

Regulations Relating to the Appointment and Employment of Tenure Track Staff at Julius-Maximilians-Universität Würzburg

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Quality Assurance Concept Pursuant to Article 18 Subarticle 3 Sentence 5 *Bayerisches Hochschulpersonalgesetz* (Bavarian Act on Personnel in Higher Education, BayHSchPG)

The English text in this document is intended solely as a convenience to non-German-reading individuals. Any discrepancies or differences that may arise in the translation of the official German version shall not be legally binding.

Preamble

Julius-Maximilians-Universität Würzburg (JMU) has decreed the following Regulations Relating to the Appointment and Employment of Tenure Track Staff, hereinafter referred to as 'the Tenure Track Regulations'. These Tenure Track Regulations open up new career paths in all W pay grades and create attractive predictable long-term career options at JMU for particularly promising and talented researchers.

Tenure track professorships are awarded for an initial period of up to six years and offer a perspective to tenured professorships in pay grade W2 or W3. These Regulations outline JMU's structures, procedures, and quality standards for the appointment and employment of tenure track staff.

PART I General Provisions

Section 1 Application of Regulations

These Regulations shall apply to professors with either fixed-term appointment into civil service (*Beamtenverhältnis auf Zeit*) or fixed-term appointment to a position without civil servant status (*Angestelltenverhältnis auf Zeit*) who hold a position that was explicitly advertised as a tenure track position.

Section 2 Tenure Track Options

JMU offers the following tenure track options:

- appointment to the position of junior professor (pay grade W1) with tenure track towards the position of university professor with lifetime appointment (pay grade W2 or W3) or
- appointment to the position of university professor (pay grade W2) with fixed-term appointment into civil service (*Beamtenverhältnis auf Zeit*) with tenure track towards the

position of university professor with lifetime appointment (pay grade W2 or W3). Both the appointment request and the call for applications must identify the pay grade (W2 or W3) to which the professor would be assigned should he/she be granted tenure.

Section 3 The Standing Tenure Committee

(1) To ensure the quality of its tenure track proceedings, JMU shall appoint a Standing University Tenure Committee.

The Standing Tenure Committee shall be composed of:

- four full professors of recognised international standing, one each representing the humanities, the human and social sciences, the life sciences, and the natural sciences, up to two of whom may be members of universities other than JMU,
- one representative of the University's mid-level academic positions,
- one representative of the University's student community, and
- the Women's Representative of the University.

One of the University's Vice-Presidents (pay grade W2 or higher) shall attend meetings of the Standing Tenure Committee in a non-voting capacity.

(2) The members of the Standing Tenure Committee shall elect, from among the Committee's professorial members, a chairperson; that chairperson must be a member of JMU.

(3) The Faculties each shall propose one candidate for appointment to the Committee as a representative of professorial staff. The Committee's professorial members as well as one substitute member for each of them shall be appointed by the Senate in mutual agreement with the University Board for a term of four years. The provisions of Section 3 Subsection 1 hereof shall apply accordingly to the professorial substitute members of the Committee.

The chairperson of the Council of Academic Staff shall propose a candidate for appointment to the Committee as a representative of the University's mid-level academic positions as well as a candidate to serve as the latter's replacement; the representative of the University's mid-level academic positions and his/her replacement shall be appointed by the Senate in agreement with the University Board for a term of two years.

The chairperson of the Student Convention shall propose a candidate for appointment to the Committee as a representative of the University's student community as well as a candidate to serve as the latter's substitute; the representative of the University's student community and his/her substitute shall be appointed by the Senate in agreement with the University Board for a term of one year.

In addition to the Women's Representative of the University, no less than two members of the Committee shall be women; at least one of the female members of the Committee shall be a full professor.

(4) The Standing Tenure Committee shall be responsible for ensuring compliance with all procedural rules. Its responsibilities shall include, but not be limited to, ensuring that all tenure track proceedings at JMU are based upon clearly defined, comparable, and transparent standards and assessment criteria, which comply with the highest standards of quality. At least once every three years, the members of the Standing Tenure Committee shall furthermore be responsible for preparing a summary evaluation of all completed tenure processes on the basis of continuous monitoring. If necessary, they shall make

recommendations for the modification of procedures based on the aforementioned summary evaluation.

Section 4 The Tenure Evaluation Committee

(1) A Tenure Evaluation Committee shall be appointed for each tenure process.

