



**Evaluation of
Junior Professorships with Tenure-Track
University of Freiburg, 19 February 2014**

Guidelines

The Rectorate of the University of Freiburg decided in meetings on 19 February 2014 and 3 April 2013 about modifications of the Guidelines from 29 February 2012 for the practical implementation of the legal requirements in Section 51 (7) sentence 2 and Section 48 (2) sentence 4 of the Baden-Württemberg Federal State Higher Education Act (LHG) and therefore the following updated Guidelines. The Guidelines were formulated in the German language, and the following is a translation thereof. In the event of any dispute or uncertainty, the original German version shall prevail.

I. Preamble

Under LHG Section 51 (7) sentence 1, Junior Professors are recognised as non-permanent civil servants [*Beamte/Beamtinnen*] for terms of up to four years maximum. Under sentence two of this provision the civil service status of the Junior Professor is to be extended by the chairperson of the Board to a total of six years with his/her consent and at the instigation of the Faculty concerned if he/she has proved himself/herself as a university teacher in the light of the results of an evaluation of his/her performance in research and teaching. Otherwise the civil service status may be extended by a period of up to one year with the Junior Professor's consent. Under LHG Section 48 (2) sentence 4 public advertisement of a professorial vacancy may be dispensed with and the appointment procedure accordingly simplified in cases where a Junior Professor is to be appointed to the corresponding full professorship, where in the notice advertising the Junior Professorship vacancy the prospect of subsequent transition to the full professorship has been made explicit, the criteria relating to suitability, capacity and relevant academic performance have been fulfilled, and an appropriate position is available (tenure-track).

These guidelines are intended to regulate the procedure for evaluation following the fourth year of a Junior Professorship with tenure-track. It complements the existing University of Freiburg guidelines entitled "Zwischenevaluation" (Interim Evaluation), dated 5 June 2008 and dealing with the extension of the contract period of Junior Professorships on the basis of an interim evaluation during the fourth year (irrespective of tenure-track), by adding the "Final Evaluation" phase.

II. Procedure for Evaluations

1. Timetable:

Evaluation takes place after the fourth year of a Junior Professorship and after a positive interim evaluation by the Faculty including handing over of the second certificate of appointment [*Ernennungsurkunde*] (two-year extension). In the event of a period of leave or absence resulting in prolongation of the period of service, this period will not be taken into account.

The detailed timetable is shown in the Appendix.

2. Initiation of the Procedure:

Once in possession of the second *Ernennungsurkunde* (two-year extension), the Junior Professor submits his/her application to the appropriate Faculty for initiation of the tenure procedure. The procedure is initiated when the Dean invites the Junior Professor to submit a self-evaluation report. Simultaneously with this invitation, receipt of the application is reported to the Rectorate by means of a forwarded copy.

3. Self-evaluation report by the Junior Professor:

The Junior Professor submits documentation of his/her performance record during the period of the Junior Professorship to date. The submission will comprise a personal statement and documentary evidence of performance (for further information see “III. Self-evaluation report by the Junior Professor”).

4. Evaluation of Research Performance:

The Rectorate appoints a Permanent Tenure Committee. This will be composed of external internationally recognized scientists, who could be members of the Advisory Committee or a successor, an appropriate proportion of members being women. It will be set up on a permanent basis and will exist independently of individual cases.

Upon receipt by the Rectorate, the application for commencement of the procedure will be forwarded immediately by the office of the Permanent Tenure Committee, which is located in the Rector's Office for Strategy and Excellence, to the Permanent Tenure Committee.

The Committee appoints a minimum of three external referees, who submit their written reports of the Junior Professor's research performance. The referees must be researchers of acknowledged excellence (full professor or equivalent). They are usually nominated by European scientific organisations (e.g. Austrian Science Fund (FWF), Swiss National Science Foundation (SNSF), NWO etc.). The professional and personal independence of the referees and of the Junior Professor must be vouched for.

As the basis for their reports, the external referees will receive the section of the Junior Professor's self-evaluation report that relates to his/her research activity. The Junior Professor submits an English-language version of this part of the self-evaluation report to the referees. The research output must additionally be recorded on the University of Freiburg research database. Every Junior Professor is under an obligation to keep his/her research data in this database up to date.

The referees' role is confined to evaluation of the Junior Professor's research activity. They will receive this Guideline in German or English.

Their reports must contain answers to the following key questions:

- What contribution to research in the relevant subject area is made by the Junior Professor's work?
- How do you rate the research performance of the Junior Professor in relation to national and international standards?

These reports must be accorded a pre-eminent role in the outcome of the research performance evaluation. The Permanent Tenure Committee is not at liberty to disregard them in its evaluation of the Junior Professor's research performance unless they have been called into serious question by a written submission.

