



KATHOLISCHE UNIVERSITÄT
EICHSTÄTT-INGOLSTADT



Conceptual framework
for quality assurance and conceptualization of the
KU Tenure Track Model
and for anchoring
the tenure track professorships
in the program for promotion of early-career
researchers at the KU

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Preliminary remarks

Due to its special location and small size, the Catholic University of Eichstätt-Ingolstadt (KU) is, even more than others, facing the challenge of attracting and winning the best researchers. This is why it is of crucial importance to offer alternative and innovative career paths and development opportunities that attract talented researchers to the KU and allow building long-term employment relationships at an early stage. By establishing tenure track professorships and implementing an accompanying qualification model which is open to all young researchers, the KU has found an attractive answer to this challenge. At the same time, this is an opportunity for presenting the KU as an attractive science and higher education location that offers particularly favorable conditions for research.

The present framework links the tenure track professorships to the promotion of young researchers at the KU¹, gives detailed insights into the measures envisaged in the corresponding statutes² that shall ensure the quality of the Tenure Track Model and provides for the necessary transparency regarding the process, its requirements and evaluation criteria. Last but not least, it summarizes additional information regarding process conceptualization and document templates for the new tenure process.

This concept shall serve as a guideline for all future holders of early-career professorships³, academic leaders who will be responsible for accompanying these newly established professorships in their development and for everyone else who is involved in the tenure process.

1 The program for promotion of young researchers at the KU is generally offered for all early-career researchers in their doctoral and post-doctoral phase up until attainment of a permanent professorship position.

2 Statutes for tenure track professorships and junior professorships at the Catholic University of Eichstätt-Ingolstadt dated December 18, 2018.

3 Early-career professorships, as defined at the KU, are junior professorships with and without tenure track as well as W2 professorships with tenure track.

1. Promotion of early-career researchers at the KU – excellence, international profile, individual development

The KU enables its early-career researchers to substantially contribute to shaping science, society, politics and the economy based on excellence in research. The institution is guided by a value-oriented Christian and humanistic profile which focuses on the human being at the center and is strongly characterized by its special responsibility for society and the environment. At the KU, staff decisions are exclusively based on qualification and excellence, not on candidates' denomination. Against this backdrop, the KU focuses on the three core elements of excellence, international profile and individual development in the promotion of its early-career researchers.

1.1 Excellence

Academic **excellence in research** becomes evident in contributions to scientific discourse that go beyond the current state of existing research and the application of conventional methods and are characterized by outstanding scientific quality, verifiability and accuracy and are thus competitive on the highest international level. Such contributions can be made by working on socially relevant issues, developing new creative methodological practices, advancing existing theories or developing new approaches.

Continuous excellent placements awarded to the KU in different university rankings confirm the KU's status as an **exemplary place of learning**. This is why the KU will, also in future, attach particular importance to qualify its early-career researchers for being able to offer excellent teaching. The University will continue its efforts in developing specific profiles in academic teaching and especially involve early-career researchers in the development of innovative teaching concepts, formats and offers. A focus is placed on acquiring subject-related didactical teaching skills and on combining research-oriented teaching with teaching-oriented research.

1.2 International profile

Maintaining a network of currently 278 partner universities in over 59 countries and being a member to the global network of Catholic Universities, the KU places greatest importance on international collaboration, e.g. within the framework of the Catholic

Consortium for Higher International Education Collaboration (CCIHEC)⁴. The KU actively supports its early-career researchers amongst others in building an international network, e.g. by encouraging them to become a member of international professional associations or visit scientific conferences and by providing financial support for the organization of academic conferences or in the context of exchange programs for researchers and lecturers. Furthermore, the KU offers programs for the promotion of early-career researchers to support young KU researchers in the development and enhancement of their international profiles, e.g. in connection with foreign-language publications, by offering English-language courses and seminars or by encouraging them to participate in international research programs. The academic leaders at the KU are the most important ambassadors of the institution's international profile. This is why the early-career professorships should also account for an appropriate international network in the context of the long-term continuation of their positions.

1.3 Individual development

Especially within a world of ever-increasing complexity, it seems to be of crucial importance to develop an independent personality that allows tackling the challenges of our times and developing new approaches for shaping the future (KU Development Plan 2014)⁵. The KU has developed a special program to promote young talents and support them in their personal development. Early-career researchers are given the possibility to develop and expand on diverse interdisciplinary skills in mentoring and coaching programs and leadership trainings.

