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Regulations governing structures, procedures and quality standards in tenure track professorships and the evaluation of professors at Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU)

dated 29 May 2017

amended by statutes of
13 March 2018
4 November 2019

Based on Section 13 (1)(2) Bavarian Higher Education Act (Bayerisches Hochschulgesetz, BayHSchG), Friedrich-Alexander-Universität Erlangen-Nürnberg hereby passes the following regulations:

Preamble

Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU) is keen to support excellent researchers, providing them with long-term and reliable career prospects. With this in mind, FAU offers W1 and W2 professorships with a compulsory tenure track, which are initially filled for a fixed-term of up to six years and which provide successful candidates with the prospect of a permanent professorship (W2 or W3) at a later date. These regulations provide the structural framework for tenure track professorships at FAU. The structures, procedures and quality standards for tenure track professorships are set forth in these regulations as a quality-assured evaluation procedure.

Part 1 General provisions

Section 1 Scope of application

¹These regulations stipulate the structures, the procedure and the quality standards for the evaluation of tenure track professorships and the interim evaluation of W1 professors. ²Tenure track professorships are offered with a compulsory tenure track and are not subject to a certain position being available in the budget.

Section 2 Appointment procedure

¹Appointment procedures at FAU are governed by the currently valid version of the provisions in Sections II, III and IV of the Bavarian Higher Education Personnel Act (BayHSchPG) and the Regulation on Appointment Procedures (BayBerufVO), and the other provisions applicable to appointment procedures at FAU, in particular the Guidelines for Appointments. ²In addition to the requirements stipulated in Section 18 (4) sentences 8 and 9 BayHSchPG, applicants for a tenure track professorship must have

changed university after completing their doctoral degree or have held a research position outside FAU for at least two years.

Part 2

Quality assurance procedure for the evaluation of W1 tenure track professors and the interim evaluation of W1 professors

Section 3 Procedure

(1) The quality-assurance procedure for W1 tenure track professorships is as follows:

1. Guidance from a mentor (Section 4)
2. Performance agreement (Section 5)
3. Interim evaluation (Section 6)
4. Self-evaluation report from the W1 professor (Section 7)
5. Report from the evaluation committee (Section 8)
6. Personal interview between chairperson of the evaluation committee and the W1 professor (Section 10)
7. Tenure evaluation (Section 11).

(2) In the case of W1 professorships (without tenure track), only the quality assurance procedures pursuant to paragraph 1 nos. 1 to 6 apply.

Section 4 Mentors

(1) ¹After the candidate accepts the appointment offer, the Faculty Council and the newly appointed professor decide on a suitable professor to act as a mentor for the W1 professor for the duration of the W1 professorship. The mentor usually specialises in a related subject, but not necessarily the same subject as the W1 professor. An external professor may also be chosen as a mentor. ²The mentor and a deputy shall be appointed by the Executive Board at the recommendation of the Senate.

(2) The mentor shall assist the W1 professor in meeting the targets stipulated in the performance agreement and shall guide and advise the W1 professor on preparing for their future academic role.

(3) ¹The mentor is not a member of the evaluation committee and is not involved in the interim or tenure evaluation procedure. ²They do not assess the professor's performance at any time.

The relationship between the mentor and the W1 professor shall be governed by Section 6 (5)(2).

Section 5 Performance agreement

(1) ¹The dean shall draw up a performance agreement with the W1 professor before appointment. ²The performance agreement shall be worded in such a way that the expectations and targets can be assessed in the later evaluation. ³The performance agreement is countersigned by the mentor.

(2) ¹The performance agreement stipulates the following verifiable evaluation criteria:

1. Research and teaching focus
2. Independent research
3. Independent teaching
4. Academic achievements

5. Interdisciplinary skills
6. Other assessment criteria

²The appointment committee shall specify criteria and indicators relevant to the subject and use these as the basis for the performance agreement. ³The performance agreement may include specific deadlines. ⁴It names the mentor and describes the framework conditions which are required in order to meet the requirements stipulated in sentence 1.

(3) As soon as the evaluation committee has been established, the dean will forward them a copy of the performance agreement.

Section 6 Interim evaluation, evaluation committee

(1) ¹One year before the fixed term of the professorship is due to expire, the Faculty Council shall pass a resolution in consultation with the Executive Board to establish an evaluation committee which assesses the performance of the W1 professor in the first phase of the W1 professorship on the basis of the performance agreement (Section 15 (1)(2) BayHSchPG). ²Upon a justified request by the W1 professor, the Faculty Council may agree to commence the procedure pursuant to sentence 1 earlier, but no earlier than one year from the initial appointment if this is justified by the circumstances in the particular case.

(2) ¹The evaluation committee consists of at least three professors from FAU, and should include at least one woman. ²The dean appoints one of the committee members as the chair of the committee.

