

Regulations Governing Interim and Final Evaluations of Tenure Track Professors at the University of Bonn (Tenure Track Regulations)

Amended Document for 2019

This document outlines the Regulations Governing Interim and Final Evaluations of Tenure Track Professors at the University of Bonn dated November 28, 2018 (Tenure Track Regulations) as published in the Official Announcements of the University of Bonn, 48th year, No. 45, amended as follows:

Amending Regulations to the Regulations Governing Interim and Final Evaluations of Tenure Track Professors at the University of Bonn dated June 21, 2019 as published in the Official Announcements of the University of Bonn, 49th year, No. 17.

This amended document has not been specifically released in the official announcements. Only the said official announcements are legally binding.

Regulations Governing Interim and Final Evaluations of Tenure Track Professors at the University of Bonn (Tenure Track Regulations)

dated November 28, 2018

Pursuant to § 2 para. 4 of the Higher Education Act of North Rhine-Westphalia (Hochschulgesetz/HG) of September 16, 2014 (Legal & Regulatory Gazette of North Rhine-Westphalia [GV. NRW.] p. 547), last amended by Article 3 of the Act to Secure the Accreditation of Degree Programs in North Rhine-Westphalia (Gesetz zur Sicherung der Akkreditierung von Studiengängen in Nordrhein-Westfalen) of October 17, 2017 (GV. NRW. p. 806), the University of Bonn has adopted the following Regulations:

§ 1

Tenure Track

The tenure track is designed as a means to attract and retain academics of the highest distinction. Upon receiving favorable interim and final evaluations, a tenure track professor becomes a tenured professor, regardless of whether a position is open at that time.

§ 2

Scope of application

This document outlines the Regulations Governing Interim and Final Evaluations of Tenure-Track Professors at the University of Bonn appointed after the enactment of these Regulations. Existing tenure track positions continue to be governed by the applicable regulations in place prior to the enactment of these Regulations without change until their procedural conclusion, in particular accordance with the Appointment Regulations as amended June 6, 2017 (Official Announcements of the University of Bonn, 47th year, no. 15 dated June 20, 2017).

§ 3

Faculty tenure track committees

(1) Each faculty forms one or more standing tenure track committees as necessary, respecting § 11c of the Higher Education Act (HG). Tenure track committees are constituted of the faculty's university professors, at least one member from the groups per § 11 para. 1 sentence 1 nos. 2 and 4 HG and at least one non-voting member from the group per § 11 para. 1 sentence 1 no. 3 HG. A voting majority must be held by the faculty's university professors on the committee. The committee chair must be either the dean or a vice-dean of the faculty. Committee members are to be appropriately replaced if they depart the University of Bonn or for other valid reasons, in compliance with § 11c HG. The University Gender Equality Commissioner or the faculty's own gender equality officer acting as deputy of the former, as well as a representative of the Office for Employees with Severe Disabilities as applicable, are responsible for attending tenure track committee meetings in an advisory role with entitlement to speak and lodge petitions. These individuals are to be summoned to meetings and kept informed as a regular committee member. A tenure track committee has a quorum when 50% of its voting members and the committee chair are present as long as faculty's university professors constitute the majority.

(2) The tenure track committee is responsible for the proper structuring and conducting of tenure track procedures in compliance with the university-wide quality standards outlined in these Regulations. The committee conducts interim and final evaluations including the obtaining of assessment reviews. The committee keeps tenure track files as per § 8 para. 2 and votes on the faculty council. On the basis of that vote the faculty council votes to decide whether the individual has successfully passed the interim and final evaluations. The tenure track committee oversees the respective tenure track procedures throughout the entire process from professor recruitment on down to final evaluation. The committee must be formed before a tenure track procedure can be conducted. The committee is not however formed for an individual procedure; it is a permanently existing body.

§ 4

The University Tenure Track Committee

(1) The University Tenure Track Committee monitors compliance with the evaluation rules as per § 9 and the upholding of university-wide procedural and evaluation standards by the faculties, taking the respective faculty and departmental cultures into proper consideration. This committee pronounces a recommendation on whether the civil service or employment contract with the position holder is to be extended or made permanent to the Rectorate on the basis of the position holder's tenure track file and the votes of the tenure track committee and the faculty council.

(2) The University Tenure Track Committee issues proposals to the Rectorate on the basis of its experience in the interest of continuously improving the tenure track process.

