



# UniReport

Goethe-Universität | Frankfurt am Main

Satzungen und Ordnungen

## Code of practice governing conversion to indefinite-term professorships with promotion in the framework of tenure-track procedures (Tenure-track Rules).

Approved pursuant to the decision of the Executive Board of 30.08.2016 and of the Senate of 21.09.2016.

### I. Preamble

Goethe University Frankfurt wants in particular to offer outstanding scholars a long-term professional perspective.

To this purpose, Goethe University Frankfurt first of all advertises tenure-track professorships with a fixed term of up to six years. These are posts at W1 level with the prospect of promotion to an indefinite term professorship (W2) as well as posts at W2 level with the prospect of promotion to an indefinite-term professorship (W3).

### II. Procedure

A tenure-track procedure comprises the appointment stages, the progress made, interim evaluation and tenure-track evaluation.

#### II. 1 Appointment

Unless governed otherwise in this Code, appointment to a tenure-track professorship follows the general rules for W2/W3 professorships of the Code of Practice for Appointment Procedures of Goethe University Frankfurt as last

amended. The percentage of tenure-track professorships may not exceed a maximum of 25 % of the total numbers of professors in a faculty.

#### II. 2 Appointment Committee

The composition of the Appointment Committee follows the Code of Practice for Appointment Procedures.

An external faculty or university member in the Appointment Committee should assist in the entire tenure-track procedure and issue a statement both in the interim and the final evaluation.

#### II. 3 Special parties in the tenure-track procedure

In addition to the parties listed in the Code of Practice for Appointment Procedures, the following parties also contribute to the tenure-track procedure:

#### II. 4 Mentor

The faculties nominate persons from amongst their professors who are available for the task of mentor. The number of mentors must reflect the number of tenure-track professorships.

In the course of appointment negotiations, the candidate may select a mentor from the aforementioned group. This mentor accompanies and advises the candidate, should he/she so request, throughout the entire tenure-track procedure.

Should a mentor withdraw from Goethe University Frankfurt, he/she

may - at the explicit request of the candidate – continue as mentor in the appointment procedure. Alternatively, the candidate may select a new mentor.

#### II. 5 External Permanent Committee

For quality assurance purposes and to ensure that quality standards are continuously applied, the President is assisted in the tenure-track procedure by an external Permanent Committee comprising four members; arts and humanities, social, life and natural sciences must all be adequately represented. The President submits a list of the members of the Permanent Committee to the Senate for information purposes. The President appoints the committee members for an initial period of six years; re-appointment is possible. If necessary, the President may engage further external permanent committees. Composition and appointment follow the aforementioned rules. The Permanent Committee is informed once a year about all ongoing tenure-track procedures.

In accordance with this Code, the Permanent Committee assists in the presentation of the Appointment Report as well as in the interim and final evaluation.

In the exercise of its duties, the Permanent Committee may request external assessment reports at any time.

#### II. 6 Rules on conflict of interest

The rules on conflict of interest set down in the Code of Practice for Appointment Procedures apply for all parties engaged in the tenure-track procedure – with the exception of the mentor and the Dean.

## II. 7 Appointment Report

The faculty submits the Appointment Report to the Permanent Committee via the President for comment.

The Permanent Committee may make the following recommendations:

- Consultation in the Senate and appointment by the President
- Invitation to further candidates to hold an open lecture before the university public
- Return of the appointments list to the Appointment Committee for revision
- Rejection of the appointments list.

The President decides on the proposed measures and on appointment under consideration of the recommendation of the Permanent Committee.

## II. 8 Agreement on objectives

When an appointment agreement is concluded, an agreement on objectives is drawn up which forms part of the appointment agreement as an appendix. In the framework of the agreement on objectives, specific targets in the areas of research, teaching, acquisition of third-party funds, further training, integration in the faculty and academic autonomy with milestones for the interim evaluation and tenure-track evaluation are agreed. A list of criteria is made available for compiling an agreement on objectives.

