

## **Quality assurance plan according to § 51 b LHG for assistant professorships with tenure track and evaluation statute regarding assistant professors and junior lecturers**

According to sections §§ 8 para. (5) sentences 1, 19 para. (1) sentence 2 no. 10 of the law governing higher education in the state of Baden-Württemberg - Landeshochschulgesetz (LHG) - (GBl. 2005, p. 1) of 1 April 2014 (GBl. p. 99), as amended on 30.12.2020 (GBl. p. 1204), the University of Tübingen Senate at its meetings on 15.07.2021 passed the following statute agreed with the Ministry of Science on 26.08.2021 in accordance with §§ 51 b, 48 para. (1) sentence 4.

### **Part 1: Assistant professorships**

#### **I Assistant professorship (without tenure track)**

Assistant professors are usually appointed under § 51 para. (7) LHG for an initial limited time period of up to four years with the status of temporary civil servants (Beamtinnen/ Beamten auf Zeit). This civil servant status should be extended to a total of six years if the assistant professor has completed probation as a member of academic staff in his or her performance, particularly in research and teaching, according to the results of an interim evaluation. At the end of the period of service, a final evaluation is undertaken of the assistant professor's performance to establish his/her aptitude and ability as a member of academic staff. Assistant professors employed on private-law contracts must be dealt with accordingly.

#### **II. Assistant professorship with tenure track (tenure track professorship)**

Tenure-track professors are assistant professors under § 51 LHG; such appointments, if including a probationary period, are linked to the promise of a later professorship of comparable denomination in a higher pay grade (tenure-track professorships). Holders of tenure-track professorships are entitled to use the title of assistant professor or tenure-track professor. The corresponding requirements of the LHG, in particular those of § 51 b LHG, remain unaffected by this quality assurance plan.

#### **III. Procedure for tenure-track professorships**

##### **III. 1. Gender equality standards**

To ensure gender equality in the selection process, the University of Tübingen Senate in 2014 passed improved measures for the advancement of gender equality and internationalization in appointments procedures. These measures have since been continuously reviewed and improved and are also included in the guidelines for appointment procedures. As part of the monitoring of equal opportunities, the President reports annually to the Senate on appointments to tenure-track professorships, assistant professorships, tenure-track lectureships and junior lectureships, as well as on the evaluation procedures for tenure-track professorships and lectureships.

##### **III. 2. Call for applications to assistant professorships**

The call for applications to a tenure-track professorship is always made internationally. In order to reach as many talented academics as possible, all professorships must also be advertised in English. In addition, potential female candidates and international candidates are to be proactively identified and contacted by members of the selection committees. The advertisement contains a reference to the tenure track. The requirements establishing aptitude, ability, and academic performance and/or any special requirements to be met by the subsequent appointment to a full, W3 professorship must be set out in the call for applications to the tenure-track professorship along with the promise of appointment to a W3 professorship subject to successful completion of the probation period. In all other matters, § 51 b LHG applies.

Together with the application for approval of the position, the faculty must present a list based on the evaluation criteria and standards set out in section VI and specifying which subject-specific evaluation criteria and standards form the basis of the interim evaluation and the final evaluation of the assistant professorship; in doing so, the faculty also establishes the necessary qualification criteria from its point of view. The University Gender Equality Representative is to be involved in the process of creating criteria. She has the opportunity to comment.

Information on the procedure, evaluation criteria and standards, as well as subject-specific requirements and the weighting of the criteria is provided in writing to the tenure-track professor before he/she commences his/her employment, at the latest when the appointment is made. § 48 para. (4) LGH applies accordingly. The evaluation criteria will additionally be posted in German and English on a part of the University website assigned to the call for proposals. The following text should also be set there: *"As of spring 2018, the Baden-Württemberg state higher education act (LHG) provides in § 51b for the new category of tenure-track professorship. It is therefore possible for those in corresponding W1 positions to designate themselves as tenure-track professors and to be addressed as such. The present call is about filling such a tenure-track professorship. In the area of W1 positions, thus also for tenure-track professors, allowances on top of the basic salary are possible."*

Applicants for a tenure-track professorship should have changed universities after completing their doctorates or have worked in academia for at least two years somewhere other than the appointing institution of higher education. § 51 (5) sentence 2 Landeshochschulgesetz and § 48 (1) sentence 4 Landeshochschulgesetz remain unaffected.