KU tenure track professors are granted access to the KU Leadership Program⁶. This program includes offers for further qualification on topics such as leadership skills, communication techniques or management of a chair. In addition, starting out in the new position is facilitated by the 'welcome to the job' offer that is available to all newly appointed professorial staff at the KU. This offer was developed to support early-career

researchers in finding their way into the new role as academic leaders. The KU strongly recommends all early-career professorships to participate in the KU Leadership Program.

In the context of the continuation of a professorship, the KU will also evaluate the suitability for taking over academic leadership tasks. The KU encourages its professors, as politically and socially active personalities, to demonstrate their communication skills in dialog with different social groups and thus actively contribute to a positive perception of the KU in the industry, science, politics and cultural environments.

The KU offers three ways of qualification for attaining the academic career objective of a permanent professorship: habilitation, fulfilling achievements that are equivalent to a habilitation or qualification by way of an early-career professorship with or without tenure track. A qualification framework was developed for each qualification phase in line with the R4 model⁷. Such framework will serve as a guideline for early-career researchers and their academic leaders and support them in defining individual development objectives.

Irrespective of the chosen qualification path, the KU provides different internal services to support its early-career researchers. These services include the offer of the Research Service Center (ZFF), the Graduate Center, the University Teaching Methodology, the women and equal opportunity officer, the family friendly university, the international office and the KU Leadership Program that was developed in collaboration with the Department of HR Development. The program promotes both the scientific and personal growth of early-career leaders in research and academia.

2. KU Tenure Track Model

The KU Tenure Track Model aims to provide early-career researchers with a good balance between research and teaching as well as – to a small extent – tasks in academic self-administration. Particular importance is attached to creating the greatest possible leeway for independent research right from the outset. A central element of the future appointment strategy at the KU will be placing a stronger focus

4 The following universities are organized within the Catholic Consortium for International Education Collaborations (CCIHEC): Australian Catholic University (Australia), The Catholic University of America (USA), Pontificia Universidad Católica de Valparaíso (Chile), Sogang University (South Korea).

5 cf. KU, 2014: *Entwicklungsplan der Katholischen Universität Eichstätt-Ingolstadt*.

6 Staff development concept of the Catholic University of Eichstätt-Ingolstadt, p. 15.

7 The European Commission has defined the so-called R4 model in its document "Towards a European Framework for Research Careers". This concept offers a guideline for the qualification requirements and objectives and was designed for researchers in the different qualification stages. https://cdn5.euraxess.org/sites/default/files/policy_library/towards_a_european_framework_for_research_careers_final.pdf (last accessed: 11/13/2018, 3:18 PM).

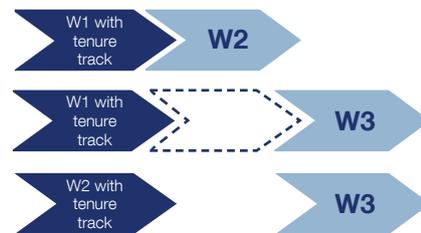
on young academics at a relatively early stage after their doctoral degree. By implementing the concept of tenure track professorships, the KU significantly expands on its recruitment possibilities for permanent professorships and gives young researchers the opportunity to combine their qualification phase with prospects of a permanent employment.

The KU has stipulated the following objectives in connection with the establishment of its KU Tenure Track Model:

- Strengthening independence in research and teaching at an early stage
- Appointment at an early stage of their career
- Increasing the share of appointed women
- Expanding on the internationalization among newly appointed professorships

The aim is to advertise approx. 15% of university professorship positions as tenure track in the medium-term. With the introduction of the tenure track professorships, the accompanying offers for all other early-career researchers in their post-doctoral phase will also be revised and adapted accordingly. For example, habilitation candidates at an advanced stage of their habilitation process will be given the opportunity to participate in the KU Leadership Program in order to prepare for the requirements facing future academic leaders.