(3) The members of the University Tenure Track Committee are simultaneously the members of the Committee for Special Appointments under the appointment regulations.

§ 5

Tenure track professorship positions

(1) Appointments to the position of W1 Tenure Track Professor (Assistant Professor) are for an initial term of three years (phase 1). Phase one concludes with an interim evaluation of the assistant professor's performance as a university teacher. If this interim evaluation is passed, the individual's contract is extended for another three years (phase 2). Phase two concludes with the final evaluation. If this final evaluation is passed, the professor receives a permanent civil service or employment contract for the W2 pay grade. If phases one or two are not passed, the individual's employment may be extended for a period of up to one year on a transitional basis.

(2) Appointments to the position of W2 Tenure Track Professor are generally for a term of five years. The interim evaluation held after two years is conducted primarily to inform the position holder regarding his/her status and performance in the view of the faculty tenure track committee. If the final evaluation is then passed, the professor receives a permanent civil service or employment contract. If the final evaluation is not passed, the individual may remain employed as a non-civil servant for a maximum period of two years.

(3) A W1-level professor position may already be converted into a W2 professorship during phase two if requirements and performance targets pre-defined for the interim evaluation are met. A W1 or W2-level professor position may be converted into a permanent W3 professorship if requirements and performance targets pre-defined for the final evaluation are met.

§ 6

Interim and final evaluations

(1) All tenure track possibilities outlined under § 5 involve an interim and a final evaluation. The respective faculty ensures clear and transparent communication regarding the evaluation procedure in question and informs the candidates under evaluation appropriately concerning the procedural steps and status.

(2) In the case per § 5 para. 1, the interim evaluation at the end of phase one and the final evaluation at the end of phase two are conducted on the basis of the tenure track file, consisting of a self-evaluation report prepared by the evaluatee as specified in section B of these Regulations and of four assessment reviews, at least two of which must be from external individuals unaffiliated with the University of Bonn. Assessment reviews from external parties do not have to be obtained for interim evaluations in the case per § 5 para. 2. In this case, the primary purpose of the assessment reviews is to inform the position holder regarding his/her status and performance in the view of the faculty tenure track committee. Sentence 1 applies accordingly regarding the assessment reviews to be obtained for the final evaluation in the case per § 5 para. 2.

(3) Individuals with a biased opinion cannot function as reviewer. Sections 20 and 21 of the Administrative Procedure Act for the state of North Rhine-Westphalia (Verwaltungsverfahrensgesetz) and the corresponding recommendations by the German Research Foundation (DFG) apply in determining whether bias is in evidence. Any individual functioning as reviewer is required to voluntarily notify the tenure track committee without delay of any circumstances that could call into question his or her impartiality or non-bias.

(4) The interim evaluation must be completed promptly in advance of the end of phase one to allow the faculty and Rectorate time to consult and make a decision. Generally this will be a period of 30 months for

the case per § 5 para. 1. The faculty tenure track committee presents the tenure track file to the faculty council along with the result of its vote on whether the interim evaluation was passed, so that the evaluatee has proven him or herself qualified as a university teacher. The faculty council in turn votes again on whether the evaluation was passed.

(5) In the case per § 5 para. 1, the Dean notifies the University Tenure Track Committee of the outcome of the interim evaluation via the responsible section of the University administration, attaching the tenure track file, the voting record of the faculty tenure track committee and of the faculty council and a statement by the Gender Equality Commissioner. The University Tenure Track Committee discusses these and issues a recommendation to the Rectorate. The Rectorate then makes the decision on extending employment based on the tenure track file, the votes of the faculty tenure track committee and faculty council, the Gender Equality Commissioner's opinion and the recommendation of the University Tenure Track Committee.

(6) In the case per § 5 para. 2, the Dean informs the University Tenure Track Committee as well of the outcome of the interim evaluation. A formal discussion by the Rectorate is not required, as this does not represent a staffing decision.

