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REGULATIONS FOR QUALITY ASSURANCE IN TENURE-TRACK PROCEDURES AT THE PADERBORN UNIVERSITY [TENURE-TRACK REGULATIONS]

FROM NOVEMBER 30, 2018

Please note: This publication is an English translation. Only the German original of these regulations as published in the Official Announcements of the University of Paderborn („Amtliche Mitteilung“) is legally binding.

Regulations for quality assurance in tenure-track procedures at Paderborn University (Tenure Track Regulations)

of 30 November 2018

Paderborn University has issued the following regulations on the basis of Section 2 (4) of the North Rhine-Westphalia Higher Education Act (Hochschulgesetz - HG) of 16 September 2014 (GV. NRW. p. 547), last amended by Article 3 of the Act of 17 October 2017 (GV. NRW. p. 806):

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§ 1

Objectives

¹Tenure-track professorships offer excellent early career researchers attractive career prospects at Paderborn University. ²By implementing the tenure-track professorship, Paderborn University is creating an additional career path to a professorship that enables an earlier decision to pursue an academic career and remain in academia permanently. ³This enables Paderborn University to attract and retain outstanding young academics at an earlier stage. ⁴The regulations for quality assurance in tenure-track procedures at Paderborn University create a transparent, quality-assured procedure in accordance with uniform and formal standards across the University.

§ 2

Aria of application

¹These regulations apply to all junior professorships with tenure track and all fixed-term professorships with tenure track at Paderborn University. ²Decisions on the appointment of a permanent professorship according to the tenure-track procedure can only be made in accordance with the procedure described in these regulations.

§ 3

Advertisement and appointment procedure

- (1) The respective faculty shall apply to the Presidential Board for the establishment of a tenure-track position and its advertisement.
- (2) ¹Tenure-track professorships at Paderborn University can be advertised and filled as follows:
 - a. as a W1 tenure-track professorship (junior professorship) limited to up to six years with a transfer to a permanent W2 professorship and, in justified exceptional cases, to a permanent W3 professorship.
 - b. in justified exceptional cases, as a W2 tenure-track professorship limited to up to five years with a transfer to a permanent W2 professorship or a permanent W3 professorship.

²The interim evaluation of tenure-track professorships is carried out in accordance with § 9 of these regulations. ³A successful final evaluation in accordance with Section 10 of these regulations or a procedure in accordance with Section 11 of these regulations is a prerequisite for appointment to a permanent professorship.

- (3) ¹The tenure-track professorship shall be advertised. ²As a rule, the vacancy is advertised internationally. ³It may initially only be awarded for a fixed term; this must be indicated in the advertisement. ⁴It must also be pointed out that a tenure commitment is made which is not subject to a job reservation.

- (4) ¹The Faculty Council shall determine the evaluation criteria together with the application for the call for applications. ²These can also be determined by the appointment committee (tenure committee see § 6).
- (5) ¹The evaluation criteria are defined in more detail by subject-specific indicators. ²They reflect the subject-specific requirements on which the interim evaluation and the final evaluation (tenure procedure) of the professorship are based and form a binding, clearly defined standard for acceptance into a permanent employment or service relationship. ³The evaluation criteria (including the weighting), supplemented by the subject-specific indicators, are determined at the latest before the appointment and announced to the candidate.
- (6) ¹Internal and external applications are possible for the advertised tenure-track professorship. ²In the case of an internal application, the prerequisite for the transfer of a tenure-track professorship is that the person concerned has changed universities after completing his/her doctorate or has worked in academia outside Paderborn University for at least two years.
- (7) ¹A tenure-track professorship is filled by means of a regular appointment procedure. ²Applicants must provide evidence of their particular academic and pedagogical aptitude. ³The expert reports should be prepared by internationally recognised experts. ⁴As a rule, at the time of appointment to a tenure-track professorship, a doctorate should not have been awarded more than five years previously. ⁵A tenure-track professorship is associated with an appropriate endowment. ⁶In the case of tenure-track professorships, an appointment hearing takes place during the appointment procedure. ⁷Transitions to the tenure-track professorship from other career paths are possible within the framework of higher education legislation.
- (8) The appointment of tenure-track professors is also governed by the Regulations for the Appointment of Professors and Junior Professors at Paderborn University (Appointment Regulations).