(2) The Tenure Evaluation Committee shall be composed of

- the members of the Standing Tenure Committee,
- two full professors of the recruiting Faculty,
- two external professors specialised in the field of the concerning tenure track professorship,
- the Women's Representative of the recruiting Faculty.

In cases where the position to be filled involves duties to be undertaken at the University Hospital, the Medical Director of the University Hospital or a competent designee shall have the right to attend meetings of the Tenure Evaluation Committee in an advisory capacity.

An official representative of the University Board shall attend the meetings of the Tenure Evaluation Committee in a non-voting capacity.

(3) The two full professors of the recruiting Faculty as well as the two external professors who are not members of the Standing Tenure Committee shall be appointed to the Tenure Evaluation Committee by the Faculty Board of the recruiting Faculty in mutual agreement with the University Board. The Women's Representative of the recruiting Faculty shall be an ex-officio member of the Tenure Evaluation Committee.

(4) The members of the Tenure Evaluation Committee shall elect a chairperson from among the Committee's professorial members. The elected chairperson must be a member of JMU.

(5) In addition, the members of the Tenure Evaluation Committee shall elect from their midst an individual with appropriate knowledge in the relevant field to serve as rapporteur; that rapporteur shall be responsible for ensuring a transparent documentation of each tenure process.

(6) The provisions about bias among members of the Appointments Committee described in JMU's Guidelines for Appointments shall apply accordingly to all members of the Tenure Evaluation Committee.

(7) Individuals who serve as mentors pursuant to Section 7 hereof must not be members of the Tenure Evaluation Committee for the tenure process in question.

PART II Framework Conditions

Section 5 Eligibility for Consideration for Tenure Track Positions, Advertising and Appointing to Tenure Track Positions

(1) Tenure track positions shall be filled with researchers at an early stage of their academic career who have changed universities after completion of their doctorate or, if they completed

their doctorate at JMU, held a position as a researcher at a higher education institution other than JMU for at least two years. The provisions of Article 18 Subarticle 4 Sentences 8 and 9 BayHSchPG shall remain unaffected.

(2) As a general rule, JMU shall advertise tenure track positions internationally, explicitly noting that it is planned that the successful candidate be appointed on tenure track and that the offer of appointment will not be subject to the condition that a post is lying vacant.

(3) Professors appointed on tenure track shall perform their duties in research and teaching independently.

(4) During phase one of their appointment, professors appointed on tenure track (pay grade W1) shall be expected to teach five weekly contact hours; in phase two of their appointment as junior professors, they shall be expected to teach seven weekly contact hours [Section 4 Subsection 1 No. 3 *Lehrverpflichtungsverordnung* (directive on the teaching load of science and arts personnel at universities and universities of applied sciences, LUFV)].

For professors appointed on tenure track with pay grade W2, the university offers the option to teach a reduced load. Pursuant to Section 7 Subsection 7 Sentence 2 LUFV, the teaching load of a W2 professor with fixed-term appointment may be reduced to any number down to five weekly contact hours in the first three years of his/her term of appointment,; in the following years of his/her term of appointment, it may be reduced to any number down to seven weekly contact hours. Requests for a reduction of a W2 professor's teaching load must be submitted in writing and via the Dean to the President of the University. The W2 professor's teaching unit shall be responsible for ensuring the coverage of the legally determined teaching load.

(5) Appointments to tenure track positions must be made in accordance with JMU's Guidelines for Appointments.

Section 6 Individual Career Development Plan

(1) The tenure track professor's progression to lifetime appointment to a professorship (tenure) in either pay grade W2 or pay grade W3 shall be outlined with the aid of a career development plan. This plan shall specify the tenure track professor's aspired objectives and development steps in the areas of research, teaching, promotion of early career researchers, leadership, professional development, committee service as well as activities related to academic self-governance. The tenure track professor shall compose his/her career development plan in coordination with the Faculty's Dean.

(2) While the Prescribed Structure for Personal Development Plans (see Appendix 1) provides the general basis for the formulation of each individual personal development plan, its contents may be further specified and adapted with respect to the particular disciplinary culture and the individual profile.

(3) In the event of changed circumstances subsequent to his/her appointment/recruitment, the tenure track professor may propose amendments to the career development plan during a status meeting with the Faculty's Dean (Section 8 hereof).

Section 7 Mentoring

(1) At the request of the newly appointed/recruited tenure track professor, the Faculty shall appoint up to two internal or external researchers to serve as his/her mentors. The actual use

of mentoring is optional.

