

**This English translation serves information purposes only. The original German version is the legally binding document.**

## **Regulation for academic personnel at the University of Basel**

Dated 25 April 2013

Based on Art. 25 (i) of the agreement between the cantons of Basel-Landschaft and Basel-Stadt concerning the joint sponsorship of the University of Basel of 27 June 2006<sup>1</sup>, the University Council of the University of Basel adopts the following:

### **A. General provisions**

#### *§ 1. Purpose and scope*

<sup>1</sup> These regulations govern the rights and obligations of academic personnel at the University of Basel and set out the requirements for qualified academic work.

<sup>2</sup> The following personnel categories make up the academic personnel at the university:

- a) Professor with tenure or tenure track:
  - aa) Professor;
  - ab) Clinical professor;
  - ac) Associate professor;
  - ad) Tenure track assistant professor (TTAP).
- b) Professor without tenure:
  - ba) SNSF professor;
  - bb) Assistant professor.
- c) Adjunct professor;
- d) Lecturer (Privatdozent/in);
- e) Assistant and student assistant;
- f) University lecturer;
- g) Research staff;
- h) <sup>2</sup>Assistant lecturer;
- i) <sup>3</sup>Guest.

<sup>3</sup> <sup>4</sup>

<sup>4</sup> The faculties and the President's Board are responsible for compliance with the provisions of these regulations, unless otherwise specified. The faculties may issue implementation provisions based on these regulations.<sup>5</sup>

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<sup>1</sup> SG 442.400.

<sup>2</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>3</sup> Inserted on 19 December 2019, in effect since 1 January 2020.

<sup>4</sup> Suspended on 19 December 2019, in effect since 1 January 2020.

<sup>5</sup> Version of 19 December 2019, in effect since 1 January 2020.

## § 2. *University titles*

- <sup>1</sup> The university awards the title of professor in accordance with the categories set out in Art. 1 para. 2 (a), (b) and (c).
- <sup>2</sup> The university may award the title of associate lecturer to habilitation researchers.
- <sup>3</sup> The title is generally granted for the duration of employment or teaching duties at the university. The right to hold the title is relinquished on leaving the University of Basel.
- <sup>4</sup> Professors are entitled to continue to use the title following retirement.
- <sup>5</sup> The public inaugural lecture will be held within one year of award of the title.

## § 3. *University degrees*

- <sup>1</sup> The following degrees can be obtained at the University of Basel:
  - a) through postdoctoral qualification: Dr. habil. in accordance with the habilitation regulations;
  - b) through doctoral studies: doctor in accordance with the faculty doctoral degree regulations;
  - c) through bachelor's or master's degree: bachelor or master in accordance with the faculty study and examination regulations.

## § 4. *Voting rights*

- <sup>1</sup> Co-determination rights, and voting rights in particular, are governed by the statutes of the University of Basel of 3 May 2012.

## § 5. *Place of work, relocation of place of work*

- <sup>1</sup> Academic personnel generally undertake their work at the University of Basel.
- <sup>2</sup> If any member of staff chooses to conduct their work at a location outside the university, their availability there must be ensured.
- <sup>3</sup> Work-related absences during the lecture period may not exceed 10 consecutive days. Justified exceptions will be approved by the dean.

## § 6. *Teaching duties, classes*

- <sup>1</sup> Teaching duties must be undertaken within the curriculum.
- <sup>2</sup> Classes are generally conducted by the head of the course.
- <sup>3</sup> In the case of absence, a substitute must be arranged and announced in good time.

## § 7. *Vacation*

- <sup>1</sup> Vacations must generally be taken during the non-teaching period.

§ 8. *Research semesters*<sup>6</sup>

<sup>1</sup> Professors as per Art. 1 para 2(a) are entitled to take their first research semester after eight semesters and again after a further eight semesters following the research semester. This does not include assistant professors and professors with tenure track. The President's Board will make a decision concerning any partial credit of the tenure track phase on the first application for a research semester.<sup>7</sup>

<sup>2</sup> Professors who are not employed by the University of Basel also require the consent of their appointing authority.

