

Please note that only the German version of this document is legally binding. The English translation is provided for informational purposes only!

Unofficial consolidated reading version

Please take note of the regulations on entry into force in the respectively relevant amendment.

Statutes for tenure track professorships and junior professorships at the Catholic University of Eichstätt-Ingolstadt

dated December 18, 2018

amended by the statutes dated January 16, 2019

On the basis of Article 5 (3)(1) of the Concordat between the Holy See and the Free State of Bavaria dated March 29, 1924 (BayRS 2220-1-K), the Catholic University of Eichstätt-Ingolstadt (KU) issues the following statutes:

I. General provisions

Section 1 Scope of application

These statutes regulate the structures, procedures and quality standards for early-career professorships and shall be effective for junior professors and W2 professors within a temporary employment relationship with tenure track as well as for junior professors without tenure track option.

Section 2 Appointment procedure

- (1) The appointment procedure shall be governed by the appointment regulations in accordance with Section 41 Basic Rules of the Catholic University of Eichstätt-Ingolstadt dated September 27, 2011 as amended from time to time (Appointment Regulations) as well as by the Bavarian Law on Academic Personnel of Higher Education Institutions dated May 23, 2006 as amended from time to time (*BayHSchPG*).
- (2) ¹In the selection procedure for tenure track appointments, the scientific potential of applicants is of increased importance. ²Reviewers who are internationally renowned experts in the relevant subject areas will be involved in the appointment procedure for tenure track professorships. ³Foreign reviewers shall also be involved in the process if this is deemed necessary in view of the subject-related profile of the professorship.
- (3) In order to exclude internal appointments, applicants for a tenure track professorship must have changed the university after having completed their doctoral degree at the KU or must have carried out academic work outside the KU for at least two years.
- (4) ¹If it is envisaged to include the tenure track option in a junior professorship or a temporary W2 professorship, such intention shall already be stated clearly in the call for applications. ²Tenure track implies the binding assurance for an appointment to a permanent professorship subject to a positive tenure evaluation without a new call for applications being made. ³The confirmation for a tenure track position must not be issued subject to availability of vacant positions.

Section 3 Framework conditions

- (1) The employment status of junior professors shall be based on Article 15 *BayHSchPG* (Bavarian Law on Academic Personnel of Higher Education Institutions).

- (2) ¹The interim evaluation or tenure evaluation must not involve any persons who are biased or who might appear to be biased. ²The guidelines for appointments at the KU (*Berufungsleitfaden der KU*) shall apply accordingly. ³Affected committee members or reviewers shall communicate possible reasons for bias or concerns about bias to the chairperson of the relevant committee immediately. ⁴The responsible committee shall decide on exclusion from the procedure without involvement of the affected person.
- (3) ¹During a legally permissible interruption of the junior professorship or temporary W2 professorship, an annual appraisal with the dean will be held in agreement with the person concerned in order to structure the return to work. ²When evaluating the performance, delays in the academic career that occurred due to family commitments (e.g. parental leave, caring for a child, caring for a close relative who is in need of care) must not have any detrimental effects.
- (4) In cases of conflict occurring during the junior professorship or the W2 professorship, persons affected can turn to the ombudsperson for scientific self-regulation at the KU for advice, support and mediation between the involved parties.

Section 4 Evaluation criteria, individual development plan

- (1) ¹Research activity and the contribution that is made to the research practice within the relevant subject area is a decisive aspect of the evaluations that are regulated by these statutes. ²Furthermore, teaching performance is another key area of the evaluations. ³In addition, active participation in academic self-administration as well as other non-university academic commitment and interdisciplinary qualifications will also be considered in the evaluations. ⁴However, tenure track professorships and junior professorships are not expected to show the same level of involvement in academic self-administration as professors with a permanent position. ⁵The evaluation criteria for the individual areas are listed in a criteria catalog in the **Annex** to these statutes.
- (2) ¹The individual criteria shall be weighted according to their significance and the feasibility of fulfilling them depending on the respective subject. ²In the context of the appointment negotiations, the criteria shall be specified in an individual development plan by the Presidium in consultation with the junior professor or the W2 professor and the respective dean as well as a subject representative and be based on this criteria catalog. ³The individual development plan shall form part of the appointment agreement.