Furthermore, under § 48 (1) LHG, a renewed call for applications may be dispensed with and the appointment procedure may be suitably simplified if a tenure-track professor or a tenure-track lecturer at the university is to be appointed to a professorship of comparable denomination in a higher pay grade at the same university. Furthermore, in view of the quality and profile development of the University, the advertisement of a professorship may be waived in exceptional cases with the approval of the Ministry of Science if only one outstandingly qualified person is available; in this case, the University may simplify the appointment procedure suitably. In order to promote and develop early-career researchers, the Ministry of Science may allow further exceptions from the obligation to advertise and carry out the appointment procedure; the basis for this is the University's quality assurance concept, agreed with the Ministry of Science

### **III. 3. Interim evaluation procedure**

(1) The evaluation procedure is launched by the faculty at the latest two months before the end of the third year. The faculty will be reminded of the coming evaluation procedure by the responsible personnel office (University or MFT).

The interim evaluation process may be launched earlier upon application by the tenure-track professor, for instance in the case of applications to external professorships, to document the tenure-track professor's performance to date. The application must be made to the responsible faculty. An early evaluation presumes that the tenure-track professor will show credibly at the time of application that he/she has met the requirements for an extension of his/her employment contract prior to the expiry of his/her up to four years of employment under that contract. In the event of the birth or adoption of a child or in the case of leave of absence to care for a relative, the interim evaluation procedure may be initiated at a correspondingly later date at the request of the assistant professor.

Furthermore an early interim evaluation is possible to counter an offer of an external appointment (see no. 7).

(2) In consultation with the faculty the President's Office appoints an interim evaluation committee; the relevant faculty has the right to propose the committee members. It should consist of at least three representatives of the subject or closely-related subjects, including at least one woman, and the Dean (or his or her representative) to head the committee. Assistant professors, tenure track professors and junior lecturers may not be members of the interim evaluation committee. Persons with supporting roles, such as mentors, may not be involved in the interim evaluation or the final tenure evaluation. The University's Gender Equality Representative or her deputy may participate in the commission as an advisory member.

(3) The tenure-track professor is called upon by the head of the interim evaluation committee to present a report in accordance with Attachment 1 on his/her academic profile and performance in research, teaching, and academic self-management, whereby the latter usually takes a low priority. The report must include statements on research and teaching performance. The academic profile of classes taught and the quantitative teaching load must expressly be taken into consideration. The report may not exceed ten pages. If applicable, the report should include documentation of successfully completed classes at the Center for Teaching and Learning, and/or in team leadership and management. The report must be in line with the faculty evaluation criteria as set out in III.2. The report may be required to be written in English.

(4) The interim evaluation committee consults on the tenure-track professor's degree of success on the basis of the evaluation criteria and standards set out in section VI. and the subject-relevant requirements and criteria weighting under III.2, the assistant professor's own report, the results of at least two teaching evaluations as well as a statement by the Vice-Dean of Academic Affairs. After a review of the documents, the tenure-track professor is invited to an evaluation interview and is given the opportunity to present his/her report on his/her work orally to the interim evaluation committee.

The interim evaluation committee subsequently votes to present the Dean's Office with an evaluation report. The candidate must be informed in writing of the interim evaluation result. The faculty and the President's Office are bound by the evaluation committee's vote.

(5) In the case of a positive vote, after approval by the Dean's Office (in clinical subjects at the Faculty of Medicine, by the Dean's Office and the hospitals' Executive Board of Directors), and a subsequent positive resolution by the Faculty council at the latest four months prior to expiry of the time-limited employment contract, the Dean submits an application for extension of the employment relationship to the President. If the tenure-track professor has not successfully completed probation according to the results of the evaluation in accordance with § 51 (7) sentence 3 LHG, the civil service relationship (Beamtenverhältnis) may be extended by up to one year with his or her consent under § 51 b (2) sentence 5 LHG.

(6) The interim evaluation is intended to reveal strengths and weaknesses at an early stage, so that any failings which may prevent a later appointment may be rectified and a decision made on the assistant professor's further career at a point at which alternatives are still possible. To create transparency and if applicable to enable any necessary rectification, the tenure-track professor receives written notification on his/her performance to date along with any critical areas from the Dean; this feedback must also include recommendations on personal and academic development.

### **III. 4. Perspective talks**

Tenure-track professors hold two sessions of "perspective talks" prior to the interim evaluation. The first perspective talk takes place after the first year of service. The second interview takes place before the end of the third year, and in all cases prior to the start of the interim evaluation. In the case of an extension of the fixed-term employment relationship, a further perspective talk (status consultation according to § 51 b para. (2) LHG takes place before the end of the fifth year, in all cases before the start of the final evaluation. Perspective talks are conducted by the Dean of the responsible faculty, who may consult with a professor of a relevant subject. The perspective talks help the tenure-track professor to reflect on his/her own development (subject expertise, general skills, etc.), to explore options for further development, assess individual career options, and better plan his/her future career.