<sup>3</sup> Applications for a research sabbatical must be submitted with a statement from the relevant faculty to the President's Board in good time, in order that a decision can be made in the preceding semester.<sup>8</sup>

<sup>4</sup> Applications must provide the following information:

- a) <sup>9</sup>the exact period of the desired research semester;
- b) detailed reasons for the application;
- c) explanation of the research project and program;
- d) documentation of compliance with substitute regulations with respect to teaching and supervision of students and doctoral students;
- e) listing of all the applicant's current faculty or general university functions and the relevant substitute arrangements;
- f) information on any cost implications of teaching substitutes;
- g) <sup>10</sup>information on the applicant's previous research semesters.

<sup>5</sup> If the applicant withdraws from the professorship within two years of the end of the research semester, the President's Board may reclaim the salary received during the research semester as follows:<sup>11</sup>

- a) withdrawal within one year of completion: 100% of salary received;
- b) withdrawal after one year but within two years of completion: 50% of salary received.

§ 9. *Secondary employment activities*

<sup>1</sup> Secondary employment activities of holders of professorships are governed by the regulations of 18 August 2004 governing secondary employment, agreements with third parties and the use of intellectual property in the context of work at the university.

<sup>2</sup> Lectures in the university's continuing education program are not considered secondary employment but part of university activities. Teaching activities as part of the university's continuing education program may be credited toward teaching duties or compensated separately. The President's Board regulates the details.

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<sup>6</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>7</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>8</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>9</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>10</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>11</sup> Version of 20 January 2016, in effect since 1 February 2017.

**B. Special provisions****I. PROFESSOR AS PER ART. 1 PARA 2 (A)***§ 10. Requirements*

<sup>1</sup> The appointment procedure is governed by the appointment regulations.

<sup>2</sup> Employment requirements include:

- a) research skills;
- b) teaching skills;
- c) social and leadership skills.

<sup>3</sup> Family care responsibilities are given due consideration.

*§ 11. Employment*

<sup>1</sup> Appointments are made on a fixed-term or permanent basis.

<sup>2</sup> Each professor is generally assigned to a particular faculty. In justified cases, dual professorships across two faculties or two higher education institutions are possible.

<sup>3</sup> Regardless of their level of employment, a TTAP is generally appointed for a fixed term of five years, which can be extended by a maximum of two years where valid grounds exist.

*§ 12. Tasks*

<sup>1</sup> Professors enjoy freedom in their research and teaching. They perform their duties within the scope of university teaching requirements, including examination, research, services, talent promotion and self-administration.

<sup>2</sup> If required, they provide services in accordance with Art. 6 of the agreement concerning joint sponsorship of the University of Basel.

<sup>3</sup> They play an active role in development of early career academic researchers, through support of assistants in particular.

<sup>4</sup> The full-time teaching commitment amounts to eight credit hours per week. For full-time clinical professors, the commitment is four to six credit hours per week depending on the level of employment, and four hours for a TTAP.

<sup>5</sup> They undertake tasks in the self-administration of the departments and faculties, as well as the university as a whole.

<sup>6</sup> As the primary supervisors of doctoral candidates at the University of Basel, they have the right to hold examinations and award doctorates.

<sup>7</sup> The right to hold examinations and award doctorates expires on leaving the university; in the case of existing doctorates, it expires three years after leaving the university at the latest.

*§ 13. Evaluation*

<sup>1</sup> Professors can generally be evaluated for promotion every six years. A re-evaluation can be performed no earlier than four years after the previous assessment.

<sup>2</sup> TTAPs are generally evaluated after four years.

<sup>3</sup> The President's Board controls the evaluation procedure.

<sup>4</sup> The evaluation covers the criteria of research, teaching, social and leadership skills, and self-administration; in particular:

- a) Activities in the academic, social and economic environment, resulting in publication and lecturing activities and collaboration with third parties;
- b) Teaching activities and quality thereof;
- c) Supervision of students and doctoral candidates, and their work;
- d) Research funding gained;
- e) International contacts;
- f) Involvement in academic self-administration;
- g) Academic and social relevance and potential of the activities in regard to the strategic direction of the university.

<sup>5</sup> Research performance is evaluated with the involvement of external appraisals. Teaching performance is evaluated by the relevant university body.

<sup>6</sup> In the evaluation of a TTAP, a decision is made on tenure without re-advertisement of the position internationally. If the result of the evaluation is negative, the candidate may continue to hold the assistant professorship for a period of up to one year.

#### *§ 14. Promotion*

<sup>1</sup> A positive evaluation and a corresponding application by the faculty to the President's Board is required in order to achieve promotion.