The KU Tenure Track Model is primarily a development program for young academic leaders. This is why the KU tenure process generally provides for a career progression. In this context, the KU primarily focuses on two models: W1 with continuation to W2 and W2 with continuation to W3. In special cases, for example in case of early appointment of a replacement for a structurally relevant professorship or on the basis of an analysis of the potential group of applicants, the position may also be advertised as W1 with continuation to W3. A professorship is deemed to be structurally relevant if it can be expected that a longer vacancy of the position would have a substantially detrimental effect on the quality of research and teaching at the KU. In the context of analyzing the potential group of applicants, competition with other employers outside the academic sector might also make an offer with particularly attractive career opportunities necessary (W1 to W3) to ensure the KU's competitiveness.



In order to create excellent framework conditions for early-career professorships, the KU has developed an attractive overall concept for implementation of the tenure track professorships. This concept includes provision of basic equipment for each respective professorship, the possibility to manage the teaching load flexibly, comprehensive instruments for internal research funding, a teaching methodology coaching as well as offers for promoting the balance between family and professional life.

2.1 Equipping the tenure track professorships

The KU is of the opinion that an important prerequisite for the early-career professorships besides excellent framework conditions for research and teaching is an appropriate equipment and subject-related anchoring within central topic areas. KU tenure track professorships are generally provided with an attractive basic annual budget which is at their free disposal. All further equipment and means will be determined in the context of the appointment negotiations.

2.2 Flexible teaching load

In order to provide the KU tenure track professorships with sufficient time capacities for their qualification for a permanent full-time professorship, the KU has introduced a flexible teaching load scheme and offers the option of taking a research semester for tenure track professorships during which they can prepare or finalize research projects. Subject to consultation with the relevant faculty, the annual teaching load can be allocated flexibly and can also be fulfilled completely within one semester only. Professorships that want to make use of the flexible allocation of the teaching load must always coordinate their schedules with the respective colleagues in the subject and the dean by taking into account all necessary teaching requirements.

2.3 Internal research funding and advice on funding possibilities

With its Research Service Center (ZFF), the KU provides extensive support for its researchers when it comes to

the initiation, acquisition and implementation of small research projects and third-party funded research projects. The KU's internal research funding scheme proFOR+ offers diverse possibilities for funding, for example when it comes to preparing applications for third-party funding, hosting scientific conferences or acquiring specialist knowledge. With this attractive offer, the KU also wants to support especially its early-career researchers in the development phase of their individual research profiles.

2.4 Teaching methodology coaching

The KU supports its researchers in the acquisition and consolidation of didactical and teaching methodological skills with a diverse offer of the KU University Teaching Methodology. Furthermore, the KU offers additional individual teaching methodology coaching for professors who are appointed for the first time, which will be coordinated by the KU Department of HR Development in collaboration with the University Teaching Methodology. Like this, the holders of the respective professorships get the chance to develop an individual program together with a coach in order to enhance their didactical skills.

2.5 Equal opportunity, balancing work and family life

Being a certified "family-friendly university" and a member of the best-practice club "*Familie in der Hochschule*", the KU is strongly committed to balance work and family life of its employees and also actively promotes and supports equal opportunity in all levels of qualification. In addition to different childcare offers and possibilities for being granted temporary leave to be able to care for a close relative, the KU will be establishing a network for researchers who have children. This initiative, which is led by the women and equal opportunity officer, seeks to improve the balance of work and family life for employees on their paths towards a professorship. The aim is to create an open space for exchange and to provide offers for early-career researchers with children, including, for example, specific support for organizing research stays in which the researchers are accompanied by their family. In connection with the KU's participation in the tender for the women professors program III funded by the Federal Ministry of Education and Research (BMBF), the establishment of additional supporting measures and offers is currently being planned.

2.5.1 Possibilities for requesting parental leave

When parental leave is taken, the tenure track professorship may be extended by a total maximum amount of four years in accordance with the statutory provisions of Article 17 (2) *BayHSchPG* (Bavarian Law on Academic Personnel of Higher Education Institutions). Furthermore, fixed-term W1 professorships may be extended by a maximum period of 2 years per child if the holder of the professorship cares for one or several children under the age of 18 (Article 17 (3)). It is recommended to continue the annual appraisals during family-related interruptions.