Section 5 Mentoring

- (1) ¹During the fixed-term period of the employment, the appointed person will be supported by a mentor from a related subject area. ²The mentor will be designated by the responsible faculty council in consultation with the appointed person after the appointment offer was accepted. ³The appointed person has the right to waive support by a mentor. ⁴KU professors of a different faculty than the faculty at which the appointed person is employed or external professors can be designated as mentors.
- (2) ¹In particular, it will be the mentors' responsibility to share their knowledge of and experience with university processes and structures to support the junior professor or the W2 professor in their career development. ²The junior professor or W2 professor can provide their mentor with the individual development plan for informational purposes.
- (3) The mentor will not be involved in the interim evaluation process or, if applicable, the tenure evaluation.

Section 6 Annual appraisals

¹During the fixed-term employment phase, the dean shall conduct an appraisal with the junior professor or W2 professor at least once a year. ²During these annual appraisals, the parties shall discuss interim results and conclusions concerning the past year and take a look ahead to the following year. ³Records shall be kept of the annual appraisals and shall be signed by all parties involved. ⁴If desired by the junior professor or the W2 professor, the mentor shall be given the possibility to sit in the annual appraisals.

II. Interim evaluation of junior professors

Section 7 Evaluation commission

¹The faculty council appoints an evaluation commission to prepare the interim evaluation. ²The evaluation commission consists of three professors from relevant subjects. ³At least one member of the evaluation commission must be a professor at the faculty of which the junior professor is a member. ⁴The junior professor's suggestions with regard to the appointment of members of the evaluation commission may be taken into account.

Section 8 Time schedule

¹The interim evaluation is conducted in the third year of a junior professorship. ²Before expiry of the first two years of the junior professorship, the evaluation commission will ask the junior professor to submit the self-evaluation report within five months. ³The evaluation process shall start upon submission of the self-evaluation report and shall be concluded at the latest four months prior to expiry of the third year.

Section 9 Self-evaluation report by the junior professor

- (1) The junior professor shall write a self-evaluation report following the evaluation commission's request.
- (2) ¹In the self-evaluation report the junior professors shall describe their activities and achievements over the past years and outline their plans for the fourth to sixth year based on the objectives set down in the individual development plan. ²Resources that are available to the junior professorship shall also be included in the report.
- (3) ¹A résumé shall be attached to the self-evaluation report. ²Furthermore, the results of teaching evaluations, or, if no teaching evaluations have been carried out, a statement by the dean of studies shall also be attached. ³Copies of selected relevant publications or excerpts from research projects may be requested.
- (4) The junior professor may consult with the chairperson of the evaluation commission regarding the self-evaluation report.

Section 10
Evaluation by external reviewers

- (1) ¹The faculty council appoints two external reviewers at the suggestion of the evaluation commission who submit a written assessment of the junior professor's performance in research and teaching and a recommendation on whether the junior professorship should be extended. ²The reviewers should be professors from relevant subjects from different universities. ³The junior professor's suggestions with regard to the appointment of reviewers may be taken into account.
- (2) The external reviewers are provided with the junior professor's self-evaluation report and the individual development plan as a basis for their review.

Section 11
Report by the evaluation commission

- (1) ¹The evaluation commission shall draft a written report based on the self-evaluation report submitted by the junior professor and the external reviews, the individual development plan and the records of the annual appraisals. ²The report must contain information on which criteria were used to assess the junior professor's performance, and includes an evaluation of the junior professor's performance in the past along with an assessment with regard to the expected future academic development.
- (2) ¹If the junior professorship is a tenure track position, the evaluation commission shall additionally include strengths and weaknesses that the junior professor has demonstrated in the past course of the professorship in their report and shall give recommendations for action regarding the tenure evaluation.