On the basis of the documentation submitted by the Junior Professor and of the external reports the Permanent Tenure Committee prepares a written report. This report comprises a description and critical evaluation of the research and an assessment of the Junior Professor's subsequent scientific development potential. The report concludes with a recommendation for granting or refusing tenure- (for further information see "V. Report by the Permanent Tenure Committee").

The Permanent Tenure Committee sends copies of its report and of the external reports to the Rector and the Faculty Board [*Fakultätsvorstand*].

5. Evaluation of teaching activity, leadership skills and activity in self-government:

Teaching performance, leadership skills and involvement in self-government are evaluated by the Faculty. Responsibility for this rests with the Faculty Board. With due account taken of the self-evaluation report submitted by the Junior Professor, the evaluation is to be based on the criteria numbered 2 to 4 of those listed under "IV. Evaluation Criteria".

6. The Faculty Decision:

Taking into account all submitted documentation (self-evaluation report by the Junior Professor, report of the Permanent Tenure Committee) and its own evaluation under paragraph 5 above, the Faculty Board following consultation at Faculty Council [*Fakultätsrat*] reaches a decision on granting or refusing tenure. The outcome of the decision process is recorded in writing and will contain the results of the Faculty Board voting and the reason(s) for the vote (for further information see "VI. Faculty Board Recommendation"). The decision is communicated to the Rector immediately in writing.

7. Final Decision by the Rectorate:

The Rectorate takes the final decision on granting or refusing tenure on the basis of the report by the Permanent Tenure Committee and the decision of the Faculty Board.

8. Subsequent Abbreviated Appointment Procedure:

If the decisions reached by both the Faculty Board and the Rectorate are favourable, an abbreviated appointment procedure is initiated forthwith. Public advertisement is not necessary. The research performance reports obtained by the Permanent Tenure Committee may be made as the basis for the Appointment Committee's decision. The Appointment Committee creates a one-candidate list, which the Faculty then submits to Senate and Rectorate for their decision. Provided that the Ministry of Science has notified its consent, the Rector invites those concerned to take part in appointment negotiations during which, on the basis of a position paper, the budget allowance and salary will be determined. On acceptance of the offer of appointment the tenure and appointment procedure has reached its conclusion.

III. Self-evaluation report by the Junior Professor:

The self-evaluation report by the Junior Professor has two parts: a personal statement and documentation.

The personal statement describes the activities of the preceding years during the Junior Professorship. Separate account should be given of the three relevant areas: research (this section must be in English), teaching, and committee work. The personal statement affords the Junior Professor the opportunity to outline his/her areas of research focus, indicating their relative importance. In this context of critical self-evaluation, the Junior Professor should not report on successes alone, but also describe problems and his/her approaches to solving them. The personal statement should not exceed ten pages in length.

Documentation to be submitted by the Junior Professor, which should consist essentially of an organised factual listing, should cover the following topics:

1. Research (to be submitted in English):

- Listing and brief explanation of the principal research topics
- Description of cooperation with other research groups (intra-university)
- Research cooperation and interdisciplinary cooperation at regional, national and international level
- Publications during the reporting period
- Proposals for third-party (external) funding, and third-party funding attracted during the reporting period
- Awards and prizes during the reporting period
- Membership of scientific committees
- Supervision of doctoral theses and/or activities promoting early career researchers
- Transfer activities (economy and industry, public administration, political) and/or cooperation with professional practice

2. Teaching:

- Brief account of involvement in study programmes
- List of subjects taught and brief account of the teaching contents
- Explanation of the teaching formats, didactic and methodological approaches used; use made of new media
- Advising and supervision of students
- Involvement in examinations
- Supervision of degree dissertations (Bachelor's, Master's, ...)
- Internationality (advising and supervision of exchange students and foreign doctoral candidates, participation in international inter-university cooperation, courses taught in English or other foreign languages, etc.)

3. Self-government, university working groups, own continuing education:

- Brief account of the activities concerned and of the applicant's contribution

IV. Evaluation Criteria:

The evaluation is based on criteria already proven in use in nationally and internationally recognised procedures for the assessment of academic performance.

The list of criteria provided below reflects, on the one hand, the consideration that in the interests of university quality standards in general these criteria should be applied in practice as consistently as possible, and, on the other hand, the necessity to take adequate account of the diversity of existing academic subject cultures. The possible framework that these criteria offer for structuring the evaluation may therefore be extended or narrowed in scope, depending on the particular subject concerned.

