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BY-LAWS

Structures, procedure and quality standards for tenure-track professorship inauguration and junior professorship evaluation

According to § 3 para. 1 in conjunction with §§ 35 para. 1 no. 1, 85 para. 9 sentence 4 of the Thuringian Higher Education Act of 10 May 2018 (GVBl. p. 149), as last amended by Article 128 of the Act of 18 December 2018 (GVBl. p. 731), the Technische Universität Ilmenau (TU Ilmenau) issues the following by-laws. The Senate of the TU Ilmenau approved the by-laws on 8 January 2019. The Rector approved the by-laws on 10 January 2019.

Preamble

The aim of the TU Ilmenau is to assume responsibility for young, qualified scientists as well as for the commitment of scientific excellence to the University. The University therefore aims to further develop its appointment concept with options for a tenure track-career path for junior professors.

For this purpose, TU Ilmenau advertises W1 and W2 professorships with mandatory tenure track. These professorships are initially filled temporary up to six years and offer career perspectives for a permanent professorship (W2 or W3). The by-laws serve the establishment of tenure-track professorships within the units across the faculties of TU Ilmenau.

In these by-laws, the structures, procedures and quality standards for tenure-track professorships are laid down as quality-assured evaluation procedures. Accordingly, they are applied to the evaluation of junior professorships without tenure track.

Part 1 General Terms

§ 1 Scope

(1) ¹These by-laws regulate the structures, procedures and quality standards for the evaluation of tenure-track professorships and the interim evaluation of W1 professors. ²Tenure track professorships are advertised with mandatory tenure track and are not subject to the existence of a vacancy.

(2) ¹The advertisement of a W1 Junior Professorship with Tenure Track can also be subject of an early reappointment. ²The junior professorship may be filled within the framework of early reappointment up to six years before the end of the professorship to be reappointed but must be filled at least three years in advance.

§ 2 Responsibilities and Procedure

- (1) ¹The proposal to fill a W1 or W2 professorship may be submitted by a department or the Presidential Board. ²In this case, in the discussion between the Department and the Presidential Board according to § 2 Para. 1 of the Appointment Regulations, the following additional requirements must be agreed upon:
 - a) the evaluation of the tenure-track professorship within the framework of the individual career path (promotion from W1 to W2 or, if applicable, W3 or from W2 to W3) and
 - b) the adequate equipment of the W1 professorship.
- (2) In addition to the contents according to § 3 para. 2 of the Appointment Regulations of the TU Ilmenau, the advertisement must also mention the tenure-track option and the remuneration of the tenure-track professorship.
- (3) In addition, the provisions of the Thuringian Higher Education Act, §§ 85 and 89 in conjunction with the University Appointments Regulations, apply to the appointment procedure.

§ 3 Tenure Track Committee

- (1) ¹The Presidential Board shall establish a standing committee for tenure-track procedures. ²The Vice-President for Research and the Equal Opportunities Officer shall belong to it ex officio. ³The other members of the Committee are the members of the Senate Committee for Research and Young Scientists. ⁴The term of office of members of the Committee shall be that of the office in which they were elected or appointed.
- (2) The role of the Standing Tenure Track Committee is to ensure university-wide uniform procedures, maximum transparency and the highest quality standards in the tenure-track procedures.
- (3) The Standing Tenure Track Committee shall make general recommendations to the Presidential Board regarding appointment commitments and the continuation of employment relationships and submit proposals for the continuous improvement of the tenure-track procedure.
- (4) ¹The Standing Tenure Track Committee shall appoint a member of its staff to supervise each tenure evaluation in accordance with § 8. ²In addition to the representatives of the members of the Senate Committee for Research and Young Scientists, the University's Appointment Officers may also be appointed to provide the Presidential Board with a critical analysis of the respective evaluation procedure and the Tenure Report.
- (5) ¹The Committee is convened by its Chairperson. ²It shall meet at least once every semester.