Section 12
Faculty council's suggestion and Presidium's resolution

- (1) ¹Based on all available documents (individual development plan, records of the annual appraisals, self-evaluation report, report by the evaluation commission, external reviews) the faculty council shall decide on whether to recommend to the Presidium that the junior professorship should be extended. ²The decision is documented in writing under specification of the results of the faculty council's vote and the reasons for the vote. ³The affected junior professor may not be involved in the faculty council's decision; he or she may not be in the room while the item on the agenda related to him or her is discussed. ⁴If the faculty council recommends that the junior professorship should not be extended, the result of the vote is considered provisional and the junior professor shall be informed of the result in writing. ⁵In this case, the junior professor must be given the opportunity to make a statement within a period of two weeks. ⁶In any case, the junior professor shall have the right to view the evaluation commission's report subject to submission of a request to the dean. ⁷After the junior professor has been granted or has refrained from making use of these rights, the faculty council shall make a final decision on its recommendation. ⁸ The dean shall forward the faculty council's recommendation to the Presidium with the relevant documents attached.
- (2) ¹In case of a positive evaluation result, the Presidium shall decide that the employment relationship is extended based on the faculty council's recommendation in accordance with Article 15 *BayHSchPG* and shall inform the junior professor of this decision in writing. ² The junior professor shall receive a confirmation of passing the interim evaluation. ³If the employment relationship is not extended to six years due to a negative interim evaluation, it shall be extended by up to one year instead upon the junior professor's request within the framework of the *BayHSchPG*.

Section 13
Feedback session, updating the individual development plan

- (1) ¹Following the interim evaluation, the chairperson of the evaluation commission shall hold a feedback session with the junior professor during which recommendations for action may also be given. ²The junior professor may decide to involve the mentor in the feedback session. ³All major results of the feedback session shall be documented.
- (2) If the junior professorship is a tenure track position, the individual development plan drafted in accordance with Section 4 can be adapted by the dean in agreement with the junior professor in view of the tenure process and based on the evaluation results following successful interim evaluation.

III. Evaluation of perspectives for W2 professors with tenure track option

Section 14 Self-evaluation report, public lecture

- (1) In the third year of the professorship, the dean will request that the W2 professors submit a self-evaluation report describing their activities and achievements over the past years and outlining their plans for the following years of the W2 professorship.
- (2) Following submission of the self-evaluation report, the W2 professor shall hold a public lecture on a topic of their choice.

Section 15 Statement regarding evaluation of perspectives

¹Based on the self-evaluation report and the public lecture, the dean shall issue a written statement to the W2 professor that allows an assessment of strengths and weaknesses and that contains a recommendation for further academic development in view of the tenure process. ²To this end, the dean may consult representatives of the relevant subject. ³The statement shall be discussed together with the W2 professor in a personal meeting, which can also involve the mentor.

IV. Tenure process

Section 16 Basic principles

Being appointed to a permanent professorship requires a positive evaluation regarding the tasks of the junior professorship or W2 professorship which will be demonstrated by fulfillment of the objectives set down in the individual development plan.

Section 17 Initiation of the tenure process

- (1) ¹A tenure process shall decide on whether the professorship is converted into a permanent professorship. ²Junior professors with tenure track option and W2 professors with tenure track option can apply for implementation of a tenure process. ³The application must be submitted to the President at the latest one year before expiry of the junior professorship or the fixed-term W2 professorship. ⁴The application may be withdrawn at any stage of the process without stating reasons. ⁵ If the candidate is offered a permanent professorship by an external institution, the tenure process can be prioritized by the Presidium subject to the candidate's consent. ⁶In connection with the implementation of tenure process, there will be no call for applications for the position that is to be filled.
- (2) ¹Together with the Annex, the candidate shall submit a self-evaluation report that is based on the objectives set down in the individual development plan and includes a personal statement and a documentation part. ²In their report, junior professors shall in particular focus on the second phase of the junior professorship.
- (3) ¹In addition to the self-evaluation report, the individual development plan, the records of the annual appraisals and, if applicable, the documentation of the interim evaluation including the evaluation commission's report and, if applicable, the statement regarding the evaluation of perspectives will also be taken into consideration for the tenure process. ²The Standing Tenure Committee shall be entitled to request additional documents.

Section 18 Standing Tenure Committee, management

¹Within the framework of the tenure process, the tenure evaluation is carried out by the Standing Tenure Committee that acts as an appointment committee. ²The Standing Tenure Committee comprises one professor of each university faculty of the KU and one deputy respectively as well as one external researcher who will be appointed by the Senate in agreement with the Presidium for a duration of three years. ⁴The KU women and equal opportunity officer shall also be a member to the Standing Tenure Committee. ⁵Furthermore, for each tenure process, two external researchers from a relevant subject area will be appointed as members to the Standing Tenure Committee by the Presidium at the suggestion of the respectively responsible faculty council. ⁶The Presidium shall appoint a chairperson and a deputy from among the committee's number at the suggestion of the Standing Tenure Committee. ⁷The dean of the relevant faculty and the vice president for research shall act as advisory members to the Standing Tenure Committee. ⁸The proportion of women among the voting members shall be at least one third. ⁹As regards administrative responsibilities, the Standing Tenure Committee shall be supported by a manager who can participate in the committee meetings.