(7) The procedure for the final evaluation is similar to that for the interim evaluation. In this case as well, the evaluation must be completed promptly in advance of the end of phase two to allow the faculty and Rectorate time to consult and make a decision. The evaluatee is additionally required to hold an academic presentation before the faculty tenure track committee that is open to the public and is considered as part of the evaluation. For this, the evaluatee proposes three presentation topics to the committee, which then selects one. The faculty tenure track committee sends the tenure track file to the faculty council and votes on whether the final evaluation was passed. The Gender Equality Commissioner issues a statement on the evaluation procedure. The faculty council in turn votes again on whether the evaluation was passed. The Dean notifies the University Tenure Track Committee, via the responsible section of the University administration, of how the faculty tenure track committee and the faculty council voted and of the statement by the Gender Equality Commissioner, attaching the tenure track file. The University Tenure Track Committee discusses this and issues a recommendation to the Rectorate. The Rectorate then makes the decision on granting tenure based on the tenure track file, the votes of the faculty tenure track committee and faculty council and the recommendation of the University Tenure Track Committee.

8) For Program Professorships (e.g. the Heisenberg professorship funded by the German Research Foundation or similar), the grant program objectives can be considered in defining the evaluation targets and criteria as per § 7. The final or interim outcomes of any evaluations required as part of grant programs may be applied instead, replacing the interim evaluation per paragraphs 1 - 3. Paragraphs 4 and 5 still apply in such case however. The Rectorate decides on such procedural handling on a case-by-case basis upon request by the faculty in question.

(9) The decision to grant a professor tenure may be made on an early basis if the position holder has been offered an appointment at another university or external research institute to a higher-level lifetime professorship position, or if a W2-level professor is offered an appointment to a lifetime professorship position of equivalent or higher level. An accelerated evaluation procedure may be conducted in order to offer tenure promptly to avoid poaching of appointment candidates. An appointment to a different university constitutes an assurance of quality, thus the obtaining of external assessment reviews may be waived in the evaluation procedure. Extraordinary achievements (Leibniz Prize, ERC Grant, other comparable distinctions) may also constitute grounds for an accelerated tenure track decision. The Rectorate decides on such procedural handling on a case-by-case basis upon request by the faculty in question.

Section 7

Evaluation criteria:

(1) The criteria applied in evaluations as per § 6 must accord with international and university-wide standards. The criteria must furthermore take the respective academic cultures into proper consideration and be sufficiently defined. Sample evaluation criteria are listed in the appendix to section A of these Regulations. These have to be further defined for the specific academic subject and potentially expanded or supplemented as appropriate. It is an absolute requirement to specify criteria from every category. The length of the evaluatee's academic career is to be appropriately considered in the evaluation as well as any personal circumstances of his/her life outlined in the self-evaluation report (parental leave periods, obligations vis-a-vis family members requiring caregiving, health factors, etc.).

(2) Upon suggestion by the faculty in question, the Rectorate is to define the specific evaluation criteria as per paragraph 1 prior to advertising a tenure track professorship, and applicants are to be informed of these criteria upon release of such advertising.

§ 8

Mentoring and status discussion meeting

(1) Tenure track professors are entitled to choose a university teacher at the University of Bonn as his/her mentor. The role of the mentor is to provide advice and assistance with preparation of the self-evaluation report to be presented for the interim and final evaluations. The candidate's mentor may not be involved in the evaluation procedure, and may neither be on the tenure track committee of the faculty or the University.

(2) Tenure track professorship holders meet annually with the Dean for an annual status discussion meeting. The Dean may delegate this task to a vice-dean or a department chair. The purpose of this meeting is to identify early on any emerging performance issues relative to the professorship holder's previous performance and discuss his or her accomplishments and progress. Also, the meetings are for discussing the status regarding fulfillment of the assessment and evaluation criteria specified with the job advertisement per § 9 para. 2. A tenure track professor may have his/her mentor attend the meeting.

§ 9

Data protection

The tenure track file and other evaluation-relevant documents are confidential and subject to the data protection laws of the state of North Rhine-Westphalia and the EU General Data Protection Regulation (EU) 2016/679. These documents may only be made accessible to third parties as necessary for the fulfillment of their responsibilities and as permitted under data protection laws.

§ 10

Central appointment procedures

These Regulations apply accordingly to the hiring and evaluation of tenure track professors as part of central appointment procedures per § 21 of the Appointment Regulations. The Rectorate appoints members of the tenure track committee and decides on whether interim and final evaluations have been passed.

§ 11

Concluding provisions

These Regulations shall enter into force on the day after the date of their publication in the Official Announcements of the University of Bonn.

R. Hüttemann

Chair of the Senate of the University of Bonn
University Professor Dr. Rainer Hüttemann

Prepared on the basis of the University of Bonn Senate resolution of November 8, 2018.