2.5.2 Planning parental leave and structuring the return to work after periods of parental leave

When wanting to take parental leave or leave to care for a close relative, holders of early-career professorships can talk to their responsible dean about it at any time. These talks will help to structure the period of absence to ensure that ongoing obligations are fulfilled and to agree on the options and conditions for a return to work after the period of leave. This includes, e.g. the continued supervision of theses and especially doctoral theses and finding an appropriate substitute. The KU offers guidelines and accompanying continuing education and professional development offers for leaders for these kind of talks that are organized by the KU Department of HR Development.

2.6 Transitional year in case of negative evaluation (Section 20 sentence 6 Tenure Track Statutes)

In case of a negative evaluation and to the extent permitted by law, the KU will grant the professor a transitional year upon request. During this period, the professorship is expected to continue to fulfill its teaching duties. In order to support transition into another professional field, the KU offers a specific career coaching that is carried out by a specialized external coach who can be contacted via the KU Department of HR Development.

3. Basic elements of quality assurance in the tenure track process

In order to ensure transparent career development for the tenure track process, the KU is currently establishing a comprehensive quality assurance system that takes

into account the entire appointment procedure from drafting the job advertisement over evaluation to the transfer into a permanent professorship.

3.1 Process design

All fundamental standards for quality assurance for the appointment and evaluation process are stipulated in the appointment regulations and the guidelines for appointments at the KU as well as the statutes for tenure track professorships and junior professorships at the KU. This ensures that a uniform and binding Tenure Track Model is established for the entire KU.

3.1.1 Appointment (Section 2 Tenure Track Statutes)

In accordance with Section 2 sentence 2 of the appointment regulations, the call for applications for KU professorships is generally made internationally and subject to involvement of internationally qualified experts. Before being appointed to the KU, candidates must provide proof that they have changed the institution during their academic career or have carried out at least two years' academic work at an external employer other than the KU. A call for applications for a professorship with tenure track contains a binding assurance for an appointment to a permanent professorship subject to a positive tenure evaluation.

3.1.2 Interim evaluation/evaluation of perspectives (Parts II. and III. of the Tenure Track Statutes)

The interim evaluation (W1)/evaluation of perspectives (W2) provides feedback for the KU tenure track professorships regarding their performance and achievements and whether a positive tenure evaluation can be expected or in which areas there is still room for improvement. For W1 professorships, the interim evaluation will decide on the probation and a contract extension in accordance with Article 15 para. 1 sentence 1 BayHSchPG (Bavarian Law on Academic Personnel of Higher Education Institutions). In case of a positive evaluation result, the contract will be extended.

3.1.3 Standing Tenure Committee (Section 18 Tenure Track Statutes)

The appointment commission and the Standing Tenure Committee are of particular importance in

the implementation process of the KU Tenure Track Model. While initial appointment by an appointment committee is effected in accordance with the provisions of the KU appointment regulations, the decision on the continuation of the professorship is prepared by a Standing Tenure Committee that also includes external members and members of different KU faculties. Its composition ensures that the required degree of objectivity for evaluation of the performance of the tenure track professorship is fulfilled and university-wide comparable quality standards are adhered to. The Standing Tenure Committee may hear the opinion of external experts in preparation for the general evaluation process.

3.1.4 Evaluation criteria and individual development plan (Annex and Section 4 Tenure Track Statutes)

In the context of the appointment negotiations, the parties agree on a personal development plan based on the following criteria catalog which is stipulated in the Tenure Track Statutes and is effective for the entire University:

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.

In the context of the individual development plan, milestones are agreed for the qualification phase. This agreement shall form the basis for the interim and tenure evaluation. The specification of the evaluation criteria by the individual development plan is based on the requirements for the respective subject, and in particular on the requirements that were listed in the call for applications for the respective professorship. The aim is to be transparent about the criteria that will be relevant when deciding on the transition into a permanent position in the context of the tenure evaluation already before the successful candidate is appointed to the professorship.

The candidate for the early-career professorship shall draft a proposal for the individual development plan which will then be coordinated with the KU Presidium in consultation with the respective dean and a representative of the subject in the context of the appointment negotiations. This coordinated version will be part of the appointment agreement. Reaching the objectives set down in the individual development plan is a decisive factor for a positive tenure evaluation.