### **III. 5. Final evaluation procedure**

(1) The evaluation procedure is launched by the faculty at the latest two months before the end of the fifth year. The faculty will be reminded of the coming evaluation procedure by the responsible personnel office (University or MFT). In exceptional cases, the final evaluation procedure may also be initiated ahead of schedule at the request of the tenure-track professor if there are objective reasons for doing so. The application must be made to the responsible faculty. In the event of the birth or adoption of a child or leave of absence to care for a dependent, the tenure evaluation process may be initiated at a correspondingly later date at the request of the tenure-track professor.

Furthermore, an early final evaluation is possible - even before an interim evaluation - to counter an offer of an external appointment (see III.7.).

(2) In consultation with the faculty the President's Office appoints an evaluation committee; the relevant faculty has the right to propose the committee members. The evaluation committee is

composed like an appointments committee under § 48 para. (3) LHG. The provisions of § 51 b (2) LHG apply to the evaluations. Prior to the start of the final evaluation, a status consultation in the form of a perspective talk is to be held. External members are to be involved in the evaluation in a suitable manner. Assistant professors, tenure-track professors, tenure-track lecturers and junior lecturers may not be members of the evaluation committee. If the evaluation committee is headed by a member of the Dean's Office, the evaluation committee must additionally include a member of the President's Office.

(3) The tenure track professor is called upon by the head of the evaluation committee to present a report on his/her work according to no. 3 para. (3). The evaluation committee invites the tenure-track professor to hold an academic lecture with subsequent discussion. The academic lecture is open to the whole University. The academic lecture makes it possible to judge the assistant professor's ability to conduct academic discourse and shows his/her ability to present academic issues and findings critically and spontaneously to an educated audience.

(4) The evaluation committee appoints at least two external referees with international credentials who make a written academic assessment on the basis of the candidate's report on his/her work, a complete list of publications and classes taught, and a current curriculum vitae. The referees must be outstanding academics (full professors or equivalent status) and be from different institutions. If it appears to be warranted by the specialist profile of the professorship, reviewers from outside Germany are to be involved in the evaluation procedure. The referees receive an overview of the evaluation criteria and standards under section VI as well as the list of subject-specific requirements and criteria weighting under III. 2 above; these form the basis for the final evaluation along with the documents listed in sentence 1. If the referees' assessments diverge significantly in their recommendations and/or rationale, the evaluation committee may commission further assessments.

(5) The evaluation committee consults on the tenure-track professor's degree of success on the basis of the evaluation criteria and standards set out in section VI. and the subject-relevant requirements and criteria weighting under III. 2, the tenure-track professor's own report, the external referees' assessments, the results of the teaching evaluations presented for the interim evaluation, as well as one further teaching evaluation, a statement by the Vice-Dean of Academic Affairs, and the tenure-track professor's academic lecture in the relevant subject and subsequent discussion. For a positive tenure evaluation, the candidate is expected to show a significant, internationally recognized impact on the academic advancement of his/her discipline, taking into account the stage of his/her academic career. The standards are listed by the faculty according to III.2. After a review of the documents and after the academic lecture, the tenure-track professor is invited to an evaluation interview and is given the opportunity to present his/her own report orally to the evaluation committee.

The evaluation committee subsequently presents the Dean's Office with an evaluation report and its vote. The faculty and the President's Office are bound by the evaluation committee's vote, unless there has been a procedural or legal error.

(6) With its positive vote the evaluation committee confirms that the requirements for establishing the aptitude, ability, and academic performance have been met and that the additional academic performance in research and teaching required for appointment as a full professor under § 47 para. (1) no. 4a, para. (2) sentence 1 LHG have been achieved within the framework

of a tenure track professorship. The suitably simplified appointment process must be launched at the latest four months prior to expiry of the extended time-limited employment contract.

(7) If the tenure-track professor has not successfully completed probation according to the results of the evaluation in accordance with § 51 (7) sentence 2 LHG, the civil service relationship (Beamtenverhältnis) may be extended by up to one year with his or her consent under § 51 b (2) sentence 5 LHG.

### **III. 6. Bias**

(1) During the evaluation it must be ensured that no person or persons take part who should be recused. This is in accordance with §§ 20, 21 of the state administrative procedures law, Landesverwaltungsverfahrensgesetz.