Part 2

Procedures for quality assurance in the evaluation of W1 tenure-track professors and the interim evaluation of W1 professors

§ 4 Procedure

- (1) The quality assurance procedure for W1 tenure-track professorships is structured as follows:
1. the possibility of guidance by mentors (§ 5),
 2. the conclusion of a performance agreement (§ 6),
 3. interim evaluation (§ 7),
 4. personal consultation of the chairman of the Evaluation Committee with the W1 professor (§ 8),
 5. Tenure Evaluation (§ 9).
- (2) For W1 professorships (without tenure track) only the quality assurance procedures in accordance with Paragraph 1 No. 1 to No. 4 apply.

§ 5 Mentors

- (1) ¹After accepting the appointment, the Dean of the responsible department, in agreement with the appointed person, shall discuss whether a group of professors (mentors) will be made available for the junior professor's career guidance. ²The use of the mentorship is voluntary for the appointed person. ³The size and composition of the group are individually determined, however expertise in the field of research, interdisciplinarity and the mentors' interest in academic staff development should be considered. ⁴When the junior professor has been appointed through an extraordinary appointment procedure and was awarded a doctoral degree at the university, the supervisor from the doctoral procedure may not be a member of this group.
- (2) ¹The mentors shall support the fulfilment of the requirements agreed upon in the performance agreement to be concluded and accompany and advise the W1 professor in the preparation for the role as a senior academic.

§ 6 Performance Agreement

- (1) ¹The Dean shall conclude an agreement with the W1 professor on the career path prior to his/her appointment. ²The performance agreement should enable an assessment to be made of the expectations and standards of the later evaluation. ³It is essentially based on a catalogue of criteria and may include a timetable. ⁴The catalogue of criteria includes the professional development goals, development goals in teaching, as well as details of the type and scope of the extra-curricular career support. ⁵The catalogue of criteria must consider to an appropriate extent the conditions and ideas or suggestions of the W1 professor. ⁶The catalogue of criteria can either initially cover only the period of the qualification phase and be updated following an interim evaluation, or it can be drawn up for the entire period of the W1 professorship. ⁷In this case, after a

positive interim evaluation, a review and, if necessary, adjustment of the criteria catalogue must be carried out in agreement between the evaluation committee and the department.

- (2) ¹As a rule, the W1 professor should hold a biannual meeting with the Dean to evaluate and, if necessary, adjust the performance agreement or the underlying time schedule. ²The performance agreement shall be adjusted in particular when specific circumstances within the meaning of § 89 para. 6 sentence 4 ThürHG exist or the interim evaluation has been successfully carried out.
- (3) The responsible Dean shall submit the performance agreement to the Evaluation Committee after it has been set up.

§ 7 Interim Evaluation, Evaluation Committee

- (1) ¹One year before the end of the first term of the professorship, an evaluation committee is appointed to evaluate the performance of the W1 professor based on the performance agreement in the first period of the W1 professorship. ²The Department Council is entitled, upon reasoned request of the W1 professor, to decide to open the procedure under sentence 1 at an earlier point in time, but not before the expiry of one year after the appointment has been made, if this is justified in the individual case by special circumstances.
- (2) ¹The Evaluation Committee corresponds in size and structure to an Appointment Committee in accordance with § 4 Para. 2 of the Appointment Regulations. ²§ 4 Para. 4 to 7 and Para. 9 to 10 of the Appeals Regulations apply mutatis mutandis. ³Members of the Evaluation Committee must not have acted as mentors in accordance with § 5 Para. 1.
- (3) ¹The Department Council may, with the approval of the Presidential Board of the University, appoint a standing committee to evaluate all W1 professorships in the Department.
- (4) ¹The Evaluation Committee shall determine whether the W1 professor has proven him/herself as a university lecturer both in research and teaching and whether he/she has attended further training outside the subject area. ²The fulfilment of the concluded performance agreement serves in particular as an evaluative criterion. ³The scientific achievements and the results of the teaching evaluations shall continue to be given special consideration. ⁴In addition, a self-report or presentation by the W1 professor to the Committee may be considered. ⁵The assessment shall take due account of the statutory grounds for extension in accordance with § 89 para. 6, sentence 4 and § 97 para. 4 ThürHG.
- (5) ¹The Evaluation Committee shall prepare a written report on the first phase of the W1 professorship based on the assessment referred to in paragraph 4. ²In the report, the Evaluation Committee recommends whether the W1 professorship should be extended.
- (6) ¹The report shall be submitted to the W1 professor. ²He/she shall be given the opportunity to comment within two weeks of receipt of the report.

