



KATHOLISCHE UNIVERSITÄT
EICHSTÄTT-INGOLSTADT



Conceptual framework

for quality assurance and conceptualization of the

KU Tenure Track Model

and for integrating the

tenure track professorships in the program
for promotion of Academic Careers 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 early-career 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 program for promotion of Academic Careers 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 tenure track professorships, 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. Academic Careers 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 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

¹ The program for promotion of Academic Careers at the KU provides support 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 February 8, 2024.

combining research-oriented teaching with teaching-oriented research.

1.2. International profile

Maintaining a network of currently around 300 partner universities in over 60 countries and being a member to the global network of Catholic Universities, the KU places greatest importance on international collaboration. 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 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 them 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 tenure track professors 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. 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 benefit from the measures to implement the guidelines for good leadership at the KU. These include 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.

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 model³. 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 educational and academic staff development in higher education, the Women and Equal Opportunity Officer, the Family-Friendly University, the International Office and the HR Development and Professional Training department.

³ 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: 04/22/2024)

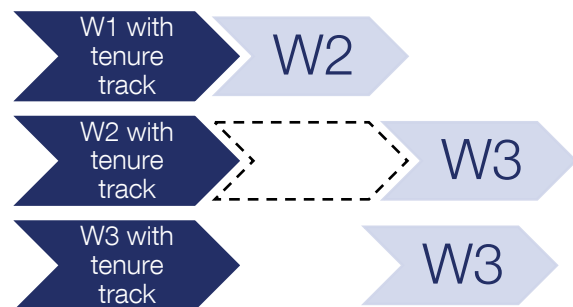
2. KU Tenure Track Model

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 appointment strategy at the KU involves a stronger focus on 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 early-career 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 researchers in their post-doctoral phase will also be revised and adapted accordingly. Through the implementation of the guidelines for good leadership at the KU, habilitation candidates at an advanced stage of their habilitation process also get the opportunity to prepare for the requirements facing future academic leaders.



The KU Tenure Track Model is primarily a development program for future 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 tenure track professors, 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 tenure track professors 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 professors with sufficient time capacities for their qualification for a permanent full-time professorship, the KU provides a flexible teaching load scheme and offers the option of taking a research semester for tenure track professors 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. Professors 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. 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 HR Development and Professional Training department. Like this, the respective professors 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, under the leadership of the Center for Marriage and Family in Society (ZFG), is establishing regular monitoring among academics with child(ren). This initiative seeks to improve the balance of work and family life for employees on their paths towards a professorship. The aim is to identify specific needs and create needs-oriented offers.

Furthermore, the guidelines for good leadership at the KU and the guidelines for the promotion of early-career researchers established an important fundament for further development of the organizational culture concerning leadership. This will also lead to improvements in gender equality.

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 65 (2) BayHIG (Bavarian Higher Education Innovation Act).

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 65 (3)). It is recommended to continue the annual appraisals during family-related interruption.

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 tenure track 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 HR Development and Professional Training department.

2.6. Transitional year in case of negative evaluation

In case of a negative evaluation and to the extent permitted by law, the KU will grant the professor a transitional year upon request (Section 19 sentence 6 Tenure Track Statutes; Article 63 (2) sentence 6 BayHIG). During this period, the professor 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 HR Development and Professional Training department.

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

3.1. Process design

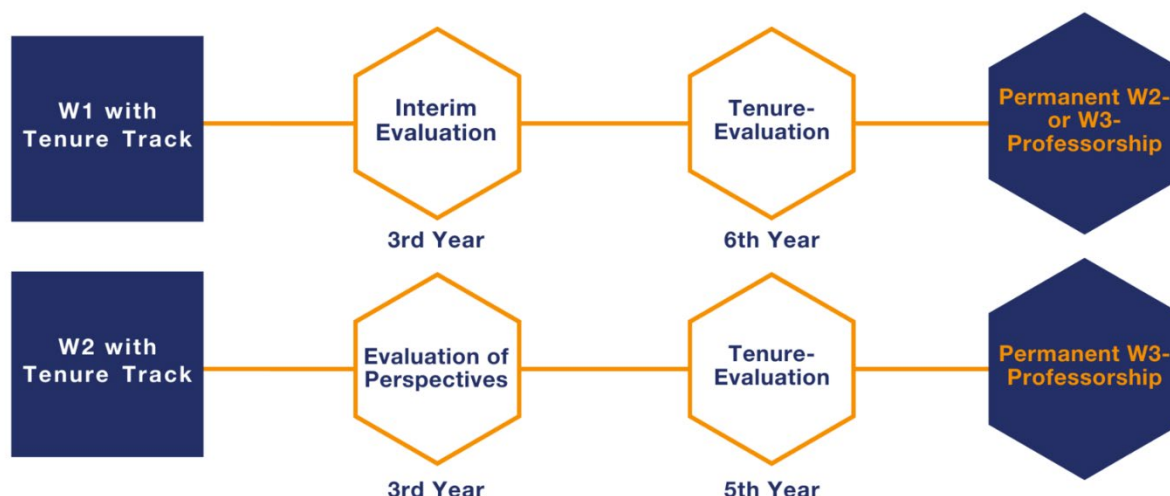
All fundamental standards for quality assurance for the appointment and evaluation process are stipulated in the appointment regulations and the guidelines for appointments at the KU as well as the statutes for tenure track professorships and junior professorships at the KU. This ensures that a uniform and binding Tenure Track Model applies 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. In addition, no more than four years should have passed between the doctoral degree and the end of the application period, in the field of clinical psychology no more than seven years. Periods of care for children or relatives are taken into account by up to two years in each case (Article 63 (2) BayHIG).

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.

TENURE - TRACK - PROCESS



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

The interim evaluation (W1) as well as the evaluation of perspectives (W2) provides feedback for the KU tenure track professors 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 63 (2) BayHIG. 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 professor is fulfilled and university-wide comparable quality standards are adhered to.

3.1.4. Evaluation criteria and individual development plan (Section 4 and Annex to the 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 and 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 concept,
- 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 tenure track 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, a member of the KU Presidium and the holder of the tenure track professorship. If requested by the holder of the tenure track professorship, the mentor can also take part in the annual appraisals. 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 HR Development and Professional Training department 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 tenure track professor 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 professor 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 personal development of early-career researchers.

3.1.9. Importance of scientific potential

By appointing 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 the HR Development and Professional Training department on that topic.

3.1.10. Mentoring (Section 5 Tenure Track Statutes)

It is recommended that every tenure track professor 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 tenure track professor in its professional development. The tenure track officer provides advice if required 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.
- **DFG Template for a CV**, to ensure that all relevant aspects are covered in the CV.