(2) If any of the following – absolute – conditions arise, the relevant person must be strictly excluded from the procedure (that person may not participate in a decision-making nor in an advisory capacity):

- Relationship by blood, marriage or other family relationship, or close personal relationship;
- Employment dependency or supervisory relationship (e.g. student-teacher relationship) within the three years prior to the start of the tenure-track professorship.

(3) If any of the following – relative – conditions arise, a decision on exclusion must be made on a case-by-case basis (see below):

- involvement in the content of the tenure-track professor's doctoral or habilitation thesis;
- Close academic cooperation, e.g. joint projects and/or joint publications in the previous three years (multi- or co-authorship), joint patents or joint patent applications;
- immediate academic competition with the candidate's projects or plans;
- personal economic interests in the outcome of the evaluation.

(4) Possible reasons for bias must be communicated to the head of the evaluation committee. The evaluation committee must check and assess whether bias as set out in (3) is actually present; the mere existence of the conditions listed is not sufficient for an immediate exclusion from the procedure. The evaluation committee decides whether a person

- is excluded from the procedure,
- refrains from any further involvement or
- must leave the room at relevant stages of the procedure and therefore does not take part in decision-making or votes about the tenure-track professor.

Prior to any decision, the affected person must be given the opportunity to speak on the matter; the decision must be noted in evaluation committee protocols. These regulations on bias must be given to all members of the evaluation committee and to the referees for their attention, upon appointment.

### **III. 7. Appointments of tenure track professors**

(1) An external appointment does not lead automatically to an extension of the employment relationship nor to accession of a full, W3 professorship.

(2) If, during his/her employment contract of up to four years and before the interim evaluation, a tenure-track professor receives an offer of an external appointment to a W2 or W3 professorship at a university or to an equivalent professorship at a university outside Germany, this may be assessed by the interim evaluation committee as a positive interim evaluation and in some cases as a positive final evaluation, upon application by the tenure-track professor. The application must be made to the responsible faculty.

The faculty may propose that the employment contract be extended to a total of six years; in clinical subjects at the Faculty of Medicine, this requires the approval of the hospitals' Executive Board of Directors.

(3) The offer of an external appointment after the interim evaluation cannot replace the final evaluation. The procedure for the final evaluation may, however, be launched early upon application by the tenure-track professor to the responsible faculty; an external offer must be taken into consideration within the framework of the evaluation criteria (section VI.). Such a call is considered "not used up" upon initiation of the final evaluation, i.e. the external call can in individual cases also be used for an early appointment - i.e. an appointment before the usual 6-year term of an assistant professorship is fully exhausted - to a W3 professorship following a positive final evaluation.

## **II. Procedure for assistant professorships without tenure track**

(1) In cases of an assistant professorship without tenure track, the call for applications is usually made internationally. The assessment of the assistant professor's performance is the responsibility of the relevant faculty. As part of the application for approval of the position, the faculty must present a list based on the evaluation criteria and standards set out in section VI and specifying which subject-specific evaluation criteria and standards form the basis of the interim evaluation and the final evaluation of the assistant professorship; in doing so, the faculty also establishes the necessary qualification criteria from its point of view. The University's Gender Equality Representative is to be involved in the process of setting criteria. She has the opportunity to comment.

For the interim and final evaluations of assistant professorships without tenure track, the regulations set out in sections III. nos. 3 - 7 apply accordingly, insofar as no other regulations are set out below.

In all other matters the provisions set out in § 51 Landeshochschulgesetz apply.

(2) There will be no early final evaluation. An offer of an external appointment after the interim evaluation may be assessed at the end of the employment relationship be assessed as a positive evaluation upon application by the assistant professor. The application must be made to the responsible faculty. Otherwise the external offer must be taken into consideration within the framework of the evaluation criteria (section VI.).

(3) The faculty council appoints an evaluation committee for interim and final evaluations in consultation with the President's Office. The interim evaluation committee comprises at least three professors. At least one female professor from the subject must be included. Assistant professors, junior lecturers and tenure track professors may not be members of the evaluation committee. The University's Gender Equality Representative or her deputy may participate in the commission as an advisory member. The interim evaluation committee is headed by a member of the Dean's Office; the interim evaluation committee need not include a representative of the President's Office. In the case of a final evaluation, the evaluation committee must be constituted like an appointment committee and be made up of the persons who comprised the evaluation committee for the assistant professor's interim evaluation. The requirement for the participation of the otherwise usual external members may be waived in the final evaluation.

(4) An academic lecture is not required within the framework of the final evaluation.

(5) For their consultations, the evaluation committee must apply the faculty's subject-specific requirements and criteria weighting instead of the subject-specific requirements and criteria weighting under section III, no. 2.