1. Research:

- Quantity and more particularly quality of publications, demonstrated by:
 - Plausibility, methodological soundness and innovative nature of the research project or contribution to the development of the research field
 - Citations: impact factor of the journals
 - Reception and evaluation of the research publications
- Third-party funding attracted (extent, institution)
- Breadth and depth of the issues researched and of the publications
- Advances in scope and innovativeness of the research approaches as compared with the doctoral thesis
- Autonomy and initiative in scientific approach
- Openness to and aptitude for interdisciplinary research
- Importance of the research work in an international comparison
- Scientific cooperations with other university and non-university research institutes, international cooperations, joint publications, expert meetings
- Cooperations with cultural, social and scientific institutions and those representing commerce and industry, on issues of basic, applied and product-oriented research
- Activities as editor, sub-editor and reviewer for scientific journals and other publications

2. Teaching:

- Subject knowledge (theoretical foundations, subject didactics)
- Advisory ability
- Teaching evaluation by students
- Teaching skills (communication, presentation of knowledge, teaching materials, etc.)
- Use of multimedia and development of students' multimedia competence
- Teaching spectrum
- Internationality

3. Leadership skills:

- Own continuing education, conducted externally
- Participation in elements of University of Freiburg staff development programme
- Documentation of leadership experience (e.g. research group leadership)

4. Committee work/Non-university activities:

- Involvement in departmental and University committee work
- Activities on behalf of scientific or professional associations
- Own continuing education.

V. Report by the Permanent Tenure Committee:

The written report of the Permanent Tenure Committee summarises the documentation submitted by the Junior Professor together with the external reports. This summary is the basis for its recommendation for granting or refusing tenure.

The final assessment should be based on the criteria listed under section 1 (research), under the heading "IV. Evaluation Criteria", and should conclude with a rating of the Junior Professor in relation to German and international standards.

The report should be structured as follows:

1. Summary (basic conditions, principal results, recommendations)
2. Introduction
 - 2.1 Circumstances particular to the evaluation (procedure followed, description of the self-evaluation report, selection of external referees, details of the referees)
 - 2.2 Criteria and standards applied in the evaluation
3. Description and profile of the research
 - 3.1 Research focus
 - 3.2 Description of the individual performance
 - 3.3 Scientific cooperations (university and non-university, international)

VI. Recommendation of the Faculty Board:

So that recommendations from the Faculties may in the interests of comparability be presented as standardised as possible, they should be structured as follows:

1. Summary (basic conditions, principal results, recommendations)
2. Introduction
 - 2.1 Circumstances particular to the evaluation (procedure followed, description of the self-evaluation report)
 - 2.2 Criteria and standards applied in the evaluation
3. Comment on the Permanent Tenure Committee's evaluation of the research performance
4. Description of teaching
 - 4.1 Description of the subjects
 - 4.2 Supervision and advising of students and doctoral candidates
 - 4.3 Teaching skills
5. Description of committee work and non-university activities
6. Findings and assessments
 - 6.1 Basic conditions (subject-specific characteristics)
 - 6.2 Separate evaluation of the performance in teaching/committee work and non-university activities in a German and in an international comparison
 - 6.3 Evaluation of the overall performance
 - 6.4 The Junior Professor's prospects for future development
7. Recommendation by the Faculty Board to the Rectorate indicating the status of the (full) professorship: entry-level professorship [formerly the C3 position], professorship with management responsibilities [formerly the C4 position] or leading professorship [formerly the higher ranked C4 position]

VII. Effective Date:

These Guidelines will be published in an appropriate form by the Rector. They will come into effect on the day following publication.

Appendix: Timetable

Appendix to Guidelines for the Evaluation of Junior Professorships with Tenure-Track

Procedural Step	Duration	Timeline (countdown to end of 5 th year of service)
1. Application by Junior Professor to Dean's office of the corresponding faculty for the initiation of the tenure procedure.		8 months
2. Procedure set in motion by Dean's office: the Junior Professor is invited to submit his/her self-evaluation report. Application forwarded to the Rectorate and from there copied to the Permanent Tenure Committee.	2 weeks	7 ½ months
3. Self-evaluation report by Junior Professor submitted to Dean's office and forwarded to Rectorate. Permanent Tenure Committee nominates external referees.	4 weeks 4 weeks	6 ½ months 5 ½ months
4. Permanent Tenure Committee invites the referees to evaluate the research performance of the Junior Professor.	2 weeks	5 months
5. Submission of the reports.	8 weeks	3 months
6. Analysis of the reports and evaluation of the Junior Professor's performance by the Permanent Tenure Committee. Issue of recommendation subsequently sent to Faculty Board and Rector.	4 weeks	2 months
7. Faculty Board's evaluation of performance in teaching and self-government.	4 weeks	1 month
8. Decision at Faculty Board level after discussion at Faculty Council. Outcome reported to Rector.	2 weeks	½ month
9. Rectorate's decision on granting or refusing tenure.	2 weeks	
10. Abbreviated appointment procedure now follows.		In 6 th year of service