Section 19

Review of chances of success

¹Before the tenure process is initiated the Standing Tenure Committee shall review the chances of success. ²If the Standing Tenure Committee decides unanimously and in the presence of all members that a positive tenure evaluation is not to be expected, the tenure process is deemed to be terminated and no tenure evaluation in accordance with Section 20 will be effected. ³The Standing Tenure Committee shall give reasons for its decision. ⁴Section 20 paragraph 6 shall apply accordingly.

Section 20

Tenure evaluation

- (1) ¹The Standing Tenure Committee shall obtain three external opinions of experts from relevant fields, two of which shall generally be issued by internationally renowned experts. ²These external reviewers shall be professors from different higher education institutions. ³Their reviews shall contain a classification within a national and international comparison and also include a statement on whether and to what extent the candidate is deemed to be suitable for being offered a permanent professorship.
- (2) Candidates shall be invited to hold a public lecture at their university on a topic of their choice which shall be followed by a discussion round.
- (3) ¹The Standing Tenure Committee shall evaluate the candidate's performance and potential based on the evaluation criteria and in view of the individual development plan and shall decide whether the candidate will be offered a permanent professorship based on the candidate's subject-related, educational and personal suitability by also taking the external reviews into consideration. ²The Standing Tenure Committee shall compile a corresponding report containing a justified recommendation regarding the candidate's appointment.
- (4) The Standing Tenure Committee's report shall be forwarded to the dean, who shall then arrange for a statement by the faculty and shall apply for the statement by the Senate in accordance with Section 8 of the Appointment Regulations.
- (5) ¹The Presidium shall decide on the university's appointment proposal for offering the candidate a permanent professorship. ²A rejection may only be issued on the basis of formal criteria. ³In its decision, the Presidium shall be bound by the recommendation of the Standing Tenure Committee and shall only be entitled to make legal reservations.
- (6) In case of a negative decision in the tenure process, the employment relationship shall be extended by a maximum of one year upon the affected person's request in accordance with the *BayHSchPG*.

V. Final provisions

Section 21 **Entry into force/transitional provisions**

- (1) These statutes enter into force on the date of their publication.
- (2) These statutes replace the Regulations for the interim evaluation of junior professors at the Catholic University of Eichstätt-Ingolstadt dated July 28, 2017. However, these regulations shall continue to apply for the interim evaluation of junior professors who were appointed to their junior professorship before these statutes entered into force.

Appendix to Statutes for tenure track professorships and junior professorships at the Catholic University of Eichstätt-Ingolstadt

Criteria catalog:

1. Research:

- Quality, originality and innovative character of scientific work in an international comparison by taking particular account of interdisciplinary aspects
- Contribution to further development in the field of research
- Integration into Scientific Community: forms and results of national and international collaborations with other universities or with non-university research institutions
- Publications, talks, conference contributions (peer-reviewed)
- Prizes, awards
- Type and amount of acquired third-party funding (ongoing projects, ongoing applications, sponsors, budget, funding period)
- Organization of scientific conferences
(own function, type of event, if applicable whether it is part of a research project, national/international, number of participants, results, dissemination)
- Collaboration with the industry and society
- Scientific development potential in an international comparison
- Active publishing in scientific journals (in particular peer-reviewed journals)

2. Teaching:

- Range and quality of the teaching offer (including teaching evaluation, teaching awards)
- Activities and creativity when it comes to introducing new, modern teaching contents or concepts
- Participation in training programs on teaching methodology
- Supervising final theses and doctoral theses, if applicable also habilitation theses, post-docs
- Teaching skills and teaching activity both in German and in English
- Development potential in the teaching practice
- Participation in the Summer Schools

3. Academic commitment:

- Participation in academic self-administration, e.g. participation in committees, exercising the office of women and equal opportunity officer
- Development potential for university management tasks
- Activity as a reviewer, advising projects
- Activity and involvement in academic institutions and committees, scientific associations
- Responsible collaboration in relevant specialist associations, institutions for the promotion of science

4. Interdisciplinary qualifications:

- Proof of leadership experience, participation in qualification offers for managers
- Participation in interdisciplinary qualification and networking offers