## II. 9 Progress made

On the basis of the agreement on objectives concluded in the framework of his/her appointment, the candidate compiles a short report once respectively between his/her appointment to a professorship and the interim evaluation and between the interim evaluation and the tenure-track evaluation on his/her achievements and progress and

submits this report to the President. Additionally, the candidate discusses his/her own progress with the Dean in the presence of his/her mentor. The Dean's Office documents the main contents of this discussion. The short reports as well as the notes from the discussion are included in the documents for the interim and the tenure-track evaluation in the form of a standardised short report.

## II. 10 Interim evaluation

In due time before the end of his/her third year in office, the candidate applies in writing to the President via the Dean for the interim evaluation procedure to commence.

The interim evaluation follows the procedure below:

a) Together with his/her application, the candidate submits a self-evaluation report containing the following documents:

- Curriculum vitae
- Presentation of teaching and research achievements measured against the academic targets set down in the agreement on objectives
- List of publications (categorised by peer-reviewed original publications, book contributions, editorial work etc.); a selection of relevant publications may be included.
- Overview of third-party funding raised (peer review and other procedures should be listed separately) with list of total funding amounts
- Details of collaborative partnerships in research and teaching as well as of other academic activities
- Presentation of teaching and research targets for the next three years
- Presentation of teaching portfolio under consideration of the topics set down in the agreement on objectives and including an overview of courses and number of examinations conducted (both in chronological order), including results of course evaluations
- Overview of completed and ongoing theses and doctoral examination procedures supervised by the candidate

- Involvement within the context of academic autonomy and integration in the faculty
- Further training undertaken (e.g. training in university teaching).

b) The Dean requests two external assessment reports and a statement from the mentor assisting in the procedure, which are primarily related to the candidate's personal development. Suggestions for external assessors are agreed with the Executive Board in accordance with § 6 of the Code of Practice for Appointment Procedures.

c) The Dean submits an evaluation report to the President, which apart from the candidate's self-evaluation report, the external assessment reports and the mentor's statement also includes a short report (cf. II. 9).

d) The President forwards the submitted documents to the external Permanent Committee responsible. The Permanent Committee's statement should present in particular the candidate's qualitative development and his/her achievement of the agreement on objectives.

e) On the basis of the submitted documents and the statement by the external Permanent Committee responsible, the President issues a statement in which are formulated the further expectations on the candidate which must be fulfilled in order for a tenure-track procedure to be successful.

f) On the basis of the President's statement, the Dean and the mentor agree an action plan with the candidate which must be submitted to the President.

The submission of the action plan concludes the interim evaluation.

The procedure should be completed at the latest five months after the candidate has submitted his/her documents.

## II. 11 Tenure-track evaluation

a) At the latest 1.5 years before the end of the fixed-term contract, the candidate applies in writing for the tenure-track evaluation to commence.

This application must be submitted to the President via the Dean. The Dean includes in the application his/her suggestions for the appointment of members of the Evaluation Board.

Timely submission of the application with all the required documents is the responsibility of the candidate. The procedure is deemed to have ended unsuccessfully should the candidate fail to observe the closing date or declares in writing that he/she wishes to dispense with a tenure-track evaluation. In such cases, the employment relationship is terminated when the fixed-term professorship ends.

b) The Evaluation Board comprises at least three professors, including one external member as well as a member of another faculty, a member of the non-professorial academic staff and a representative of the student body. The Evaluation Board should include at least one female scholar.

The Gender Equality Officer of the faculty participates as a member in an advisory capacity. She has right of access to the files and receives all meeting documents. Should the Evaluation Board be extended, the ratio of the status groups must be taken into account.