§ 4

Phases of the tenure-track professorship

- (1) ¹As a rule, the tenure-track procedure consists of two phases, each of which is concluded by the evaluation of the candidate. ²In the case of W2 tenure-track professorships, a shortened procedure applies.
- (2) ¹W1 tenure-track professors are initially appointed for a period of three years. ²The result of the interim evaluation in accordance with Section 9 of these regulations serves as the basis for the decision on the extension for a further three years and provides an assessment of the performance to date and further development prospects.
- (3) ¹W2 tenure-track professors are generally appointed for a period of five years. ²The interim evaluation, which takes place after three years, serves as orientation and provides an assessment

of performance to date and further development prospects.

- (4) The result of the final evaluation in accordance with § 10 and § 11 of these regulations serves as the basis for the decision on the continuation of the employment or service relationship.

§ 5

Quality assurance of the procedure

- (1) ¹The quality assurance of all tenure-track procedures is carried out by the Tenure Board, a committee of the Presidential Board. ²This committee oversees all tenure-track procedures at Paderborn University from an interdisciplinary perspective and guarantees uniform formal standards as well as transparency and procedural security; candidates are not examined on the basis of subject content. ³The Tenure Board advises on the interim and final evaluation.
- (2) The following documents must be submitted to the Tenure Board:
- a. Prior to appointment to a new tenure-track professorship:
Evaluation criteria and subject-specific indicators for the respective professorship
 - b. During the evaluation process:
The tenure dossier, in particular:
 - Self-report of the candidate
 - Appraisal report
 - Results of the teaching evaluation
 - A vote from the student perspective
 - Report of the Tenure Commission
 - Resolution of the Faculty Council (includes the reasoned proposal for extension/renewal or termination of the employment or service relationship and the result of the vote of the Faculty Council)
- (3) ¹The Tenure Board shall review the proper course of the evaluation processes in accordance with these regulations. ²In doing so, uniform university-wide evaluation standards are observed, taking into account the respective subject and faculty cultures. ³It is the task of the Tenure Board to submit a statement to the Executive Board on the proper conduct of the procedure on the basis of the documents submitted. ⁴The Tenure Board also submits proposals to the Presidential Board for the continuous improvement of the procedure based on its experience.
- (4) ¹The Tenure Board shall include one university lecturer from each faculty as well as two academic staff members and one student as permanent voting members. ²The Executive Board appoints the members of the Tenure Board in agreement with the Senate. ³Gender parity within the meaning of Section 11 c HG must be taken into account when appointing members. ⁴The term of office of the members shall be based on the term of office of the Executive Board. ⁵The term of office for the student member is two years; it ends at the latest with the term of office of the Executive Board.

⁶Members of the Tenure Board may be reappointed. ⁷A substitute member shall be appointed for each member; sentences 1 to 5 shall apply to the substitute members accordingly. ⁸If an original member with voting rights resigns, the corresponding substitute member shall take their place. ⁹Reasons for resignation are: a member leaves the university, a member resigns from the Tenure Board and the membership rights as a university member within the meaning of the Higher Education Act NRW are suspended. ¹⁰In the event of bias on the part of an original member, this member does not resign from the Tenure Board, but is merely replaced by the substitute member in the event of bias.

- (5) The Tenure Board consists of the following permanent non-voting members:
- a. The Vice President for Research and Junior Academics
 - b. The Equal Opportunities Officer of the University
 - c. The representative of severely disabled persons (representative body for severely disabled persons).
- (6) ¹The Vice President for Research and Junior Academics chairs the Tenure Board. ²He/she shall issue invitations to the meetings of the Tenure Board. ³The members of the Tenure Board elect a deputy from the group of voting members of the Tenure Board.
- (7) ¹The Tenure Board meets as required, but at least once a semester. ²As a rule, it meets six weeks after the complete documents for the interim or final evaluation have been received by the Chairperson.
- (8) With regard to further procedural regulations, reference is also made to the Senate's rules of procedure.