(2) The mentor or mentors shall support the professor while on tenure track and help further his/her professional and personal development. The mentor or mentors and the mentee shall not be in a superior-subordinate relationship.

(3) The tenure track professor and his/her mentor or mentors shall meet on a regular basis, but no less than once a year. All contents discussed shall remain confidential, have an advisory function and shall be of no relevance whatsoever for the tenure evaluation process.

Section 8 Status Meetings

The Dean of the Faculty concerned or a professor of the Faculty concerned and designated by the Dean to serve as a contact person for the tenure track professor, shall hold a status meeting with the tenure track professor at least once a year. Each status meeting is to be documented in writing. During those status meetings, the Faculty Dean or his/her designee and the tenure track professor shall discuss the progress the tenure track professor has made towards achieving the objectives identified in his/her career development plan.

PART III The Tenure Process

Section 9 Initiation of the Process

(1) The tenure process shall be initiated by submission of a written request by the tenure track professor to the Dean. Together with this request, the tenure track professor shall submit his/her tenure dossier (see Appendix 2), which must bear the tenure track professor's live signature. The tenure dossier shall be structured in the same way, and discuss the same issues, as the tenure track professor's career development plan.

(2) The Faculty's Dean shall promptly forward copies of the tenure track professor's request and tenure dossier to the Standing Tenure Committee and to the Faculty Board. At the same time, the Dean shall solicit from the Faculty Board proposals for candidates for appointment to the Tenure Evaluation Committee pursuant to Section 4 Subsection 2 hereof. In addition, the Faculty's Dean shall ask the Faculty's Dean of Studies to promptly submit a statement on the quality of the tenure track professor's teaching. At the same time, he/she shall solicit the opinion of the Faculty Board's student members on the tenure track professor's abilities as a teacher.

(3) The tenure process shall be initiated no later than one year prior to the end date of the tenure track professor's term of appointment.

In cases where the candidate was appointed to the position of university professor in pay grade W2 with fixed-term appointment into civil service (*Beamtenverhältnis auf Zeit*) with tenure track towards the position of university professor in pay grade W2 with lifetime appointment into civil service (*Beamtenverhältnis auf Lebenszeit*), the tenure process cannot be initiated earlier than two and a half years after the start date of the tenure track professor's term of appointment (see provisions of Article 8 Subarticle 2 Sentences 5 through 7 BayHSchPG,. In all other cases, it shall only be permitted to submit the request for initiation of the tenure process ahead of schedule in exceptional circumstances, especially in cases where

- the tenure track professor receives an offer of appointment from another university or

- the tenure track professor is awarded a prestigious award or grant from a renowned research organisation.

In any case, the aforementioned request can be submitted no earlier than three years after the start date of the tenure track professor's term of appointment and not before the intermediate evaluation has been successfully completed (for positions in pay grade W1) or, respectively, no earlier than two and a half years after the start date of the tenure track professor's term of appointment (for positions in pay grade W2 with tenure track towards a position in pay grade W3). In such exceptional circumstances, the evaluation shall be initiated immediately.

Section 10 The Faculty Board's Assessment

As soon as the Faculty's Dean of Studies has obtained an opinion from the student members of the Faculty Board and has submitted his/her own statement, the Faculty's Dean shall submit the tenure track professor's request to the Faculty Board for debate. The following documents shall also be transmitted to the members of the Faculty Board: the tenure track professor's tenure dossier, the Faculty's Dean of Studies' statement, the students' opinion, the most recent version of the tenure track professor's career development plan, and the written records of the status meetings. In cases where a professorship at the University Hospital is concerned, a statement from the Medical Director of the University Hospital shall be obtained in addition; the Faculty's Dean shall be responsible for obtaining that statement. On the basis of the documents transmitted to it, the Faculty Board shall prepare an assessment of the tenure track professor's professional, pedagogical, and personal suitability for tenure. The Faculty's Dean shall forward that assessment to the Tenure Evaluation Committee.

Section 11 External Reviews

(1) The Tenure Evaluation Committee shall obtain at least two external expert opinions of the tenure track professor's overall academic performance and achievements; wherever possible, one of the external reviewers should come from a country other than Germany. The individuals serving as external reviewers should be holders of senior positions in research. It must be ensured that the external reviewers and the tenure track professor maintain professional and personal impartiality; therefore, the provisions about bias among members of the Appointments Committee described in JMU's Guidelines for Appointments shall apply accordingly to all external reviewers. In the case of diverging opinions being expressed by the external reviewers, an additional expert opinion shall be obtained in compliance with the provisions described above.

