

Bayreuth-Track Concept

Quality Assurance Concept for Tenure Track Procedure
at the University of Bayreuth



Since its foundation in 1975, the University of Bayreuth has succeeded in occupying an outstanding position among Germany's smaller universities. In order to continue attracting top international researchers to Bayreuth, the promotion of early-career scholars is one of the most important tasks of the University of Bayreuth. Appropriate structural and individual measures should make it possible for young scientists to pursue careers within the university in order to attract the best talents in the early stages of their careers to the University of Bayreuth.

The concept "Bayreuth Track" presented here, the University of Bayreuth's Tenure Track System, establishes a career path for early-career scholars at an early stage in their careers, which, within the framework of a Tenure Track Process, offers an individual opportunity for development from junior professorship to a W3 professorship. Within the framework of a uniform, transparent and university-wide procedure, young scientists can better plan their scientific careers and gain independence at an earlier stage. The core element of the Bayreuth-Track concept is its quality-assured scientific evaluation according to internationally recognised standards.

Here, the University of Bayreuth, as a rather small university with a clear profile and a pronounced research orientation, sees a strategic opportunity in competing for the best minds of outstanding potential.

The present document, *Bayreuth-Track Concept - Quality Assurance Concept for Tenure-Track Procedure at the University of Bayreuth*¹ is a development of the *Bayreuth-Track Concept for Personnel Development of Professors at the University of Bayreuth*, which was adopted in 2014 and has since been applied several times.

¹ Like the Bayreuth track concept of 21.10.2014, this revised version is also to be seen as a quality assurance concept according to Article 18 para. 3 sentence 5 BayHSchPG (Bavarian Higher Education Act).01

Part A - General principles

At the University of Bayreuth, a two-stage, quality-assured procedure for the evaluation of junior professorships is carried out with Tenure-Track. The central procedural steps of the Tenure-Track concept are appointment, interim evaluation and tenure re-evaluation. At the faculty level, an independent commission is set up for each procedural step (Appointment Commission, Interim Evaluation Commission and Tenure Evaluation Commission). In order to be guarantee comparable standards for all Bayreuth-Track processes university-wide, the permanent Bayreuth-Track Commission (Presidential Committee for Scientific HR Development, see § 24 Constitution of the University of Bayreuth) is also involved in tenure evaluation.

The Bayreuth-Track Commission is responsible for the implementation of the Bayreuth-Track procedure by supporting the University of Bayreuth in its objective of creating predictable and reliable career prospects for young scientists. The Bayreuth-Track Commission, which is chaired by the Vice President for Research & Junior Scholars, is responsible for tenure re-evaluations and ensures that uniform quality standards are maintained university-wide for all Tenure-Track appointments.

The performance agreement shall contain criteria in the categories of Research and Academic Teaching, and may also include criteria in the categories of Third Mission and Academic Commitment. Depending on the academic career level, different expectations are placed on the performance of professors in these evaluation categories. In order to ensure transparency and certainty, the Guidelines for the Supervision and Evaluation of Junior Professorships define criteria for the preparation of individual performance agreements for each of these categories, which are used to evaluate the candidates in accordance with the assessment standards customary in the respective subject area around the world.

Part B - Implementation of the procedure

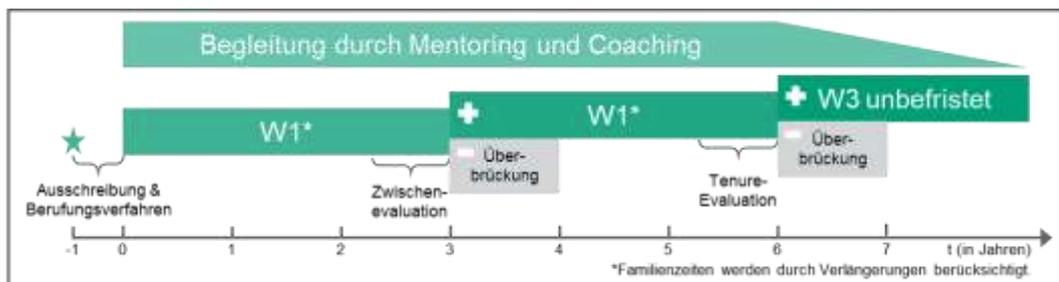


Figure 1: Basics of the W1-W3-Bayreuth Track Model (schematic representation)

Call for application and appointment procedure

In order to attract outstanding early-career scholars to the University of Bayreuth through attractive career prospects, W1 professorships at the University can be advertised from 01.01.2019 with Tenure-Track to W3 (cf. Figure 1 for schematic illustration). The call for application confirms the provision of a W3 professorship. Appointment to the W3 professorship is solely dependent on the results of the tenure evaluation.

The basic strategic decision for the choice of Bayreuth-Track to W3 professorship as the entry-level form is made with the announcement of the professorship. University management decides on the call for application on the basis of a proposal from the faculty. All junior professorships (W1) with Tenure-Track are advertised publicly and internationally. The number of W1-W3-Bayreuth-Track calls for application is set at a maximum of 20 % of the total number of appointments per year.

The procedure corresponds to a regular appointment procedure. The legal provisions of the Bavarian Higher Education Personnel Act (BayHSchPG) apply to the appointment procedure. The appointment procedure is based on the Bayreuth-Track Statement of the University of Bayreuth and the Guidelines for Appointment Proceedings of the University of Bayreuth in its currently valid version. An appointments committee is tasked with carrying out the procedure. The selection of candidates is on the basis of merit. When selecting the candidates short-listed in the proposal for appointment, particular importance is attached to the assessment of the potential of the possible future holder of the post.