§ 6

Tenure Commission

- (1) ¹The Tenure Commission is the body responsible for the procedure for an individual tenure procedure at faculty level; each individual procedure is conducted by a separate Tenure Commission. ²The Tenure Committee is the appointment committee in accordance with the appointment regulations. ³In addition to the appointment procedure, it supervises the tenure evaluations from the faculty side and draws up recommendations for the faculty. ⁴It remains in place for the duration of an entire individual procedure until the final evaluation has been completed.
- (2) ¹For the final evaluation, the committee shall include two internationally renowned external academics with special expertise in the subject in which the tenure-track professor works as additional voting members. ²They are elected by the Faculty Council on the recommendation of the Tenure Commission.

§ 7

Mentorship

- (1) ¹Each tenure-track professor has the option of choosing a mentor from the group of professors at Paderborn University. ²The Dean of the Faculty appoints the mentor and informs the Chairperson of the Tenure Board and the Tenure Commission.
- (2) ¹The mentor should provide the candidate with critical feedback from colleagues, be available to the candidate as a contact person and for counselling, and support the preparation of the self-report for the evaluations in an advisory capacity. ²The mentor is not involved in the evaluations and does not act as a superior to the candidate.

§ 8

Tenure-Dossier

¹A dossier is created for the entire procedure. ²This is the ongoing documentation of the candidate's achievements and assessments. ³It must be treated in strict confidence and is kept in the Dean's Office of the Faculty in chronological order according to the stages of the procedure. ⁴The dossier may only be viewed by persons who are authorised to do so in order to properly fulfil their duties within the framework of the evaluation procedure described here. ⁵On completion of the tenure procedure, it will be added to the personnel file. ⁶When inspecting the file, personal data about reviewers contained in reports on professional suitability must be anonymised.

§ 9

Procedure for interim evaluation

- (1) ¹The procedure begins after two years at the candidate's request with the submission of a self-report to the Dean. ²The candidate's self-report must be submitted to the Chair of the Tenure Commission immediately. ³This date may only be postponed if the candidate takes a leave of absence.
- (2) ¹The Tenure Committee shall obtain at least one external expert opinion from an internationally recognised professor. ²The reviewer shall receive a review assignment stating the evaluation criteria and the subject-specific indicators as well as the candidate's self-report. ³The tenure committee may provide further documents in accordance with the evaluation criteria. ⁴The interim evaluation of W2 tenure-track professorships does not require an expert opinion.
- (3) A public presentation by the candidate at the university is part of the interim evaluation.
- (4) ¹On the basis of the self-report, the presentation, the expert opinion obtained and a vote on teaching from a student perspective, the tenure committee for W1 candidates shall draw up a written report¹ which must refer to the evaluation criteria and subject-specific indicators. ²The report shall include at least a description and evaluation of the candidate's achievements to date in the

areas of research, teaching and academic self-administration as well as an assessment of further academic development and potential. ³In the case of W1 professorships, the report concludes with a recommendation for continued employment as a tenure candidate if the overall assessment is positive or with a recommendation to terminate the tenure track procedure if the overall assessment is negative. ⁴In the case of W2 professorships, the tenure committee prepares a short report on the basis of the self-evaluation report and the presentation with reference to the evaluation criteria; this also contains information on any undesirable developments.

- (5) ¹On the basis of the report and the documents submitted, the Faculty Council for W1 professorships decides on the recommendation to continue or terminate the tenure track procedure. ²The decision, the result of the vote and the documents are forwarded to the Chair of the Tenure Board. ³The Tenure Board makes a recommendation to the Executive Board on the basis of these documents. ⁴The Executive Board decides. ⁵In the case of W2 professorships, the summary report is forwarded to the Faculty Council and the Tenure Board for information.
- (6) ¹As part of the interim evaluation, the Chair of the Tenure Board, the Chair of the Tenure Commission and the Dean shall conduct a structured status interview with the candidate. ²It is intended to contribute to reflection on the candidate's achievements and progress to date and to counteract possible undesirable developments. ³The results of the interview are recorded in a protocol.
- (7) ¹If the interim evaluation is positive, the tenure-track procedure for W1 professorships is generally extended by three years to a total of six years in the second phase. ²If the interim evaluation is negative, the candidate shall withdraw from the tenure-track procedure; in this case, the faculty may grant a one-year phase-out funding.
- (8) ¹The dean of the faculty involved shall ensure transparent and clear communication about the procedure and inform the candidate appropriately about the procedural steps and the progress of the procedure. ²This shall be recorded in the files.