(2) The Tenure Evaluation Committee shall forward copies of the tenure track professor's tenure dossier to the external reviewers; said dossier shall serve as a basis for the external reviews. In addition, both a German and an English copy of these Tenure Track Regulations shall be forwarded to the evaluators; in the case of any discrepancy between the German original and the English translation, the German original shall prevail.

Section 12 Personal Interview

Once it has received the reviews solicited from external experts, the Tenure Evaluation Committee shall invite the tenure track professor for a personal interview; during that interview, the committee and the professor shall discuss the professor's activities in the areas

of research, teaching, promotion of early career researchers, and academic self-governance, his/her leadership skills as well as other matters discussed in the professor's tenure dossier and shall clarify any other issues that may arise.

Section 13 The Tenure Evaluation Committee's Decision

(1) Taking into account the information provided in the tenure track professor's career development plan and tenure dossier, the Faculty Board's assessment, the opinions expressed by the external reviewers about the tenure track professor's overall academic performance as well as the tenure track professor's performance in the personal interview, the Tenure Evaluation Committee shall compile a report appraising the overall performance and achievement of the tenure track professor, and shall make its final decision on whether to grant or deny tenure (see Appendix 3).

(2) If the Tenure Evaluation Committee takes a positive decision, the President of the University shall award tenure to the professor.

If the Tenure Evaluation Committee takes a negative decision and the tenure track professor holds a position in pay grade W1, the tenure track professor shall, upon his/her request and in compliance with the relevant legal provisions, be employed by the University for up to one additional year (winding-down period).

PART IV Final Provisions

Section 14 Transitional Provisions

Tenure track positions in pay grade W1 or W2 already approved for filling by the University Board on the date of coming into effect of these Tenure Track Regulations shall continue to be governed by the Regulations Relating to the Appointment and Employment of Tenure Track Staff at Julius-Maximilians-Universität Würzburg dated 31 May 2017.

Section 15 Coming into Effect

These Tenure Track Regulations shall come into effect one day after their publication and shall supersede the Regulations Relating to the Appointment and Employment of Tenure Track Staff at Julius-Maximilians-Universität Würzburg dated 31 May 2017.

Appendix 1

The Prescribed Structure for Career Development Plans

The career development plan of the professor to be appointed on tenure track shall detail the objectives he/she intends to have achieved and the qualifications he/she intends to have obtained by the time he/she submits his/her tenure dossier. The objectives defined in the career development plan shall serve as criteria on which the Tenure Evaluation Committee shall base its decision to grant or deny tenure. With a view to allowing a fair assessment of the tenure track professor's performance and achievement, in particular Section 9 Subsection 1 Sentence 3 of these Tenure Track Regulations, those objectives must be formulated as specific, measurable, and time-bound as possible.

The professor to be appointed on tenure track shall draw up his/her career development plan prior to his/her appointment in consultation with the Faculty's Dean. While this individually agreed career development plan shall consider the candidate's particular research profile as well as subject-specific peculiarities, it must also be ensured that the plan adheres to the below-mentioned structures and parameters that apply to the university as a whole.

1. Research

- Description of the tenure track professor's research interests and planned development steps
- Specification of publication goals
- Description of planned activities to raise third-party funds
- Explanations concerning the interdisciplinary embedding and international orientation of his/her research
- Outline of envisaged research collaborations within the University, with other universities, and further partners, both domestically and internationally
- Outline of his/her planned activities in knowledge transfer (business, politics, civil society) and/or envisaged collaborations with practitioners

2. Teaching

- Specification of the tenure track professor's teaching interests, details of how he/she will be involved in teaching within existing degree programmes, details of the range and scope of his/her teaching activities
- Details of novel teaching strategies and materials he/she is planning to develop
- Details of his/her approach to teaching including information on how he/she is planning to incorporate digital tools into his/her teaching
- Details of professional development activities he/she is planning to undertake in the area of teaching (if any)

3. Promotion of early career researchers, leadership, professional development

- Outline of the tenure track professor's personal strategy for the promotion of early career researchers
- Sketch of planned activities to enhance his/her leadership and advisory expertise
- Details of activities he/she is planning to undertake for his/her own professional development (if any)

4. Committee service and activities related to academic self-governance

- Brief details of planned activities in the area of academic self-governance and envisaged responsibilities within research and professional organisations

Appendix 2

The Tenure Track Professor's Tenure Dossier

The tenure track professor's tenure dossier shall consist of two components: his/her personal statement and a record of his/her research, teaching, and professional activities. In addition to the German version, the tenure track professor shall prepare an English version of his/her tenure dossier for submission to the external reviewers if this is common practice in his/her discipline.