- (7) ¹On the basis of the report of the Evaluation Committee and, if applicable, the opinion of the W1 professor, the Department Council decides on the extension of the W1 professorship. ²The Dean reports in due time to the Presidential Board and the Senate on the results of the evaluation. ³He/she informs the W1 professor in writing of the result of the decision and the reasons for it.
- (8) ¹After completion of the procedure, the Department issues a certificate on the successful evaluation to the W1 professor.

§ 8 Evaluation, personal meeting

¹After the interim evaluation, the W1 professor receives qualified feedback on the progress to date of the first phase of the W1 professorship in a personal meeting with the Chairman of the Evaluation Committee. ²He/she may be recommended to act. ³The main result of the meeting shall be documented in the minutes.

§ 9 Tenure Evaluation

- (1) ¹The tenure procedure has to be initiated at the latest one year before the end of the term of the W1 Tenure-Track Professorship; for this purpose, a committee for the tenure procedure (Tenure Committee) has to be appointed. ²For special reasons and in agreement with the Department Council, the Presidential Board may initiate the tenure evaluation procedure at any time (including in the first phase).
- (2) ¹The composition of the Tenure Committee shall be determined in accordance with § 4 para. 3 in conjunction with para. 1 of the Appointment Regulations. ²§ 4 paras. 4 to 7 and paras. 9 to 10 of the Appointment Rules shall apply mutatis mutandis. ³Members of the Tenure Committee must not have been mentors in accordance with § 5 para. 1.
- (3) ¹The tenure procedure shall assess the performance of the W1 tenure-track professor in research, teaching and academic self-administration in the second phase of the W1 professorship and determine whether the tenure-track professor has proven him- or herself as a university lecturer. ²The basis of the tenure procedure is the performance agreement in the version of the interim evaluation (§ 6 par. 2 sentence 2). ³The evaluation is based on the objectives, criteria and indicators outlined in the performance agreement.
- (4) ¹The Tenure Committee appoints two professors from other universities as external reviewers; they should be experts in the subject of the W1 tenure-track professor. ²The reviewers must be internationally recognised and, if this appears appropriate in view of the professorship's specialist profile, must be employed at a foreign university. ³The external assessments are to be based on the criteria of the performance agreement and shall permit comparison with national and international standards. ⁴The assessments express an opinion about the suitability of the W1 tenure-track professor for appointment as a permanent professor.
- (5) ¹The Tenure Committee bases its conclusions on the external reports as well as on a meeting/discussion between the Committee and the W1 professor. ²It

determines whether the tenure-track professor's performance as a university lecturer can be determined based on his/her achievements in research and teaching, his/her involvement in academic self-administration and his/her interdisciplinary competences. The committee issues a final report on this subject. ³The decision is primarily subject to the assessment of the scientific development in the second phase of the W1 professorship under the terms of the performance agreement.

- (6) ¹The report is submitted to the responsible Department Council and the Senate. ²When the report is positive, the Department Council applies to the Presidential Board of the University to conclude the tenure procedure by appointing the tenure-track professor as a permanent professor. ³The Senate expresses its opinion on the report submitted by the Tenure Committee.

