) The Executive Board makes an active contribution to raising external funding to finance the Zukunftskolleg.
- (12) The Executive Committee is responsible for quality assurance within the Zukunftskolleg in the form of evaluations. § 2 para. 5 remains unaffected.
- (13) The Executive Committee may consult external experts for the evaluation of applications, e.g. obtain written reports.
- (14) The rules pursuant to § 12 para. 2 apply for Executive Committee decisions. The Executive Committee may also pass resolutions by written circular; this applies in particular for simple matters as well as for urgent decisions. A resolution passed in a written procedure requires a quorum of four Executive Committee members. The result of a decision reached in a written procedure must be documented by way of a memorandum. If a member is prevented from participating, this must be noted on the memorandum and the reason stated.
- (15) The Executive Committee may assign the above-mentioned tasks to members from its circle.
- (16) The Director convenes the Executive Committee as need demands but at least twice per semester. It also meets if so requested by at least three Executive Committee members.
- (17) The Executive Committee supports gender equality as well as the compatibility of science and family for the Fellows and makes sure that funding instruments are gender-equitable. It meets once a year with the Equal Opportunity Council to exchange views.

§ 9

Director

- (1) The Director is in charge of the Zukunftskolleg and represents its interests within and outside the University. He or she is chair of the Executive Committee and the Assembly of Members.
- (2) A university teacher exercises the role of Director.
- (3) The Director is selected by a committee comprising internal and external professors headed by the chair of the University Council and appointed by the Rectorate. The Rectorate dictates the duration of the Director's term of office. As a rule, this should be seven years. The Selection Committee is appointed by the Rectorate, taking into consideration the proposals made by the Zukunftskolleg's Executive Committee. The Rectorate decides on the committee's size.
- (4) Pursuant to § 15 of the state law on higher education (LHG) the Director is answerable to the Rectorate of the University of Konstanz and reports to the Rectorate once a year on the Zukunftskolleg's development.
- (5) The Director is responsible in particular for:
 1. Managing the Zukunftskolleg
 2. Representing the Zukunftskolleg within and outside the university
 3. Convening and chairing Executive Committee meetings and preparing its decisions
 4. The content of the Zukunftskolleg's public relations activities and public events
 5. Appointing and supervising the Fellows and Central Office staff

6. Management of allocated funds in line with the budget plan and guidelines on the use of funds
 7. Compiling the Zukunftskolleg's annual report
 8. Reporting urgent decisions to the Executive Committee
 9. Keeping members and staff informed
- (6) The Director may make urgent decisions autonomously in individual cases. He or she notifies the Executive Committee immediately of all such urgent decisions taken.
- (7) The Director may himself or herself allocate funds for scientific projects up to a sum of 3,000 EUR.
- (8) Should the Director be prevented from performing his or her duties, he or she is temporarily represented in academic matters by the Fellow with the most years of service on the Executive Committee and in financial and personnel matters by the Coordinators of the Zukunftskolleg, insofar as the Executive Committee makes no other provision.
- (9) Upon the recommendation of a commission appointed pursuant to § 2 para. 5 or a proposal by the Assembly of Members adopted by a two-thirds majority, the Rectorate can remove the Director from office.

§ 10

Central Office and Coordinators

- (1) The Director heads the Central Office of the Zukunftskolleg.
- (2) Central Office staff perform the following tasks: coordination, public relations, secretarial duties and IT support. These staff members assist the Director in the management of the Zukunftskolleg.
- (3) The Central Office is responsible for:
 1. Organisational aspects of Zukunftskolleg tasks
 2. Handling calls for proposals
 3. Preparing committee meetings
 4. Providing guidance and support for the Fellows and Senior Fellows
 5. Organising and holding conferences, workshops and other events
 6. Liaising with the Human Resources Division and the Forschungsverwaltung (research funding administration) of the University of Konstanz on financial and personnel matters
 7. Public relations
 8. Correspondence
- (4) The Director may delegate more duties to the Central Office.
- (5) The Coordinators are full-time staff appointed by the Director. They must hold an academic qualification.
- (6) In accordance with Executive Committee guidelines, the Coordinators are responsible for the Zukunftskolleg's administrative affairs. They prepare the meetings of Zukunftskolleg committees and bodies and execute the respective decisions. They assist the Director with preparation work, budget planning and compilation of the Zukunftskolleg's annual report.