(6) The two reviews already obtained for the final evaluation may be used for a review of the conferral of the title "associate professor."

## **V. Extensions of employment (including due to birth/adoption/care requirements)**

(1) If professors or academic staff members are temporary civil servants, their employment will be extended upon application by the civil servant for the reasons specified in § 45 of the LHG, provided that there are no official reasons to the contrary.

(2) Regardless of the options for extension referred to, the temporary civil service relationship of assistant professors, junior lecturers and academic staff members under §§ 51 to 52 may, on application, be extended by up to two years per child, up to a maximum of four years in total, if the extension is necessary in order to achieve the qualification objective determined under § 51(7), § 51a(3) or § 51b or another qualification objective associated with the employment relationship. This also applies accordingly to the care or nursing of relatives in need of care.

(3) Extensions under sentences 2 and 3, even if they coincide with other extensions under this paragraph, may not exceed a total of four years.

(4) Such an application for extension based on § 45 para. (6) p. 8 and 10 LHG of an assistant professor, regardless of whether with or without tenure track, must be addressed to the President's Office and consist of two separate parts. In **part A**, the formal application is completed - the applicant sets out the extension request and key data (e.g. period as well as in the request for work reduction as a %). In addition, it should contain an overview of the current status of the individually agreed qualification criteria / of the defined areas of the candidate's report on his/her work as well as a schedule for attaining the qualification goal at the end of the newly requested time period.



In a separate **part B** (also on paper), the application is to be substantiated in terms of content - the applicant explains in detail what exactly the care activity / childcare and education task consists of and how this has a causal effect on the formal application for extension of the employment relationship. In addition, a chronological list of the data concerning the assistant professorship (contract, evaluation, other extensions or part-time reductions) is to be attached. The application submitted to the President's Office is then divided up accordingly and forwarded to the responsible Dean's Office (Part A) and to the Gender Equality Representative (Part B) with the request for a respective professional opinion within 2 weeks. After submission of the two separate statements, the President's Office decides on the application and informs all parties involved about this decision in good time.

The Dean's Office examines Part A and comments on it in a proposed resolution. It will also state whether and how financing is still ensured and whether and to what extent the premises and resources used to date will continue to be available.

The President's Office shall notify all parties involved in writing of the decision on the extension request.

(5) Insofar as the Coronavirus crisis has caused or is causing significant restrictions in the work of researchers in the qualification phase, the regulations for supporting researchers and students in the COVID-19 pandemic (Wissenschafts- und Studierendengesetz) and those of § 45 para. 6a LHG apply.

It is not possible to be reappointed to a civil service position if civil service relationships have already ended. Only existing civil service relationships can be extended accordingly, upon application. The following procedure applies:

- The temporary civil servant is to submit a request for extension to his/her supervisor with a brief statement as to why an extension is necessary.

- The supervisor confirms that attaining the qualification goal will require an extension of the temporary civil servant relationship.

- The supervisor also confirms that the corresponding budget position (and thus the funding) will continue to be available for the duration of the extension. If an extension is not intended, it is not sufficient for the supervisor to state that the position is otherwise scheduled.

In such a case, there must be a concrete examination of the current job holder's situation and care taken to ensure a successful qualification. As a rule, this must take precedence over other dispositions.

The applications are then to be submitted to the Human Resources Department via the responsible Deans. If an extension of up to six months has already been granted, this must be deducted from the total of up to twelve months.

## **VI. Evaluation criteria and standards**

All the assistant professorship's/ tenure track professorship's areas of responsibility are the focus of the evaluation: Research, teaching, and academic self-management. The area of academic self-management is generally accorded a lower priority.

The interim and final evaluations of the assistant professorship/ tenure track professorship are based on the following evaluation criteria: The faculty should make a selection that is reasonable and, if necessary, weighted for the position in question:

#### **VI.1. Research**

1. Quality and quantity of publications as sole author or as co-author and/or as corresponding author (Significance of research work in international comparison, contribution to further development of the research field, reception and evaluation of the publication (citations, impact factors etc.), distinctions and prizes)
2. Academic lectures and participation in supraregional symposia and events
3. Research projects (type, scope, innovative/ interdisciplinary in nature)
4. Third-party funding (amount, institution)
5. Academic collaboration and participation in joint research
6. (Co)organization of specialist conferences
7. Work for specialist organizations, education, government, or other institutions
8. Transfer activities (society, economy, politics)
9. Activities as a referee, reviewer
10. Participation in doctoral qualification processes and doctorates supervised
11. Other, e.g. distinctions, research prizes, patents, potential appointments to other institutions, editorial work