<sup>2</sup> Promotion results in a move to the next salary band and/or a change in personnel category.

<sup>3</sup> An increase in salary band within the same personnel category is approved by the President's Board, and a change in personnel category is approved by the University Council following an application from the President's Board.

## II. ASSISTANT PROFESSOR

#### *§ 15. Goal*

<sup>1</sup> The assistant professorship aims at further academic qualification and the assumption of a professorship.

#### *§ 16. Requirements*

<sup>1</sup> The prerequisites for appointment as an assistant professor are:

- a) doctorate;
- b) several years of proven research activity with high-level publications in Switzerland or abroad;
- c) evidence of didactic and educational skills and teaching experience;
- d) international academic network;
- e) social skills.

<sup>2</sup> If no evidence of didactic and educational skills is provided at the time of appointment, this evidence must be obtained during the period of employment.

<sup>3</sup> The specific regulations of national funding programs remain reserved.

### § 17. Advertisement and appointment

- <sup>1</sup> The assistant professorship to be filled must be advertised by the faculty.
- <sup>2</sup> The President's Board grants employment for a fixed period of five years, on a full or part-time basis on application by the faculty.
- <sup>3</sup> In justified cases, the faculty may extend an assistant professorship by a maximum of one year, subject to the consent of the President's Board. In particular, family responsibilities are taken into account.

### § 18. Tasks

- <sup>1</sup> Assistant professors primarily undertake research and teaching tasks, including examination. They are also involved in service and self-administration.
- <sup>2</sup> They are entitled and obliged to use half of their working hours for their own research.
- <sup>3</sup> The full-time teaching commitment amounts to four credit hours per week.
- <sup>4</sup> In collaboration with the President's Board, the faculty defines the specific tasks and responsibilities in a job description.

## III. ASSISTANT AND STUDENT ASSISTANT

### § 19. Aims

- <sup>1</sup> An assistant is an early career academic researcher. The aim of the assistant role is to achieve academic qualification.

### § 20. Categories

- <sup>1</sup> Assistants are
  - a) doctoral students;
  - b) postdoctoral researchers.

### § 21. Requirements

- <sup>1</sup> The prerequisites for appointment as an assistant are:
  - a) master's degree or equivalent;
  - b) willingness to undertake didactic and academic continuing education;
  - c) social skills.

### § 22. Employment

- <sup>1</sup> Assistants are generally appointed by means of an announcement by the responsible organizational unit in collaboration with the HR office.<sup>12</sup>
- <sup>2</sup> A level of employment of at least 60% applies, with exceptions possible in the case of family responsibilities or other employment held with comparable qualification opportunities.<sup>13</sup>

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<sup>12</sup> Version of 19 December 2019, in effect since 1 January 2020

<sup>13</sup> Version of 20 January 2016, in effect since 1 February 2017.

### § 23. *Employment term*

<sup>1</sup> An assistant position with master's or equivalent in connection with a doctorate is limited to one year with the option of an extension of three years. In the event of a negative assessment of academic performance in the first year or if there is no prospect of success of the doctoral project, the position will not be extended. The position can be renewed for a maximum of one additional year in justified cases, in particular if it is absolutely necessary for academic training or in order to meet familial obligations.<sup>14</sup>

<sup>2</sup> An assistant position with a doctorate and the aim of attaining a habilitation qualification is limited to two years with the option of an extension of four years. An assistant position with a doctorate but without the aim of attaining a habilitation qualification is limited to two years with the option of two extensions of two years. In the event of a negative performance assessment in the first two years, the option to extend the position ceases to apply. The position can be renewed for a maximum of one additional year in justified cases, in particular if it is absolutely necessary for academic training or in order to meet familial obligations.<sup>15</sup>

<sup>3</sup> Project assistant positions are limited to the period defined in the (post)doctoral agreement. The maximum employment duration set out in par. 1 or par. 2 may not be exceeded.<sup>16</sup>

### § 24. *Tasks*

<sup>1</sup> The activities of assistants focus on research and teaching. They are also involved in service and self-administration.

<sup>2</sup> During the semester, the teaching duties of assistants with a master's or equivalent and with a doctorate amount to a maximum of 20% of the level of employment.<sup>17</sup>

<sup>3</sup> Over the total period of employment, at least 60% of the level of employment must be available for the assistant's own research work.<sup>18</sup>

<sup>4</sup> The assistant's tasks must be sufficient to enable the next academic qualification to be achieved during the term of employment.