¹ See sample in Appendix 1b

§ 10

Procedure for final evaluation

- (1) ¹The final evaluation shall only be initiated at the candidate's request. ²The application for W1 professorships must be submitted at the latest at the beginning of the third year of the second phase of the tenure track procedure, for W2 professorships at the latest one year before the end of the fixed-term employment or service relationship. ³This date may only be postponed if the candidate is on leave of absence. ⁴The dean shall inform the candidate of his/her obligation to submit an application no later than one month before the beginning of the third year or no later than

13 months before the expiry of the fixed-term employment or service relationship and shall make this known on file.

- (2) ¹The final evaluation procedure begins with the application and submission of a self-evaluation report to the Dean. ²The candidate's self-evaluation report must be submitted to the Chair of the Tenure Commission immediately.
- (3) ¹The evaluation procedure is subject to the proviso that the evaluation criteria and subject-specific indicators defined at the time of appointment form the basis for the decision. ²For the final evaluation, at least two expert opinions are requested by the Tenure Commission. ³The reports should be prepared by internationally recognised experts. ⁴The reviewers receive a review assignment stating the evaluation criteria and indicators as well as the candidate's self-evaluation report. ⁵The Tenure Committee may provide further documents in accordance with the evaluation criteria.
- (4) A public presentation by the candidate at the university is part of the final evaluation.
- (5) ¹On the basis of the self-report, the presentation, the expert opinions obtained and a vote on teaching from a student perspective, the tenure committee shall draw up a written report which must refer to the evaluation criteria and subject-specific indicators. ²The report shall include at least a description and evaluation of the candidate's achievements to date in the areas of research, teaching and academic self-administration as well as an assessment of further academic development and potential. ³If the overall assessment is positive, the report shall conclude with a recommendation regarding the candidate's acceptance into a permanent employment or service relationship or, if the overall assessment is negative, with a recommendation to terminate the tenure-track procedure.
- (6) ¹On the basis of the report and the documents submitted, the Faculty Board decides on a recommendation to accept the candidate into a permanent employment or service relationship or, in the case of a negative overall assessment, with a recommendation to terminate the tenure track procedure. ²The decision, the result of the vote and the documents are forwarded to the Chair of the Tenure Board. ³The Tenure Board makes a recommendation to the Executive Board on the basis of these documents. ⁴The Executive Board decides.
- (7) ¹In the event of a positive final evaluation, the candidate shall be offered a permanent employment or service contract with a waiver of advertisement. ²The Senate must be informed of this. ³In the event of a negative final evaluation, the faculty may grant one year of phased-out funding.
- (8) In the case of W2 tenure-track professorships, the faculties may grant phase-out funding in the form of a temporary appointment as a senior academic advisor in accordance with the Higher Education Act of North Rhine-Westphalia, as amended.
- (9) ¹The dean of the faculty involved shall ensure transparent and clear communication about the procedure and inform the candidate appropriately about the procedural steps and the progress of the procedure. ²This shall be recorded in the files.

§ 11

Early transfer to a permanent service or employment relationship

- (1) If a tenure-track professor receives a call to another university that is at least equivalent to the desired professorship before the evaluation procedure specified in these regulations is completed, this can be considered the equivalent of a positive evaluation in consultation between the faculty and the Executive Board, even if not all evaluation criteria have been completely fulfilled.
- (2) A shortened evaluation procedure without external expert opinions is also possible in such a case.
- (3) ¹The Executive Board shall decide on this on a case-by-case basis at the request of the faculty.
²The Tenure Board advises the Presidential Board on the decision.
- (4) In the case of an external appointment and if a regular evaluation procedure is waived or an abbreviated evaluation procedure is used, the Senate must approve the transfer to a permanent employment or service relationship.