#### **VI.2. Teaching**

1. Classes/ courses taught (type, workload, scope)
2. Teaching performance and didactic aptitude, documented by at least two teaching evaluations in the case of the interim evaluation;
  - the results of the teaching evaluations considered during the interim evaluation and at least one further teaching evaluation
  - a statement by the Vice-Dean of Academic Affairs and
  - in the case of a final evaluation of an tenure track professorship, an academic lecture open to the whole University in the research area of the tenure track professorship, including subsequent discussion.
3. Participation in university examinations and theses supervised
4. Teaching materials
5. Internationality
6. Other, e.g. teaching prizes, advanced professional training on university teaching, participation in academic advisory services

#### **VI. 3. Other criteria**

1. Courses on gender and diversity matters and/or personnel and general management

#### **VI.4. Academic management**

1. Membership on committees
2. Taking on extra responsibilities in the department
3. Other, e.g., pan-university projects

Acceding to a W3 professorship as part of the tenure procedure is only possible if, in addition to points VI.1-VI.3., the evaluation establishes that the tenure-track professor's performance in his/her tasks - as set out by the faculty under III.2 - was above average. The yardstick for an above-average performance is equivalency with academic staff who have a habilitation. In this comparison, the tenure track professor's time in academia and current qualification phase must be taken into consideration. If previous periods of similar activities in comparable positions can be credited to the duration (e.g. participants in the Emmy Noether Program or comparable externally evaluated junior researcher programs), this should be taken into account accordingly for a shortening of the qualification period or term of the tenure-track professorship.

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## Attachment 1

### Contents of assistant professor's/ tenure-track professor's report on his/her work

Evaluation criteria and further information

#### A. Research

Publications: (Sole author and/or co-author)	- Published (e.g. journal, book) - Submitted
Academic lectures	- Invited - Conferences etc.
Research projects	- Completed - Current - Applied for
Third-party funding	- Approved (third-party funding) - Applied for
Academic collaborations	- Internal - External (national and international)
(Co)Organization of specialist conferences	- List specialist conferences
Specialist societies; Work for education, government, or other institutions	- Membership - Function
Transfer activities (society, economy, politics)	- Type of activities
Activities as a referee, reviewer	- (not as a supervisor of a doctorate)
Doctorates supervised	- First supervisor/ second supervisor - First supervisor/ second supervisor - Completed (if applicable) - Candidate - Current - Title
Other	- e.g. awards, research prizes, patents

#### B. Teaching

List of classes	- Degree course - Semester - Average number of students
Examinations	- Type of examinations - Number of examinations - First, second examiner or - First, second examiner - Major, minor subject
Supervised (Bachelor's, Master's, Staatsexamen etc.) theses	- Number - Candidate - Completed - Current
Student teaching evaluation (interim evaluation: at least two courses; final evaluation: in addition, one further course.	- Class type (as many different types as possible) - Time taught (for interim evaluation: preferably in the second semester following start of the assistant

	professorship and in the third year; for final evaluation: from fifth year on)
Teaching materials and indications of teaching effectiveness	- e.g. provide links to scripts
Internationality	- Classes conducted in English or other language other than German - Advising and support of international students
Advanced professional training	- Courses at the Center for Teaching and Learning
Other	- e.g. teaching prizes, academic advisory service

**C. Other criteria**

Professional training/ courses on team leadership and management, gender and diversity matters

**D. Academic self-management**

Academic self-management committees	- Membership/ committee
Taking on extra responsibilities in the department	- Research organization - Teaching organization
Other	- e.g., pan-university project

## **Part 2: Junior lecturers**

Under § 51a para. (3) item (1) LHG the first appointment of a lecturer is strictly as a junior lecturer. This employment contract is usually limited to an initial four years. This employment status may be extended to a total of six years if the junior lecturer has successfully completed probation as a member of academic staff in his or her performance, particularly in research and teaching, according to the results of an interim evaluation. At the end of the period of service, a final evaluation is undertaken of the junior lecturer's performance to establish his/her aptitude and ability as a member of academic staff, particularly in teaching. If the junior lecturer has successfully completed probation, he/she may then be employed in a non-time-limited relationship (Hochschuldozentin or Hochschuldozent).