§ 11

Scientific Advisory Board

- (1) Upon the suggestion of the Zukunftskolleg's Executive Committee, the Rectorate nominates, endorsed by the University Council, a Scientific Advisory Board for the Zukunftskolleg. Only renowned researchers from Germany and abroad who enjoy international recognition in their research field but are not members of the University of Konstanz may be members of the Scientific Advisory Board.
- (2) The Scientific Advisory Board is responsible especially for:
 1. Supporting the Zukunftskolleg in the fulfilment of its tasks and advising the Executive Committee and the Director
 2. Issuing statements on the Zukunftskolleg's past work and the future development of its profile
 3. Issuing statements on the Zukunftskolleg's general tasks and its members in an international setting, on the relationship between budgeted or expended funds and the scientific importance of the respective work as well as on the likely success of planned research projects
 4. Commenting on collaboration within the Zukunftskolleg and with researchers outside the Zukunftskolleg as well as on the commensurate ratio of externally funded research to its work and resources
 5. Assisting in the selection of Fellows and Senior Fellows on the basis of recommendations or as representatives in the selection committees
- (3) The Board convenes at least once a year. A formal statement in the shape of a written report is issued every two years.
- (4) The maximum term of office for Board members is 3 years. A second term of office is possible.
- (5) The Scientific Advisory Board elects a chairperson and a deputy chairperson from amongst its members for the period of two years. The chairperson is responsible for compiling the Board's report. Should it contain recommendations that do not have the agreement of all Board members, the report must also include such dissenting opinions.
- (6) The members of the Board act in a voluntary capacity.
- (7) As a rule, the Scientific Advisory Board comprises 11 members.

§ 12

Resolutions, elections, minutes

- (1) Zukunftskolleg bodies are quorate if half of all members with voting rights are present after proper invitation. Eligible to vote in the Assembly of Members are all members pursuant to § 5 para.2 and 8, in the Executive Committee all members as per § 8 para.1 No.1 to 4. Voting rights may not be transferred. Should no quorum be reached after proper invitation, quorum is reached at the next meeting convened irrespective of the number of members present, if this is explicitly indicated in the invitation.
- (2) Unless otherwise specified in these statutes, resolutions in the Zukunftskolleg's bodies are passed with the majority of "Yes" or "No" votes cast (simple majority). Abstentions are not considered as votes cast. In the case of parity, the proposed resolution is rejected. Voting must take place by secret ballot if requested by a member.
- (3) Minutes must be kept of the meetings of Zukunftskolleg bodies and made available to all

members of the respective body when the invitation to the next meeting is issued at the latest. The minutes are considered as accepted if no objection is made within 14 days of their receipt.

- (4) The Code of Procedure of the University of Konstanz applies in addition to the provisions stated above.

§ 13

Internal resource allocation

- (1) Eligible to apply for Zukunftskolleg funds for staff and materials are Fellows and Senior Fellows within the meaning of § 5 para. 2 and 7. § 8 para. 10 sentence 2 remains unaffected.
- (2) Fellows and Senior Fellows must submit their applications for funding to the Zukunftskolleg's Executive Committee five working days before the Executive Committee meeting. Applications should include the following key information:
1. Applicant's name, contact details and department
 2. Project title
 3. Basic funding and overall project duration
 4. Reasons for applying for co-finance, stating the requested funding period
 5. Details of requested funding including, if applicable, a cost breakdown with intended purpose; in the case of orders to be placed with third parties two quotations must be obtained.
- (3) All applications are inspected by the Forschungsverwaltung (research funding administration) of the University of Konstanz and decided by the Executive Committee.
- (4) Funding applications in excess of 10,000 EUR are presented to the chairperson of the Committee on Research (AFF) or an evaluator at the chairperson's suggestion. The Zukunftskolleg's Executive Committee is not bound to the AFF's opinion.
- (5) The Executive Committee decides on the allocation of funds on the basis of the following criteria:
1. Relevance to the research project of the member
 2. Expected contribution to the success of the project
 3. Utilisation of alternative sources of finance
- (6) Applications for investments are handled pursuant to para. 1 to 5. Should the investment be approved, responsibility for it passes to the applicant. The applicant is obliged to find a suitable location for the investment. Separate applications are required for funds for operating and follow-on costs.

§ 14

Finance and equipment

- (1) The Zukunftskolleg finances itself throughout the duration of the Excellence Initiative from resources thereof. In addition, the Zukunftskolleg uses the rooms, basic equipment and financial means allocated by the university.
- (2) The Zukunftskolleg is at liberty to raise further funding itself.

§ 15

Funding instruments

In the framework of the Zukunftskolleg's objective, each member's scientific and professional development is encouraged through work entailing personal responsibility. To this purpose, the Zukunftskolleg may use various instruments, for example co-financing of research funds, senior fellowships or supplementary funds to ensure the compatibility of family and career, etc. The Executive Committee is responsible for the further development of funding instruments in cooperation with the Assembly of Members.

§ 16

Final provisions and entry into force

- (1) Additions or amendments to these statutes must be agreed with the German Research Foundation (DFG), the German Council of Science and Humanities, and the Zukunftskolleg's Executive Committee and require a resolution by the Senate of the University of Konstanz.
- (2) These statutes enter into force on the day after their publication in the 'Amtliche Bekanntmachungen' (Official Announcements) of the University of Konstanz. At the same time, the previous statutes as of 15 June 2009 (Amtliche Bekanntmachungen 31/2009) become invalid.