§ 12

Extension of a time limit

- (1) Interruptions in the periods of service of tenure-track professors due to leaves of absence for family and academic purposes shall be taken into account appropriately in the evaluation.
- (2) If these leaves of absence lead to an extension of the employment relationship, the evaluation period shall be extended to the same extent.

§ 13

Final provisions

These regulations shall enter into force on the day following their publication in the Official Notices of Paderborn University. ²The Tenure Track Regulations of 5 July 2017 shall expire at the same time. ³Tenure-track procedures that were advertised before these regulations came into force are governed by the tenure-track regulations of 5 July 2017.

Issued on the basis of the resolution of the Senate of Paderborn University dated 7 November 2018.

Paderborn, November 30, 2018

The President
of Paderborn University

gez. Professorin Dr. Birgitt Riegraf

Appendices

- 1) Tenure dossier
- 2) a) Self-report
 - b) Reports/recommendations of the Tenure Commission
- 3) Evaluation criteria

- 1) Tenure dossier

The tenure dossier consists of at least the following documents and is kept in chronological order:

- 1) Tender text
- 2) Evaluation criteria and subject-specific indicators
- 3) Self-reports
- 4) Minutes of the status interview
- 5) Comments from the tenure-track professor, if applicable
- 6) Assignment to the evaluators
- 7) Expert opinion
- 8) Reports and recommendations of the faculty
- 9) Results of the teaching evaluation
- 10) Vote on teaching from a student perspective
- 11) Reasoned recommendation of the Tenure Commission
- 12) Voting result of the Faculty Council
- 13) Reports and reasoned recommendations of the Tenure Board
- 14) Final decision of the Presidential Board

2a) Self-report

The self-report documents the candidate's achievements. The language in which it is to be written must be bindingly communicated to the candidate during the appointment hearing by the President in consultation with the Dean. In particular, it must be ensured that international reviewers can participate in the procedure without hindrance.

The self-report includes at least: General

- Curriculum vitae
- List of publications (reporting period, organised by publication type)
- List of scientific presentations
- A maximum 10-page presentation of the goals achieved and future research plans, taking into account the three areas Research, teaching (incl. brief explanation of teaching forms and methods), academic self-administration. It is recommended that the criteria and indicators are taken into account.

The following overviews must also be listed in a tabular appendix: a) Research

- Naming and brief explanation of the most important research topics
- Naming and explanation of the applications for third-party funding and the third-party funding acquired (public, private sector)
- Mention and description of co-operation (internal/external/international)
- Naming of awards, prizes, scholarships
- Mention and explanation of participation in scientific committees
- Mention of membership in scientific societies
- Mention of (co-)organisation of scientific conferences
- Mention and explanation of activities as an expert, reviewer, consultant
- Mention of supervised doctorates
- If applicable, mention of transfer activities in business, administration, politics or co-operation with practice or patents

b) Teaching

- List of [completed] courses, brief description of course content
- Brief description of the didactic design of courses
- Information on the international nature of teaching (e.g. courses taught in foreign languages, supervision of foreign students, participation in summer schools)
- Presentation of and, if applicable, comments on the results of teaching evaluations
- Mention of examination activities
- Mention of supervised theses
- Other evidence of teaching qualifications: e.g. teaching projects, further training, teaching research c)

Academic self-administration

- Naming and explanation of activities in academic self-administration d) Additional achievements
- Inter-faculty commitment
- Further qualifications, further training
- Mention and explanation of activities in the promotion of young academics or leadership experience
- Research stays

The Tenure Commission and the Tenure Board may make the submission of further information/documents a requirement.

The candidate may indicate a blocking note for reviewers.