(3) ¹If agreed by the Executive Board, the Faculty Council can transfer the tasks of the evaluation committee to a standing committee which evaluates all W1 professors in the faculty. ²At least one female professor must be included in the standing committee. ³At the Faculty of Medicine, the Academic Staff and Institutional Planning (LEP) committee assumes the tasks of the evaluation committee.

(4) ¹The evaluation committee shall appoint at least two professors from other universities as external reviewers. They should specialise in the subject of the tenure track professorship or a similar subject. The W1 professor may propose candidates (Section 15 (1)(2) BayHSchPG). ²The following people may not take part in the evaluation:

1. Anyone who has been involved in the W1 professor's qualification procedure in the last six years
2. Anyone who has closely collaborated in research with the W1 professor in the last six years
3. Anyone who has had any other professional relationship to the W1 professor in the last six years
4. Anyone who is excluded from participating pursuant to Section 20, 21 BayVwVfG

(5) ¹The external reviewers should provide an assessment of the W1 professor's suitability for appointment on the basis of the self-evaluation report written by the W1 professor, with reference to the performance agreement. ²The research and visibility of the W1 professor in the academic community will be assessed on the basis of the W1 professor's entire academic achievements. ³The evaluations may also cover other questions posed by the evaluation committee. ⁴The reviewers are expected to state whether they would recommend an extension to the W1 professorship or not.

Section 7 Self-evaluation report

¹The evaluation committee shall ask the W1 professor to submit a written self-evaluation report, giving appropriate notice of at least one month. ²The self-evaluation report shall include a personal statement including a comprehensive assessment of achievements to date in research and teaching, based on the targets stipulated in the performance agreement. ³In addition, the self-evaluation report shall include

1. Curriculum vitae
2. Publication list
3. Overview of acquired third-party funding
4. Documentation of academic cooperation and other academic activities
5. Breakdown of proposed targets in the area of research and teaching for the next three years
6. Documentation of the teaching portfolio including the results of the teaching evaluation
7. Report of activities relating to the administration of academic affairs
8. Proof of any training/professional development courses attended

⁴In particular, the self-evaluation report should focus on the research interests of the W1 professor with reference to the academic work of colleagues in the same subject at the university and in an international context. ⁵Progress in central research projects should be documented and a concept submitted outlining how the W1 professorship could develop in future, following on from the performance agreement.

Section 8 Evaluation committee report

(1) ¹On the basis of the self-evaluation report, the external reviews, the internal evaluation of teaching performance from the dean of studies and the elected students' representatives and the evaluation of the professor's contribution to the administration of academic affairs from the Faculty Council, the evaluation committee draws up a written report on the first phase of the W1 professorship. ²The evaluation is conducted on the basis of the objectives stipulated in the performance agreement, as well as the criteria and indicators within the meaning of Section 5 (2). ³During the evaluation, any extensions pursuant to BayHSchPG shall be taken into consideration accordingly, in particular due to periods of maternity leave, parental leave or time spent caring for children. ⁴In the report, the committee shall make a recommendation as to whether the W1 professorship should be extended or not.

(2) ¹The evaluation committee shall make its decision based on the majority of votes cast in a secret ballot. ²Those entitled to vote must attend the ballot in person. ³The right to vote may not be transferred.

(3) ¹The final version of the report is forwarded to the W1 professor. ²The professor then has a period of two weeks after receiving the report to draft a response.

(4) ¹The Faculty Council considers the report from the evaluation committee and any response submitted by the W1 professor and issues a statement on the outcome of the evaluation. ²Thereafter, the Faculty Council forwards its recommendation to the Executive Board, stating whether the W1 professorship should be extended or not. ³Reasons must be given justifying the recommendation.

Section 9 Decision of the Executive Board

(1) ¹The Executive Board shall decide on the extension of the W1 professorship on the basis of the report from the evaluation committee and the proposal from the Faculty

Council (Section 15 (1)(5) BayHSchPG). ²In the case of W1 professorships, the Senate provides an official statement on the Faculty Council's proposal before the Executive Board passes the final decision.

(2) The dean informs the W1 professor in writing of the outcome of the decision and the reasons for it.

(3) Once the procedure has been completed, the Faculty issues a certificate for the W1 professor which can be used as proof of attaining a level equivalent to a habilitation with a postdoctoral teaching qualification, based on a decision passed by the Faculty Council.

Section 10 Appraisal, personal interview

(1) ¹Following on from the interim evaluation, the W1 professor receives qualified feedback from the chair of the evaluation committee during a face to face meeting on how the first phase of the W1 professorship has progressed. ²Recommendations may be made for a future course of action. ³The main points of the discussion should be recorded in writing.

(2) If the W1 professor agrees, the mentor may join the meeting.

(3) In consultation with the W1 professor, the dean can amend the performance agreement to make it more applicable to a subsequent tenure procedure.

Section 11 Tenure evaluation

(1) The quality standards for appointment procedures pursuant to Section 18 BayHSchPG also apply to the tenure evaluation: ²The tenure committee takes the place of the appointment committee.