The composition of the Evaluation Board is presented to the Senate for comment.

c) A self-evaluation report by the candidate is submitted together with the application, which apart from the documents listed in II. 10 a) must also include the following documents:

- Presentation of teaching and research targets for the next five years
- Report on the implementation of the action plan set down in the interim evaluation

d) The Dean arranges for the candidate to hold a lecture within the faculty which takes place in the presence of the external members of the Appointment Committee accompanying the procedure, the mentor and the Evaluation Board. The Dean submits the following supplementary documents to the President:

- The Dean's statement on the progress made by the candidate

- The mentor's statement on the candidate's personal development

- The statement by the external assisting member of the Appointment Committee on the candidate's fulfilment of the expectations expressed when the post was advertised and on his/her integration in the specialised community at the University and at international level

- An assessment of the candidate's teaching portfolio by the Dean of Studies

- The Student Council's statements on the candidate's teaching performance

e) In agreement with the Dean and as far as possible, the Evaluation Board proposes to the President ten external assessors of which four may be nominated by the candidate and must be indicated as such.

f) On the basis of these proposals, the President appoints at least six external assessors. Reaching a decision in the framework of the tenure-track evaluation requires at least three external assessment reports. All application documents as well as the following additional documents are made available to the assessors:

- The agreement on objectives set down in the framework of the appointment agreement

- The interim report

- The action plan following the interim evaluation

- The self-evaluation report

- The assessment of the teaching portfolio by the Dean of Studies and the Student Council's statement on the candidate's teaching performance

g) The assessors are requested to conduct an evaluation on the basis of standardised criteria for the respective subject cluster.

Evaluation criteria are publications with a substantial own contribution in peer-reviewed journals, third-party funds raised in competitive procedures (EU, German Research Foundation, Federal Ministry of Education and Research, etc.), role of spokesperson or participation in coordinated joint research projects (e.g. CRCs, RTGs, EU, etc.), support for early career researchers as well as

quality in academic teaching, as illustrated by the teaching portfolio.

A positive tenure-track evaluation is conditional either on excellent research achievements that are regarded as leading in an international comparison together with very good accomplishments in academic teaching or excellent achievements in academic teaching together with very good accomplishments in research.

The assessment reports are forwarded to the Dean in anonymous form for presentation to the Evaluation Board.

h) The Evaluation Board reaches a decision on the basis of all the available documents and assessment reports as well as under consideration of the evaluation criteria specified in f), which is made known to the Dean.

i) The Dean presents all the information that forms the basis for a decision to the Faculty Council and submits the decisions of the Evaluation Board and the Faculty Council to the President.

j) The President forwards the documents to the external Permanent Committee for its final statement.

k) On the basis of the statement by the external Permanent Committee and the other documents submitted, the President reaches a final decision on the outcome of the evaluation. His/her decision is based on the evaluation criteria specified in f). The President additionally examines whether the expectations associated with the candidate's appointment have been fulfilled. The entire evaluation procedure should be completed at the latest after one year.

In the case of a positive evaluation, tenure is approved and the candidate is promoted to a higher office following a Senate statement issued by the President. Negotiations on resources and salary are held.

In the case of a negative evaluation, the contractual relationship ends after six years at the same time as the fixed-term employment relationship.

### III. Derogation

a) In the framework of retention negotiations with assistant professors or W2 professors or qualification-stage professors (W1) without tenure track, a tenure-track option may be approved (§ 63 (1) of the Hessian Higher Education Act). An agreement on objectives must be concluded as an appendix to the retention agreement. The external Permanent Committee is informed of the procedure.

b) To defend against an external call to an at least equivalent lifetime professorship at another recognised university/research institution or if the candidate's performance is unquestionably outstanding (e.g. Leibniz Prize), the tenure-track evaluation can be waived. An Executive Board decision based on a statement by the external Permanent Committee is required for this purpose.

#### **IV. Entry into force**

This Code of Practice enters into force following the decision by the Executive Board and the approval of the Senate on the day after its publication in UniReport.

The code of practice governing indefinite-term professorships in the framework of tenure-track procedures which entered into force on 12.11.2012 and 10.12.2014 apply for all tenure-track posts advertised up until the entry into force of the amendment to the Hessian Higher Education Act on 10.12.2015.

Frankfurt am Main,  
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Professor Birgitta Wolff  
President

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