2b) Reports/recommendations of the Tenure Commission

To ensure comparability, reports should have a similar structure and address similar points:

Reports of the Tenure Commission

- Introduction
- Evaluation procedure (procedure, description of self-report, justification for the selection of external experts)
- General conditions (subject-specific particularities)
- Evaluation criteria and standards
- Presentation and evaluation of research achievements
- Presentation and assessment of performance in teaching and academic self-administration
- Reference to fulfilment of the evaluation criteria
- Evaluation of overall performance and assessment of potential
- Summary (key results)
- Recommendation

3) Evaluation criteria

Criteria are generally binding; indicators (tightening of the criteria) can be developed or supplemented by the faculties on a subject-specific basis.

In principle, the same criteria apply to all evaluation procedures described in the tenure track regulations.

They are set out in the individual evaluation criteria catalogue for each subject (and backed up with subject-specific indicators (tightening of the criteria)). The catalogue of criteria can be expanded depending on the respective subject.

Faculties can also define the required quantities for individual criteria (guideline value) (e.g. for third-party funding).

The duration of the academic career and specific life circumstances (family or health situation) must be taken into account appropriately in the evaluation.

Criteria	Possible indicators (tightening of the criteria)
1. Research	
1.1 Scientific quality, originality and range of content spectrum in research	<ul style="list-style-type: none"> • Continuous publication output with substantial • own contribution in renowned organs • Research performance shows relevant contributions to the further development of the discipline - Quality: <ul style="list-style-type: none"> • Plausibility & methodological foundation • Originality & innovation (e.g. new methodological and conceptual development) • Reception & reputation: Excellent or with high impact • impact (e.g. also invited lectures) • International visibility • Recognisable expansion of scientific fields of work since the dissertation <ul style="list-style-type: none"> • Good scientific practice • Quantity: Number of publications and lectures • Participation in research networks • Scientific co-operation within and outside the faculty and UPB • Faculty and UPB (e.g. in research projects and joint publications) • International co-operations
1.2 Acquisition of third-party funding	<ul style="list-style-type: none"> • Experience in submitting applications • Independently acquired research projects, third-party funding or academic awards in competitive procedures (type and scope) • Industry third-party funding acquired
1.3 Promotion of young scientists	<ul style="list-style-type: none"> • Supervision of doctoral candidates • Completed doctorates • Participation in research training groups and graduate schools
1.4 Academic engagement	<ul style="list-style-type: none"> • Reviewer activities • Co-organisation of scientific conferences • Involvement in academic organisations (e.g. scientific academies and specialist committees)
1.5 Transfer of knowledge (optional)	<ul style="list-style-type: none"> • Patents, inventions • Organisation and support of spin-offs • Activities in knowledge and technology transfer • Participation in business and education networks • Cooperation with or services for cultural and social organisations or for business and industry

2. Teaching	
2.1 Academic and didactic quality in teaching teaching	<ul style="list-style-type: none"> • Broad, up-to-date range of teaching content • High didactic quality / further training in didactics • Good results in teaching evaluations / awards (e.g. teaching prize) • Development or introduction of new teaching concepts, innovative teaching concepts (e.g. e-learning formats) and/or new didactic formats • Further development of the teaching programme • Foreign-language courses or courses in an international context (e.g. summer schools) • Development of teaching materials (e.g. textbooks, digital formats)
2.2 Supervision of students	<ul style="list-style-type: none"> • Supervision of final theses (Bachelor/Master) • Counselling and mentoring of students
3. Academic self-administration	
3.1 Participation in university committees, commissions and/or working groups	<ul style="list-style-type: none"> • Participation in the Senate, Faculty Council, faculty commissions, university committees • Participation in appointment committees
3.2 Assumption of tasks in Management and organisation	<ul style="list-style-type: none"> • Assumption of tasks in the faculty (e.g. organisation of teaching) • Participation in faculty and university events (e.g. open day, lecture series, student events)
3.3 Special commitment to the university	<ul style="list-style-type: none"> • Special commitment to strategic cross-cutting issues such as internationalisation, gender equality, digitalisation or • Promotion of early career researchers • Participation in mentoring programmes • Initiating collaborations with regional partners or industry • Support for UPB's science communication (e.g. event physics, ScienceSlam)
3.4 Personnel management	<ul style="list-style-type: none"> • (Further development of leadership skills (e.g. further training, coaching)

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