3.1.5 Annual appraisals (Section 6 Tenure Track Statutes)

A major supporting element in the tenure process are the annual appraisals held between the dean and the holder of the tenure track professorship. They offer a possibility for regular mutual feedback and are an opportunity for discussing deviations from the agreed development plan and for working on solutions and documenting the process. All parties involved will have access to corresponding guidelines for the preparation of the annual appraisals. Furthermore, the KU Department of HR Development offers workshops on annual appraisals for the deans of all participating faculties and all other academic leaders.

3.1.6 Tenure evaluation (Section 19 Tenure Track Statutes)

The evaluation process serves the purpose of reviewing and determining whether the holder of the tenure track professorship was successful in fulfilling the mutually agreed development plan and whether the position can thus be transferred into a permanent professorship. To ensure that this process is effected in line with highest scientific standards, internationally renowned expert reviewers will be involved in the process. Furthermore, the academic senate fulfills an important quality assurance task in this process as its responsibility lies in reviewing the conclusiveness and orderly implementation of this process.

3.1.7 Self-evaluation report (Section 17 Tenure Track Statutes)

In the context of the evaluation process, it is envisaged that the professor submits a self-evaluation report which allows the holder of the professorship to outline their activities and personal development from an own perspective. The KU provides a documentation template that can be used as a guideline and outlines

the key elements that should be included in the self-evaluation report.

3.1.8 Capacity building through management support (Section 18 sentence 9 Tenure Track Statutes)

The Standing Tenure Committee receives administrative support from a management. The manager (tenure track officer) has no voting right and accompanies appointment and evaluation processes in order to continuously gather experience and be able to provide know-how from the different tenure processes.

Being the central point of contact for all procedures connected to the tenure process, the management's task is, amongst others, to ensure that the process and the annual appraisals are documented as well as to obtain the involved parties' feedback on the process, the guidelines, templates and workshops. Furthermore, the manager is responsible for further development and process optimization.

In an accompanying monitoring process, the tenure track officer shall collect participants' feedback, evaluate this feedback and pass it on to the KU Presidium in form of a report to allow for targeted adaptation and process optimization for the future. These measures shall ensure that the structures and procedures connected to the tenure track process fulfill the objective of implementing a quality-assured, transparent and excellence-oriented acquisition and development of early-career researchers.

3.1.9 Importance of scientific potential

By appointing early-career researchers at an early stage after their doctoral degree, tenure track appointment procedures (W1 and W2) have a much stronger focus on the applicant's development potential than traditional appointment schemes. Especially in connection with W2 professorships with tenure track, it will be important to find out whether the performance potential is similar to that of a habilitation candidate. In preparation for individual analyses of potential, the respective appointment committee will be supported by corresponding workshops on that topic.

3.1.10 Mentoring (Section 5 Tenure Track Statutes)

It is recommended that every early-career professorship is supported by a (subject-related) mentoring scheme. The mentoring scheme establishes a special

relationship of trust that shall be designed individually by the mentoring partners. It shall primarily serve the purpose of creating room for advice by colleagues and support the early-career professorship in its professional development. The KU Department of HR Development offers a consultation session on how to select an appropriate mentor and on the possibilities and limitations of such a scheme.

4. Guidelines and recommendations for documentation

The KU offers documentation templates and guidelines to ensure that all processes connected to the Tenure Track Model are designed in a transparent and consistent way. This reference material was designed for colleagues who are responsible for supporting the tenure track professorships and for the applicants and professors themselves. Furthermore, this material allows for consistent drafting of all documents that need to be submitted, which results in enhanced comparability of candidates and in the end also promotes equal opportunities.

The following templates and guidelines are available to support the tenure track process at the KU:

- **Criteria catalog** that is effective throughout the University and that can be specified further and adapted to individual appointment negotiations. This catalog contributes to consistent implementation of the KU Tenure Track Model and serves as a guideline on performance criteria that are used for evaluation of tenure track professorships at the KU
- **Form for documenting the individual development plan** for creating a transparent basis for the tenure evaluation
- **Guideline for annual appraisals** that facilitate continuous reflection on the development plan; if applicable, necessary adjustments can be pointed out in a transparent way within this context
- **Template for self-evaluation** report, to ensure that all relevant aspects are covered in the self-evaluation report
- **Template for a résumé**, to ensure that all relevant aspects are covered in the résumé.