Bonn, 11/28/2018

M. Hoch

The Rector
of the University of Bonn
University Professor Dr. Dr. h.c. Michael Hoch

Appendix:

Section A

The evaluation criteria below form the basis for the criteria ultimately applied in interim and final evaluations of tenure track professors at the University of Bonn in the performance areas of research, teaching and academic committee work or offices. The faculties further specify these and may apply additional criteria in accordance with the needs of the respective department.

I. Research

Possible categories

Scientific/academic growth potential in an international comparison

Grant funding secured, partnerships and technological innovations

Supporting junior researchers

Possible criteria/indicators

- Contribution to the advancement of the research area, particularly regarding methodological and conceptual innovation
- Research quality, originality, creativity and independence
- Publications in peer-reviewed journals and conference presentations involving a substantial personal contribution
- International reputation, as documented by
 - Impact factor/citations
 - Function as meeting organizer, publisher or reviewer
 - Invitations to speak (at conferences, etc.)
 - Awards, honors, research professorships, fellowships (Alexander von Humboldt, etc.)
 - International visibility and network of contacts
- Success in competitive procedures (EU, DFG, BMBF, AiF, foundations, private-sector contracts, etc.)
- Involvement in or speaker for consortial research initiatives: e.g. SFB, GRK, EU, BMBF, AiF consortial projects
- Initiation of technology transfer projects and/or spinoffs
- Patent filing, securing and exploitation
- Effective functioning as doctoral and post-doctoral supervisor
- Quality of graduates' subsequent positions/careers

II. Teaching

Possible categories

Teaching performance

Possible criteria/indicators

- Teaching quality and spectrum, taking into account the teaching format (lectures, seminars, lab courses, etc.), degree level (bachelor's, master's, PhD) and international factor (e.g. teaching in English)
- Teaching quality, didactical competency; based in part on student evaluations
- Supervising bachelor's and master's thesis papers/projects
- Development and introduction of new teaching content, didactical teaching concepts and formats, e-Learning
- Authoring of textbooks and monographs
- Attendance of didactical continuing education seminars and/or non-discipline-specific events
- Teaching prizes and awards

Authoring of teaching materials

Other activities

III. Academic committee work or offices

Possible categories

Active in academic self-administration

Possible criteria/indicators

- Active on internal university committees or boards
- Appointments as faculty gender equality officer or ombud

IV. Leadership responsibility

Possible categories

Staff leadership competency

Possible criteria/indicators

- Working group leader
- Completed continuing education, either as part of the University of Bonn staff development concept (e.g. manager coaching) or through external offerings

Section B

The self-evaluation report required as part of evaluation procedures for tenure track professors at the University of Bonn is structured as shown below. The self-evaluation report may be in either German or English, in accordance with the faculty or departmental culture. The self-evaluation report for an interim evaluation, excluding appendices, may not exceed 20,000 characters in length (including spaces). For final evaluations the length may not exceed 40,000 characters (including spaces).

Self-evaluation report, application

1. Summary presentation of achievements to-date with reference to the evaluation criteria outlined in section A., further specified and potentially supplemented by department-specific provisions, organized into these action areas: 1.1 Research, 1.2 Teaching, 1.3 Knowledge Transfer, 1.4 Academic Committee Work or Offices.
2. Summary presentation of development goals and planned activities in these action areas: 2.1 Research, 2.2 Teaching, 2.3 Supporting Junior Academics, 2.4 Knowledge Transfer and 2.5 Academic Committee Work or Offices.
3. List of salient publications

Attach appendices in table form for the following:

1. Curriculum vitae
2. Publications
3. Grant funding applications filed, outstanding and fulfilled broken down by type and volume
4. Academic lectures/presentations (national and international)
5. University-internal, national and international academic research and teaching partnerships
6. Courses taught, with student evaluations
7. Ongoing and completed supervision of bachelor's/master's theses or doctoral thesis projects, any other activities in support of junior researchers
8. Knowledge transfer activities
9. Academic self-administration activities
10. Prizes, awards, fellowships
11. Academic conferences organized
12. Research consortium coordination
13. Editorships for academic/scientific journals, book series, etc.
14. Peer review activities
15. Memberships and activities in academic/scientific societies and similar organizations
16. Ongoing and completed continuing education (for non-discipline-specific competencies in particular)
17. Other accomplishments