### **I. Interim and final evaluation procedures**

(1) Junior lecturers hold two sessions of "perspective talks" prior to the interim evaluation. The first perspective talk takes place after the first year of the employment relationship. The second interview takes place before the end of the third year, and in all cases prior to the start of the interim evaluation. In the case of an extension of the fixed-term employment relationship, a further perspective talk takes place before the end of the fifth year, in all cases before the start of the final evaluation. Perspective talks are conducted by the Dean of the responsible faculty, who may consult with a professor of a relevant subject. The perspective talks help the junior lecturer to reflect on his/her own development (subject expertise, general skills, etc.), to explore options for further development, assess individual career options, and better plan his/her future career.

(2) The assessment of the junior lecturer's performance is the responsibility of the relevant faculty. As part of the application for approval of the position, the faculty must present a list based on the evaluation criteria and standards set out in section VI and specifying which subject-specific evaluation criteria and standards form the basis of the interim evaluation and the final evaluation of the assistant professorship; in doing so, the faculty also establishes the necessary qualification criteria from its point of view. The University's Gender Equality Representative is to be involved in the process of setting criteria. She has the opportunity to comment.

(3) The evaluation procedure is launched when Human Resources reminds the faculty of the upcoming evaluation procedure, one year prior to the end of the time-limited employment contract; in the case of the interim evaluation by the end of the third year at the latest; in the case of the final evaluation at the end of the fifth year.

(4) The faculty council appoints an evaluation committee in consultation with the President's Office. The evaluation committee is composed of three professors, one further member of academic staff, and a student representative. At least one female member of academic staff must be included. Assistant professors, junior lecturers and tenure track professors may not be members of the evaluation committee. The University's Gender Equality Representative or her deputy may participate in the commission as an advisory member, upon request. The evaluation committee is headed by a professor.

(5) The junior lecturer is called upon by the head of the evaluation committee to present a report in accordance with Attachment 2 on his/her academic profile and performance in research, teaching, and academic self-management, whereby the latter usually takes a low priority. This report must include statements on the subject's teaching context and the didactic concepts. The report may not exceed ten pages. Documentation is expected of two successfully completed classes/ courses at the Center for Teaching and Learning before the interim evaluation and a further class/ course before the final evaluation.

(6) External assessments will not be made.

(7) The evaluation committee consults on the junior lecturer's degree of success on the basis of the faculty's subject-specific requirements and criteria weighting, the junior lecturer's own report, the results of at least four teaching evaluations for an interim evaluation or the results of the teaching evaluations considered in the interim evaluation plus two further teaching evaluations for a final evaluation, as well as a statement by the Vice-Dean of Academic Affairs. The candidate's report on his/her work should be accompanied by full lists of publications and classes taught, as well as an updated curriculum vitae. After a review of the documents, the junior lecturer is invited to an evaluation interview and is given the opportunity to present his/her own report orally to the evaluation committee.

The evaluation committee subsequently presents the Dean's Office with an evaluation report and its vote.

(8) In the case of a positive vote in an interim evaluation, after approval by the Dean's Office (at the Faculty of Medicine, by the Dean's Office and the hospitals' Executive Board of Directors), and a subsequent positive resolution by the Faculty council at the latest four months prior to expiry of the time-limited employment contract, the Dean submits an application for extension of the employment relationship to the President.

(9) The regulations regarding bias set out in part 1 section III no. 6 apply accordingly.

## **II. Tenure-track professorships**

In accordance with § 51 b (4) LHG, the appointment of a junior lecturer may be linked to the promise of subsequent appointment to a lectureship or professorship of a higher grade in the event of a successful probationary period (tenure-track lectureship). Legally, tenure-track lecturers bear the title of tenure-track professor or tenure-track professor with a focus on teaching.

For tenure-track professorships, the provisions of § 51b paragraphs (1) sentences 2 to 4, and (2) apply accordingly. Tenure-track professorships are therefore advertised with reference to the tenure track as well as with an outline of the procedures and requirements, in particular the criteria and standards of evaluation for suitability, aptitude and professional performance for a subsequent tenured position as well as the promise of a tenured position in the event of a successful probationary period.

The final evaluation must involve at least two external experts with international credentials. If it appears to be warranted by the specialist profile of the professorship, reviewers from outside

Germany are to be involved in the evaluation procedure. In all other matters, the provisions set out in part 1, III, apply accordingly.

### **III. Evaluation criteria**

All the junior lecturer's/ tenure-track lecturer's areas of responsibility are the focus of the evaluation: Research, teaching, and academic self-management. The area of academic self-management is generally accorded a lower priority.