§ 10 The President's Decisions and Continuation

- (1) ¹On the basis of the opinion of the Senate, the vote of the Tenure Committee and the reviewer's report in accordance with § 3, the President, in consultation with the Presidential Board, decides on the outcome of the evaluation. ²When the evaluation is positive, the tenure-track professor is appointed to a permanent professorship. ³In addition, the President decides on the extension of the employment relationship in accordance with § 89 para.6 sentence 3 and sentence 4 ThürHG. ⁴Both decisions should be taken at least four months before the end of the tenure.
- (2) ¹Tenure track professors in Grade W1 are appointed to a W2 or W3 professorship after a positive tenure evaluation. ²When the appointment of a W2 professorship is successful, a subsequent appointment to W3 and no further advertisement of the position is only possible under the conditions of § 85 para.1 sentence 4 ThürHG.

§ 11 Procedure for joint appointment of W1 professors

¹Unless separate regulations have been agreed between the University and the non-university research institution in the case of W1 professors appointed jointly with a non-university research institution, the terms of these by-laws shall apply to the evaluation.

Part 3

Procedures for quality assurance of evaluation for W2 Tenure Track Professors

§ 12 Prerequisites

W2 professorships can be advertised as temporary professorships with a tenure track option according to § 86 para. 1 sentence 3 ThürHG.

§ 13 Principle

A W2 tenure-track professorship is evaluated on the basis of a performance agreement between the Dean and the professor to be concluded prior to appointment.

§ 14 Evaluation

(1) ¹No later than one year before the expiry of the time limit, the Department Council appoints an Evaluation Committee by resolution in agreement with the Presidential Board. ²For special reasons and in agreement with the Department Council, the Presidential Board is entitled to initiate the evaluation procedure at any time.

(2) The Evaluation Committee consists of at least three professors from the University who have the necessary professional competence to assess the professorship; at least one female professor shall be a member of the Committee.

(3) ¹The Evaluation Committee assesses the professor's performance in accordance with § 86 para. 2 sentence 3 ThürHG and collects the following documents for this purpose:

1. at least two external reviews (§ 85 (3) sentence 2 ThürHG),
2. self-evaluation report of the professor,
3. the Dean's assessment, including a teaching evaluation by the students,
4. application of the Department Council to make the professorship a permanent position.

(4) During the evaluation, the criteria listed in the Annex to these regulations shall be evaluated in a subject-specific manner based on the performance agreement in accordance with § 13.

§ 15 Final decision of the Presidential Board

¹On the basis of the report of the Evaluation Committee, the opinion of the Senate and the proposal of the Department Council, the President of the University, in consultation with the Presidential Board, decides on the outcome of the evaluation. ²With a positive evaluation, the position is turned into a permanent professorship.

Part 4

Final Terms

§ 16 Equal opportunities

The job titles used in these Statutes apply equally to women and men, regardless of their specific use.

§ 17 Transitional Terms

For the evaluation of W1 and W2 professors who have already been appointed for a limited period of time when these by-laws come into force, as well as for W3 professors who have been appointed for a limited period of time, the provisions of these by-laws shall apply accordingly.

§ 18 Entry into force

These by-laws shall enter into force on the day following their publication in the University's official journal "Verkündungsblatt".

Signed by

Univ.-Prof. Dr. rer. nat. habil.
Dr. h. c. Prof. h. c. mult.
Peter Scharff
Rector

Annex Topics Criteria catalogue

1. Technical development:

- a) Scientific goals of the junior professor according to the denomination of his/her field of expertise
- b) Interdisciplinary network at the TU Ilmenau
- c) Scientific excellence, as demonstrated in particular by:
 - o Publications
 - o Research cooperations
 - o Acquisition of third-party funding
 - o Cooperations with and/or activities in industry
 - o Integration into and/or expansion of networks
 - o Events and lecture opportunities and obligations (intramural)
- d) Supervision of BSc/MSc theses
- e) Results of the teaching evaluation
- f) Further training in teaching/university didactics

2. Further professional development:

- a) Activities and experience in academic self-administration
- b) Attendance of further training for the acquisition or extension of key competences
- c) Activities supporting personal development and the development of leadership and social skills
- d) Balancing work and family life