1. The Tenure Track Professor's Personal Statement

In his/her personal statement, the tenure track professor shall discuss the activities he/she has engaged in, with a particular focus on his/her performance in relation to the objectives set out in his/her career development plan. The statement shall cover the period from the start date of the tenure track professor's term of appointment to the date of submission of his/her tenure dossier. It shall discuss aspects related to research, teaching, promotion of early career researchers, leadership skills, the tenure track professor's own professional development, committee service as well as activities related to academic self-governance. The personal statement gives the tenure track professor the opportunity to discuss and prioritise the different aspects of his/her work. It shall serve as a guide which will allow to better understand and assess the information provided in the record of the tenure track professor's research, teaching, and professional activities (see below). The tenure track professor shall conduct a critical self-assessment, discussing his/her accomplishments, any problems he/she may have encountered as well as measures taken to cope with them.

In the final section of his/her statement, the tenure track professor shall discuss the objectives he/she intends to achieve and qualifications he/she intends to obtain in the areas identified above should he/she be granted tenure.

2. The record of the Tenure Track Professor's research, teaching, and professional activities

The record of the tenure track professor's activities should, first of all, provide an outline of the current situation and must be structured into the same sections as his/her personal statement. It shall cover all applicable points listed hereafter.

2.1. Research

- The tenure track professor's publications in the relevant period (work published in reviewed journals, conference proceedings, etc. shall be identified as such)
- Indicators of the response to his/her publications from the research community in his/her discipline
- Invited talks given, conferences organised or contributed to
- Information on proposals for third-party funding submitted and acquired third-party funding (volume of funds, funding agency and program)
- Details on the interdisciplinarity and internationality of his/her research
- Participation in collaborative research projects

- Awards, grants, and fellowships awarded
- Spin-outs co-founded, patents
- Research collaborations within the University, with other universities, and further partners, both domestically and internationally
- Activities in the area of knowledge transfer and/or collaborations with practitioners

2.2. Teaching

- Details on the tenure track professor's involvement in teaching within degree programmes, details on the range and scope of his/her teaching activities
- List of courses taught including brief summaries of course contents
- Student evaluations of courses taught by the tenure track professor (representative evaluations of at least four different courses/course types to be attached)
- Activities aimed at developing novel teaching concepts
- Textbooks and other teaching materials co-written/developed
- Teaching awards received
- Details on digital media used for the purpose of promoting digital media literacy of his/her students
- International orientation of teaching activities (support of international students and doctoral researchers, courses taught in English, etc.)
- Assessments administered
- Professional development activities undertaken in the area of teaching

2.3. Promotion of early career researchers, leadership, professional development

- (Doctoral) theses supervised and other activities related to the promotion of early career researchers
- Leadership skills developed or enhanced
- Participation in professional development courses offered by JMU or external institutions

2.4. Committee service and activities related to academic self-governance

- Participation in the work of university committees
- Assumption of responsibilities within scientific organisations and other professional bodies, reviewer activities

Appendix 3

The Tenure Evaluation Committee's Report Assessing the Overall Performance and Achievement of the Tenure Track Professor

In accordance with the provisions of Section 13 Subsection 1 of these Tenure Track Regulations, the Tenure Evaluation Committee shall compile a report assessing the overall performance and achievement of the tenure track professor. The report shall conclude with a final decision on whether to grant or deny tenure.

To provide for as much coherence – and thus comparability – as possible, all reports shall be structured as follows:

1. Introduction: General conditions (e. g. the resources available to the tenure track professor), evaluation criteria and standards
2. Discussion and assessment of the tenure track professor's activities and accomplishments in the area of research
3. Discussion and assessment of the tenure track professor's activities and accomplishments in the area of teaching
4. Discussion and assessment of the tenure track professor's activities and accomplishments in the areas of promoting early career researchers, leadership, and professional development
5. Discussion and assessment of the tenure track professor's activities in the areas of committee service and academic self-governance
6. Assessment of the tenure track professor's overall performance and comments on his/her potential for further development opportunities compared to his/her national and international peers
7. Final decision on whether to grant or deny tenure