The interim and final evaluations of the junior lecturer or tenure-track lecturer are based on the following evaluation criteria:

#### **III.1. Teaching**

1. Classes/ courses taught (type, workload, scope)
2. Teaching performance and didactic aptitude, documented by at least four teaching evaluations in the case of the interim evaluation;
  - the results of the teaching evaluations considered during the interim evaluation and at least two further teaching evaluations for a final evaluation
  - a statement by the Vice-Dean of Academic Affairs
3. Participation in university examinations and theses supervised
4. Supervision of students, participation in student advisory services
5. Teaching concepts, didactic method, teaching materials
6. Internationality
7. Other, e.g., teaching prizes

#### **III.2. Other criteria**

1. Courses on university teacher training, personnel and general management, and/or gender and diversity matters

#### **III.3. Research**

1. Quality and quantity of publications as sole author or as co-author
2. Academic lectures and participation in supra-regional symposia and events
3. Research projects (type, scope, innovative/ interdisciplinary in nature)
4. Third-party funding (amount, institution)
5. Academic collaboration and participation in joint research
6. (Co)organization of specialist conferences
7. Work for specialist organizations, education, government, or other institutions
8. Transfer activities (society, economy, politics)
9. Activities as a referee, reviewer
10. Other

#### **III.4. Academic management**

1. Membership on committees
2. Taking on extra responsibilities in the department
3. Other, e.g., pan-university projects





## Attachment 2

### Contents of junior lecturer's/ tenure-track lecturer's report on his/her work

Evaluation criteria and further information

#### A. Teaching

List of classes	<ul style="list-style-type: none"><li>- Degree course</li><li>- Semester</li><li>- Average number of students</li></ul>
Examinations	<ul style="list-style-type: none"><li>- Type of examinations</li><li>- Number of examinations</li><li>- First, second examiner or First, second examiner</li><li>- Major, minor subject</li></ul>
Supervised (Bachelor's, Master's, Staatsexamen etc.) theses	<ul style="list-style-type: none"><li>- Number</li><li>- Candidate</li><li>- Completed</li><li>- Current</li></ul>
Student teaching evaluation (interim evaluation: at least four courses; final evaluation: in addition, two further courses.	<ul style="list-style-type: none"><li>- Class type (as many different types as possible)</li><li>- Time taught (for interim evaluation: from the second semester following start of the junior lectureship, in the second and in the third year; for final evaluation: from fifth year on)</li></ul>
Supervision, advice for students	<ul style="list-style-type: none"><li>- Participation in advisory services</li></ul>
Teaching concept and didactic methods	<ul style="list-style-type: none"><li>- Brief description</li></ul>
Teaching materials and indications of teaching effectiveness	<ul style="list-style-type: none"><li>- e.g. provide links to scripts used</li></ul>
Internationality	<ul style="list-style-type: none"><li>- Classes conducted in English or other language other than German</li><li>- Advising and support of international students</li></ul>
Advanced professional training	<ul style="list-style-type: none"><li>- Courses at the Center for Teaching and Learning</li></ul>
Other	<ul style="list-style-type: none"><li>- e.g. teaching prizes</li></ul>

#### B. Other criteria

Professional training/ courses on team leadership and management, gender and diversity matters

#### C. Research

Publications: (Sole author and/or co-author)	<ul style="list-style-type: none"><li>- Published (e.g. journal, book)</li><li>- Submitted</li></ul>
Academic lectures	<ul style="list-style-type: none"><li>- Invited</li><li>- Conferences etc.</li></ul>
Research projects	<ul style="list-style-type: none"><li>- Completed</li><li>- Current</li><li>- Applied for</li></ul>
Third-party funding	<ul style="list-style-type: none"><li>- Approved (third-party funding)</li></ul>

	- Applied for
Academic collaborations	- Internal - External (national and international)
(Co)Organization of specialist conferences	- List specialist conferences
Specialist societies	- Membership - Function
Transfer activities (society, economy, politics)	- Type of activities
Activities as a referee, reviewer	-
Other	-

#### **D. Academic self-management**

Academic self-management committees	- Membership/ committee
Taking on extra responsibilities in the department	- Teaching organization - Research organization
Other	- e.g., pan-university project (e.g., AG Prüfungsorganisation)

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#### **Part 3: Effective date**

This statute becomes effective on the day following its publication in the official notices - Amtliche Bekanntmachungen - of the University of Tübingen. It applies to assistant professors, tenure-track professors, junior lecturers and tenure-track lecturers who are appointed after the statute has come into effect. The first statute amending the quality assurance plan according to § 51 b LHG for assistant professorships with tenure track and evaluation statute regarding assistant professors and junior lecturers, of 11.01.2019 (Amtliche Bekanntmachung 2/2019 dated 21.01.2019), becomes invalid simultaneously.

Tübingen, 15.07.2021

Professor Dr. Bernd Engler  
President