

# Tenure track statutes

as of 24 July 2018

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

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## § 1

### Object of the statutes

(1) <sup>1</sup>The University of Konstanz has introduced the career path "tenure-track professorship". As per § 51b Landeshochschulgesetz LHG (state law on higher education), the appointment of tenure-track junior professors is linked to subsequent employment as a professor of comparable denomination in a higher salary bracket in cases where the tenure-track professors are positively assessed in a final evaluation. <sup>2</sup>These statutes provide the university's quality assurance concept in the sense of § 51b LHG. <sup>3</sup>The aim of these statutes is to set standards for tenure-track processes and evaluations that are comparable university-wide as well as to ensure the transparency and reliability of these processes.

(2) <sup>1</sup>Initially, tenure-track professors at the University of Konstanz are appointed as temporary civil servants ("Beamte auf Zeit") for a period of three or four years. <sup>2</sup>If the interim evaluation finds that they have proven themselves as a university teacher in the areas of research and teaching, their term of office will be extended to a total of six years. <sup>3</sup>Statutory rights to an extension of the tenure-track professorship remain unaffected.

(3) An adequately simplified procedure that does not require a job announcement can be used to appoint tenure-track professors to a W3 professorship at their current university (tenure track) as per § 48 para. 1 Sentence 4 LHG.

(4) These statutes apply to tenure track lecturers accordingly.

## § 2

### § 2 Job announcement, selection process, appointment negotiations

<sup>1</sup>When requesting the position and defining the responsibilities of a tenure-track professor, the department also submits a clear and transparent description of the subject-specific requirements that will be assessed in the final evaluation of the tenure-track professor in line with the evaluation criteria stated in § 8. <sup>2</sup>After the responsibilities and subject-specific requirements have been approved, job openings for tenure-track professors are usually announced internationally. <sup>3</sup>For the selection process, the provisions on the selection and appointment of W3-professors as well as the guideline “Berufungspolitik und wertschätzendes Berufungsverfahren für die Besetzung einer W3-Professur an der Universität Konstanz” (appointment policy and respectful appointment processes in W3-professorships at the University of Konstanz) apply, taking into account the specifications for the selection of tenure-track professors. <sup>4</sup>In particular, expert opinions of internationally distinguished researchers, as a rule one from abroad, should be obtained. <sup>5</sup>Deviating from § 51 para. 5 Sentence 2 LHG and to comply with § 48 para. 2 Sentence 3 LHG, members of the corresponding university can only be considered for appointments as tenure-track professors if they changed university after earning their doctorate or carried out research activities outside the university for at least two years. The requirement to select the best applicant remains unaffected. <sup>6</sup>The tenure-track professor will be informed in writing about the specific process as well as about the evaluation criteria and subject-specific requirements at the time he/she is offered the professorship, but no later than when the professorial appointment agreement is concluded. <sup>7</sup>To support gender equality and diversity, the University of Konstanz takes care to offer equal opportunities and to actively recruit female researchers.

## § 3

### Advisory commission

(1) <sup>1</sup>At the request of and in agreement with the tenure-track professor, the corresponding faculty sets up an advisory commission to support him/her. <sup>2</sup>This commission consists of three persons of trust (professors), of whom two are connected to the academic subject (one university-internal, one external) and one is not connected to the subject.

(2) <sup>1</sup>The commission supports the tenure-track professor with setting career goals and successfully developing a personal profile. <sup>2</sup>The advisory commission advises the tenure-track professor on work goals that, based on the evaluation criteria, will contribute to a successful interim and final evaluation. <sup>3</sup>Family obligations, if applicable, are taken into consideration in this respect.

(3) The advisory commission is an offer from the university that the tenure-track professor can decide not to accept.

## § 4

### Interim evaluation; extension request

(1) If the employment period consists of two terms of office, the interim evaluation commission will prepare a report for the interim evaluation three months before the first term of office ends.

(2) <sup>1</sup>The interim evaluation commission will be appointed by the Rectorate, based on a decision of the corresponding Departmental Council and on suggestion of the Faculty Council. <sup>2</sup>It consists of

1. a minimum of three professors, of whom at least two are connected to the subject (one university-internal, one external) and at least one is not connected to the subject
2. the dean who also acts as chairperson
3. the Equal Opportunity Representative (for academic staff) or her representative
4. one student.

<sup>3</sup>At least one of the commission members must be a woman with expertise in the subject area. <sup>4</sup>The University of Konstanz's statutes for assuring scientific objectivity during the appointment process ("Satzung zur Sicherung der wissenschaftlichen Objektivität in Berufungsverfahren") apply. <sup>5</sup>Members of the advisory commission cannot be members of the interim evaluation commission.