<sup>5</sup> In collaboration with the HR office, the responsible organizational unit defines tasks and responsibilities in a job description.

### § 25. *Student assistant*

<sup>1</sup> Students may be employed as student assistants for a maximum average working week of 12 hours (624 hours per year or 28% employment). An appointment may not exceed a period of five years.<sup>19</sup>

<sup>2</sup> They can be involved in teaching during tutorials.

<sup>3</sup> In justified cases, students with a bachelor's degree may be employed up to a maximum of 50% with a fixed term of two years. Their teaching activities will be restricted to tutorials as part of a bachelor's degree program, comprising a maximum of four credit hours per week.

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<sup>14</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>15</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>16</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>17</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>18</sup> Version of 20 January 2016, in effect since 1 February 2017.

<sup>19</sup> Version of 19 December 2019, in effect since 1 January 2020.

**IV. UNIVERSITY LECTURER***§ 26. Tasks*

<sup>1</sup> The university lecturer is responsible for maintaining the high quality and/or increasing the quality of academic teaching. The position of university lecturer does not serve as qualification for a professorship.

<sup>2</sup> The activities of the university lecturer focus on teaching, with a full-time position generally comprising 12 credit hours per week. The teaching hours can be flexibly set between 10 and 16 hours per week by the faculties, taking into account the nature of the teaching duties, research activities, student supervision and other particular organizational tasks that have been assigned. The teaching hours should be stated in the job description. The level of employment must be at least four credit hours per week.<sup>20</sup>

<sup>3</sup> University lecturers participate in self-administration.

<sup>4</sup> In collaboration with the HR office, the responsible organizational unit defines tasks and responsibilities in a job description.

*§ 27. Categories*

<sup>1</sup> University lecturers are divided into the following categories:

- a) temporary university lecturers;
- b) permanent university lecturers.

*§ 28. Requirements*

<sup>1</sup> The prerequisites for appointment as a university lecturer are:

- a) as a rule, a doctorate;
- b) proven teaching skills and experience;
- c) academic expertise;
- d) willingness to undertake further didactic and academic continuing education;
- e) social skills.

*§ 29. Employment*

<sup>1</sup> The initial appointment is made by means of an advertisement by the department or faculty, in collaboration with the HR office.

<sup>2</sup> The initial employment includes teaching hours of at least four credit hours per week and is always limited to a fixed term as per Art. 27 (a) in regard to regular integration into scheduled teaching in the curriculum, which is generally subsidiary in nature.

<sup>3</sup> If regular integration into the curriculum is planned, a teaching assignment will be granted.

*§ 30. Employment term*

<sup>1</sup> A fixed-term university lectureship as per Art. 27 (a) has a maximum term of four years. The fixed-term lectureship ends following this period.

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<sup>20</sup> Version of 19 December 2019, in effect since 1 January 2020.



<sup>2</sup> If a permanent lectureship as per Art. 27 (b) is provided, an evaluation will be conducted in the 4th year of employment at the latest, with an assessment of teaching activity and its success in particular.

<sup>3</sup> Permanent appointment requires the approval of the President's Board.

<sup>4</sup> Teaching performance will be evaluated every five years following permanent appointment. The President's Board issues a regulation in this regard.

## V. RESEARCH STAFF

### *§ 31. Goal*

<sup>1</sup> The aim of appointment of research staff is to maintain the high quality of research and service. A research position does not generally serve as qualification for a professorship.

### *§ 32. Requirements*

<sup>1</sup> Appointment to a research position generally requires:

- a) university degree;
- b) special scientific expertise and experience relating to the focus of the work;
- c) willingness to undertake academic continuing education;
- d) social skills.

### *§ 33. Employment*

<sup>1</sup> The appointment is made by means of an advertisement by the department in question, in collaboration with the HR office.

<sup>2</sup> Appointments are made on a fixed-term or permanent basis.

<sup>3</sup> Activities may be assessed.

### *§ 34. Tasks*

<sup>1</sup> The focus of the work of research staff is on research and service, whereby participation in teaching may also be possible.

<sup>2</sup> They participate in self-administration.

<sup>3</sup> In collaboration with the HR office, the responsible organizational unit defines tasks and responsibilities in a job description.

## VI. ASSISTANT LECTURER

### *§ 35. Granting of a teaching assignment*

<sup>1</sup> Within their area of authority, faculties are authorized to grant teaching assignments to persons with the necessary academic qualifications.