(2) ¹The tenure procedure is started at the latest one year before the fixed term of the W1 tenure track professorship is due to expire. A committee is established for the tenure procedure (tenure committee) on the basis of a resolution passed by the Faculty Council in consultation with the Executive Board. ²Under certain justified circumstances, the Executive Board can commence evaluation proceedings at any time in consultation with the Faculty Council.

(3) The members of the tenure committee are determined pursuant to Section 18 (4) BayHSchPG.

(4) ¹The tenure procedure serves to assess the performance of the W1 tenure track professor in research, teaching and administration of academic affairs in the second phase of the W1 professorship ²The tenure procedure is based on the performance agreement in the version drafted during the interim evaluation (Section 10 (3)). ²The evaluation is conducted on the basis of the objectives stipulated in the performance agreement, as well as the criteria and indicators within the meaning of Section 5 (2). ⁴The tenure committee decides whether the requirements for waiving the need for a call for applications can be met pursuant to Section 18 (3)(4)(1) BayHSchPG.

(5) ¹The tenure committee asks professors from other universities specialising in the subject of the W1 tenure track professor or a similar subject to act as external reviewers. ² The external evaluations are written on the basis of the criteria set out in the

performance agreement and should indicate how the professor compares to others in the field on a national and international basis. ³The evaluations shall consider to what extent the W1 professor is suited to being appointed to a permanent professorship.

(6) ¹After considering the external evaluations, the tenure committee decides whether the W1 professor ought to be proposed for appointment to a permanent professorship on the basis of their performance in research and teaching, their contribution to the administration of academic affairs and their interdisciplinary skills, and draws up a concluding report. ²The decision is predominantly based on the assessment of the professor's academic development in the second phase of the W1 professorship on the basis of the performance agreement.

(7) The Faculty Council files a request with the Executive Board for the tenure procedure to be conducted without issuing a call for applications (Section 18 (3)(4)(1) BayHSchPG).

Section 12 Final decision of Executive Board

The Executive Board comes to a decision on the basis of the Senate's statement and the vote cast by the tenure committee on whether or not to appoint the W1 tenure track professor to a permanent professorship.

Section 13 Procedure for jointly appointed W1 professors

If no special provisions have been agreed between FAU and the extramural research institution in the case of W1 professors appointed jointly with extramural research institutions, then the evaluations shall be carried out in accordance with the provisions stipulated in these regulations.

Part 3

Quality assurance procedure for the evaluation of W2 tenure track professors

Section 14 Principles

The evaluation of a W2 tenure track professorship is conducted on the basis of a performance agreement concluded prior to appointment between the dean and the professor.

Section 15 Evaluation

(1) ¹The Faculty Council appoints an evaluation committee in consultation with the Executive Board at the latest one year before the evaluation period is due to expire. ²Under certain justified circumstances, the Executive Board can commence evaluation proceedings at any time in consultation with the Faculty Council.

(2) ¹The evaluation committee consists of at least three professors from FAU who have the necessary subject expertise to be able to assess the professor's performance. At least one woman must be included in the committee. ²If one or more members are suspected of being partial, the Faculty Council should replace them in consultation with the Executive Board.

(3) If agreed by the Executive Board, the Faculty Council can transfer the tasks of the

evaluation committee to a standing committee which evaluates all fixed-term professorships in the faculty. ²At the Faculty of Medicine, the Academic Staff and Institutional Planning (LPE) Committee assumes the tasks of the evaluation committee.

(4) The evaluation committee assesses the professor's performance in research and teaching and requires the following documents:

1. At least two external evaluations
2. Self-evaluation report from the professor
3. Assessment from the dean
4. Statement from the dean of studies and elected students' representatives, as well as if applicable from the Chair or the Director of Universitätsklinikum Erlangen in the case of the Faculty of Medicine.
5. Faculty Council's application for tenure

(5) When carrying out the evaluation, the following criteria ought to be considered with reference to the subject on the basis of the performance agreement subject to Section 14:

1. Research-based activities in academia or industry, academic publications and presentations and any patents
2. Teaching duties and assessment thereof (teaching portfolio including evaluation by students)
3. Supervision of final theses and doctoral theses
4. Acquired third-party funding
5. International academic contacts and collaboration
6. Activities relating to the administration of academic affairs

Section 16 Final decision of Executive Board

The Executive Board decides on appointment to a permanent professorship on the basis of the report from the evaluation committee, the statement from the Senate and the proposal from the Faculty Council.

Part 4
Final provisions

Section 17 Transitional provisions and validity

Sections 15 and 16 of these regulations shall apply accordingly to the evaluation of fixed-term W2 and W3 professorships already appointed at the time these regulations come into effect and to fixed-term W3 professorships.

Section 18 Legal validity

These regulations shall come into effect on the day after their publication.