(3) <sup>1</sup>The interim evaluation commission assesses how the tenure-track professor has fulfilled his/her tasks as per the criteria in § 8 and issues a recommendation on the extension of the junior professorship as well as an assessment on the person's suitability for appointment after the sixth year of the tenure-track professorship has been completed. <sup>2</sup>This recommendation will be based on: the tenure-track professor's self-evaluation report as per § 9, a minimum of two external expert opinions assessing the performance of the tenure-track professor during his/her first term of office and outlining the future development that might be expected during the second term of office as well as a statement by the dean of studies.

(4) <sup>1</sup>The aim of the interim evaluation is to recognize the tenure-track professor's strengths and weaknesses early on to make it possible to eliminate potential deficits that might prevent a successful appointment later on, or to opt for another career path in research at a time when alternatives are still available. <sup>2</sup>The interim evaluation includes recommendations on the tenure-track professor's further academic development. <sup>3</sup>It is not a preliminary decision in the tenure process.

(5) The interim evaluation commission notifies the tenure-track professor of the results of the interim evaluation in writing and gives him/her feedback on the assessment of individual criteria in an in-person meeting.

(6) <sup>1</sup>If the interim evaluation commission's assessment is positive, the Faculty Council and the Departmental Council will suggest, at the request of the tenure-track professor, an extension of the tenure-track professorship to a total of six years, which will be granted by the rector. <sup>2</sup>If the assessment is negative, the tenure-track professorship can be extended by one year at the request of the junior professor.

## **§ 5 Final evaluation**

(1) <sup>1</sup>The final evaluation (tenure process) will usually be completed in the sixth year of the tenure-track professorship by a tenure evaluation commission. <sup>2</sup>To start the process, the dean will ask the tenure-track professor to submit an application including a self-evaluation report as per § 9. <sup>3</sup>The process is based on the appointment process as per § 48 para. 3 LHG.

(2) <sup>1</sup>If the Senate agrees, the rector may initiate an earlier final evaluation in case of extraordinary achievements and great importance for the university's core priorities. <sup>2</sup>The interim evaluation should generally have been completed before this process can start. <sup>3</sup>An external appointment offer cannot replace the final evaluation.

(3) Before the final evaluation begins, the faculty will offer the tenure-track professor a status consultation.

## **§ 6**

### **Assessment by the tenure evaluation commission**

(1) <sup>1</sup>The tenure evaluation commission will be appointed by the Rectorate, based on a decision of the corresponding Departmental Council and on suggestion of the Faculty Council. <sup>2</sup>The tenure evaluation commission consists of

1. a member of the Rectorate or the Dean's office who also acts as chairperson
2. a minimum of four professors of the corresponding department, including the dean of studies or a professor authorized by him/her
3. a minimum of three professors from other departments, of whom at least one is a member of the corresponding faculty and one of another faculty
4. at least one academic staff member
5. at least one expert from outside the university
6. the Equal Opportunity Representative or her deputy and
7. one student.

<sup>3</sup>The members of the interim evaluation commission may also be members of the tenure evaluation commission. <sup>4</sup>At least two members of the commission must be women with expertise in the subject area. <sup>5</sup>The professors must have the majority of votes; the members of the department should have the majority of votes. <sup>6</sup>The chairperson may transfer responsibilities to another commission member. <sup>7</sup>The statutes for assuring scientific objectivity during the appointment process apply. <sup>8</sup>Members of the advisory commission cannot be members of the tenure evaluation commission.

(2) <sup>1</sup>The tenure evaluation commission assesses whether the tenure-track professor has proven him/herself based on the criteria as per § 8 and the subject-specific requirements as per § 2; it then issues a written recommendation on the person's suitability for appointment to a W3-professorship at the University of Konstanz. <sup>2</sup>The commission considers the self-evaluation report of the tenure-track professor as per § 9, a statement by the dean of studies as well as a minimum of three external expert opinions on the performance of the candidate and his/her suitability for appointment.

(3) The external experts, usually one from abroad, assess the tenure-track professor's performance with regard to the criteria as per § 8 as well as the subject-specific requirements of the tenure-track professorship and the general suitability for appointment to a W3-professorship.

## **§ 7**

### **Result of the final evaluation**

<sup>1</sup>The tenure evaluation commission informs the tenure-track professor about the result of the final evaluation in writing and gives him/her feedback on the assessment of individual criteria in an in-person meeting. <sup>2</sup>With a positive final evaluation, the tenure evaluation commission confirms the tenure-track professor's additional academic achievements in research and teaching that are required for employment as a professor as per § 47 para. 2 LHG. <sup>3</sup>In case of a positive final evaluation, the process ends when a recommendation for appointment from the tenure evaluation commission is

submitted in the usual way for W3-appointments via the corresponding university bodies (Departmental Council, Faculty Council, Senate). <sup>4</sup>The tenure evaluation commission is charged with assessing the tenure-track professor's performance. <sup>5</sup>In case of a negative final evaluation by the tenure evaluation commission, the process ends when the Senate confirms the result. <sup>6</sup>In this case, the tenure-track professorship will, as a rule, end after a total of six years. <sup>7</sup>It can be extended by up to one year at the request of the tenure-track professor.