<sup>2</sup> Assistant lecturers hold classes at the University of Basel. Within the scope of the faculty regulations, they may be tasked with holding examinations.

§ 36. *Employment*

<sup>1</sup> Teaching assignments are awarded in the form of a fixed-term appointment. Teaching assignments are allocated on a semester basis.

§ 37. *External examination experts*

<sup>1</sup> The faculties may call in external examination experts as required.

<sup>2</sup> The President's Board regulates the amount of compensation to be paid to external examination experts.

VII. ACADEMIC PERSONNEL WITH UNPAID TEACHING DUTIES

§ 38. *Adjunct professors*

<sup>1</sup> The University of Basel grants adjunct professorships in recognition of particularly successful academic performance in research and teaching over a period of several years.

<sup>2</sup> At the faculty's request, the Senate awards the title subject to the approval of the University Council.

§ 39. *Duties and responsibilities associated with an adjunct professorship*

<sup>1</sup> By accepting this title, adjunct professors undertake to conduct an unpaid class, including examinations, at the University of Basel comprising at least two credit hours per week.

<sup>2</sup> The faculties determine the content of the teaching obligation.

<sup>3</sup> Adjunct professors undertake to remain active in their academic field.

§ 40. *Verification of academic requirements*

<sup>1</sup> Every five years, the faculty will check that the academic requirements for the adjunct professorship are still being met and will report to the Senate Committee.<sup>21</sup>

<sup>2</sup> If the adjunct professor fails to meet or fully meet the requirements of the adjunct professorship set by the faculty, the revocation of the title will be requested from the Senate.

VIII. LECTURERS (PRIVATDOZENT/IEN)

§ 41. *Requirements of a lectureship*

<sup>1</sup> A habilitation qualification is required for a lectureship.

§ 42. *Duties and responsibilities associated with a lectureship*

<sup>1</sup> By accepting this title, lecturers undertake to conduct an unpaid class, including examinations, at the University of Basel comprising at least two credit hours.

<sup>2</sup> The faculties determine the content of the teaching obligation.

<sup>3</sup> Lecturers undertake to remain active in their academic field.

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<sup>21</sup> Version of 19 December 2019, in effect since 1 January 2020.

*§ 43. Verification of academic requirements*

<sup>1</sup> Every five years, the faculty will check that the academic requirements for the lectureship are still being met and will report to the Senate Committee.<sup>22</sup>

<sup>2</sup> If the lecturer fails to meet or fully meet the requirements of the lectureship set by the faculty, the revocation of the title will be requested from the Senate.

*§ 44. Financial compensation*

<sup>1</sup> Lecturers and adjunct professors not employed by the university receive financial compensation for their unpaid teaching responsibilities.

<sup>2</sup> This is determined by the President's Board.

IX. GUEST

*§ 45.<sup>23</sup> Responsibility*

<sup>1</sup> Guests are members of other universities or research institutions who have been invited by a faculty or university institute at the University of Basel (hereinafter: the host) to take part in teaching and research projects at the University of Basel for a limited period of time.

<sup>2</sup> The invitation, supervision and administration are carried out by the host in question. The host is responsible for handling the necessary details and settling intellectual property rights in line with the university's provisions. Invitations to visiting professors must be approved by faculty heads and reported to the faculty committee.

*§ 46.<sup>24</sup> Duration and status*

<sup>1</sup> Guests may stay at the university for a maximum of one year. The host must apply to the President's Board for any exceptions.

<sup>2</sup> Guests are not members of the University of Basel and are not employed by the university. The University of Basel cannot award them titles or degrees.

<sup>3</sup> For the duration of their stay at the University of Basel, guests are subject to the university's regulations, in particular its provisions regarding academic and personal integrity.

*§ 47.<sup>25</sup> Financing*

<sup>1</sup> The stay and academic achievements of guests can be financed or remunerated by the host.

<sup>2</sup> The use of university infrastructure occurs in accordance with the host's capacity.

**Final provision**

This regulation must be published; it is effective immediately.<sup>26</sup> The regulation for academic personnel of 22 March 2007 are repealed from this same date.

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<sup>22</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>23</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>24</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>25</sup> Version of 19 December 2019, in effect since 1 January 2020.

<sup>26</sup> Effective as of 19 May 2013.