## **§ 8**

### **Evaluation criteria**

(1) <sup>1</sup>The interim evaluation as per § 4 and the final evaluation as per § 5 are based on the assessment criteria mentioned in paragraphs 2 to 4, which are further specified in the subject-specific requirements as per § 2. <sup>2</sup>For the performance assessment, interruptions because of Mutterschutz (maternity leave), Elternzeit (parental leave), obligations for relatives in need of care as well as physical, psychological or chronic impairments during the junior professorship must be taken into consideration.

(2) In the area of research, especially the following criteria apply:

1. Quality and quantity of research, e.g. documented by
  - a) the significance of the research work in international comparison as well as the person's contributions to the further development of the research field
  - b) reception and evaluation of the research publications
  - c) awards, prizes, patents
2. If applicable, acquisition of external funding.

(3) <sup>1</sup>In the area of teaching, especially the following criteria apply:

1. Expert knowledge
2. Didactics and ability to impart skills
3. Teaching spectrum

<sup>2</sup>The results of the teaching evaluation as well as the statement by the dean of studies will be considered for the interim evaluation and the final evaluation. <sup>3</sup>Another part of the final evaluation is an obligatory lecture (by the tenure-track professor) that is open to all university members.

(4) Further achievements will be considered in the evaluation, in particular:

1. Motivation and ability to complete interdisciplinary research and links to the department's research
2. Leadership skills (e.g. leading a research team, supervising and instructing staff members on good scientific practice and compliance with rules, completing relevant further training)
3. Participation in bodies (academic self-administration)/activities in academic institutions outside the university (e.g. editorships, work for research or professional organizations, work for educational, governmental or other institutions).

## **§ 9**

### **Self-evaluation report**

(1) The tenure-track professor's self-evaluation report consists of two parts: a personal statement and corresponding documentation.

(2) <sup>1</sup>The personal statement describes the activities of the past years as a tenure-track professor in the areas of research, teaching and further achievements as per § 8. <sup>2</sup>As part of a critical self-evaluation, the tenure-track professor should report not only on successes, but also on problems, and suggest potential solutions. <sup>3</sup>The statement should not exceed ten pages.

(3) <sup>1</sup>The documentation should be a fact-based stock-taking and should cover the items listed below (if applicable):

1. In the area of research:

- a) Names and brief descriptions of the most important research topics
- b) Publications in the period under review
- c) Applications for external funding and acquisition of external funding in the period under review
- d) Awards, prizes and patents in the period under review

2. In the area of teaching:

- a) Short description of involvement in study programmes
- b) List of courses held with a short description of the course content
- c) Description of teaching methods, applied didactics and methodology, use of new media
- d) Teaching evaluation by students as well as statement by the student representation
- e) Advising and supervision of students (e.g. involvement in examinations, supervision of final theses)
- f) Internationality (e.g. supervision of international students and doctoral researchers, courses offered in English or another foreign language)

<sup>2</sup>If possible, the teaching performance should be documented in form of a teaching portfolio and include the results of the university's teaching evaluation.

3. <sup>3</sup>In the area of further achievements, for example:

- a) Description of collaboration with other research teams (within the university)
- b) Research collaborations and interdisciplinary collaboration (regional, national and international)
- c) Membership in academic bodies; activities in academic institutions outside the university (e.g. editorships, work for research organizations or professional organizations, work for educational, governmental or other institutions)

- d) Supervision of doctoral research or activities to promote early career researchers and equal opportunities
- e) Transfer activities (economy, administration, politics) or collaboration in practical areas
- f) Short description of leadership experience (e.g. as head of research team, supervision and instruction of staff members, documentation of training in leadership skills)
- g) Short description of corresponding tasks in self-administration and in university working groups, outlining the person's own contribution as well as relevant further training.

## **§ 10**

### **Coming into effect, transitional provisions**

(1) <sup>1</sup>These statutes come into effect the day after their publication in the “Amtliche Bekanntmachungen” (official announcements) of the University of Konstanz. <sup>2</sup>They replace the statutes on the tenure-track process at the University of Konstanz, the selection process and the evaluation of junior professors without tenure-track options from 12 May 2017.

(2) Notwithstanding paragraph 1, the statutes on the tenure-track process at the University of Konstanz, the selection process and the evaluation of junior professors without tenure-track options from 12 May 2017 continue to apply to junior professors with or without a tenure track who started their position before these new statutes came into effect.

#### **Note:**

The German legally binding version of these statutes was published in the *Amtliche Bekanntmachungen* (official announcements) of the University of Konstanz no. 23/2018 on 24 July 2018.