Once the appointment has been made, individual appointment negotiations take place in which, in addition to the usual subjects of negotiation, a performance agreement is developed which contains the criteria for interim and tenure evaluation. Upon completion of the appointment procedure, the Vice President for Research & Junior Scholars is responsible for monitoring the further development of the Bayreuth-Track Professor and ensuring that the interim and tenure evaluations are carried out in accordance with the present quality assurance concept.

Junior professor guidance

The Vice President for Research & Junior Scholars is the first point of contact for the junior professor. In the second and fourth years, at the initiative of the junior professor, a discussion takes place between him or her, the respective dean and the Vice President for Research & Junior Scholars on his or her development, for the purpose of individual orientation and monitoring of his or her achievements.

During the W1 phase, the junior professor also acquires the "Bayreuth-WiN-Certificate" for targeted personnel development of junior scholars at the University of Bayreuth. As part of this certification, it is possible to take advantage of the voluntary "Mentoring & Coaching" module.

interim evaluation

The purpose of the interim evaluation is to determine whether the junior professor has proven his/her worth as a university teacher in terms of his/her teaching and research achievements (article 15 para. 1 sentence 2 BayHSchPG (Bavarian Higher Education Personnel Act)) and to provide guidance on the further course of his/her career. The interim evaluation takes place during the third year of a junior professorship. In the event of a leave of absence or leave of absence leading to an extension of the temporary employment relationship in accordance with § 5 of the Bayreuth-Track Statement of the University of Bayreuth, the time until the interim evaluation is extended accordingly.

The interim evaluation takes place on the basis of the criteria laid down in the performance agreement. For the interim evaluation, an interim evaluation committee is appointed at faculty level, consisting of at least six members: three or more professors and one representative each of mid-level academic staff and students, as well as the women's representative.

One professor must come from another subject area. The representative of the mid-level academic staff and of the students is involved in the evaluation committee in an advisory capacity. The women's representative has voting rights. The interim evaluation commission prepares a written report on the development of the junior professor to date, on which he or she can comment. Details of the interim evaluation procedure are governed by the Bayreuth-Track Statement of the University of Bayreuth and the Guidelines for the Supervision and Evaluation of Junior Professorships in their currently valid version. If the junior professor has not proven their worth as a university teacher, the civil servant status will be extended by up to one year at the request of the junior professor.

tenure evaluation

Tenure evaluation serves to determine whether the junior professor is suitable for acceptance to the permanent, higher-grade professorship.

Tenure evaluation usually takes place in the sixth year at the request of the junior professor on the basis of the criteria laid down in the performance agreement. After successful interim evaluation, the junior professor has the option, in justified exceptional cases, to apply for tenure evaluation at an earlier point in time. Special exceptions include, in particular, an invitation to interview as part of the selection procedure for a W3-equivalent position at a research university, or exceptional achievements (e.g. ERC Grant, Leibniz Prize). In the event of a leave of absence or leave of absence leading to an extension of the fixed-term employment relationship in accordance with § 5 of the Bayreuth-Track Statement of the University of Bayreuth, the period before the interim evaluation is extended accordingly.

For tenure evaluation, a tenure evaluation committee is appointed by the faculty council in agreement with University management. The tenure evaluation committee is composed of at least five professors and one representative each of mid-level academic staff and students. One professor must come from another faculty. The women's representative of the faculty has voting rights. University management also appoints a tenure evaluation rapporteur as a further member of the tenure evaluation committee. Two of the professors are appointed as temporary members of the Bayreuth-Track commission for this procedure.

The tenure evaluation committee prepares a tenure report on the basis of a self-evaluation report by the junior professor, a scientific lecture with subsequent discussion, a selected teaching unit and three external, independent expert opinions by internationally renowned scientists, of which at least one should be prepared by a foreign scientist. The tenure report is made available to the junior professor by the tenure evaluation commission. The junior professor may then respond to the tenure report.

The documents of the junior professor are handed over to the Bayreuth-Track commission together with the tenure report by the tenure evaluation committee, the expert opinions and the response of the junior professor. The Bayreuth-Track commission confirms the completeness of the documents and the procedure, discusses the tenure report of the tenure evaluation committee, ensures that standards comparable throughout the university have been met, and provides University management with a positive or negative vote with regard to tenure promotion to W3. The Bayreuth-Track commission may request further documents, return the documents to the tenure evaluation committee for revision and/or hear the junior professor and persons involved in the procedure. On the basis of a positive vote of the Bayreuth-Track commission, the President shall appoint the professor to the civil servant position of unlimited tenure life at grade W3. In the event of procedural errors, the President

is legally entitled to return the tenure report to the tenure evaluation committee at his or her discretion. If the vote is negative, the appointment will not take place. The Senate is given the opportunity to comment on every case in advance. The Bavarian State Ministry of Science and the Arts receives a copy of the decision.

After the junior professor has been appointed, appointment negotiations are held on the filling of the W3 professorship. After a positive tenure evaluation and acceptance of the appointment, appointment as a W3 professor for life is made, provided that requirements under civil service law are fulfilled. In the event of a negative decision, the junior professor receives written notification from the President, stating the reasons for the decision. In addition, the temporary civil service relationship can be extended by up to one year in accordance with article 15 para. 1 sentence 4 BayHSchPG (Bavarian Higher Education Personnel Act) in order to bridge the gap to a subsequent career stage.

Details of the tenure evaluation procedure are governed by the Bayreuth-Track Statement of the University of Bayreuth and the Guidelines for the Supervision and Evaluation of Junior Professorships in their currently valid version.

Part C - Supplementary provisions for "Endowed professorships."

Junior professorships that are funded by foundation programmes for the purpose of establishing innovative research fields and teaching concepts can, in accordance with the procedure described in Section B, be offered the prospect of a W3 professorship at the time of appointment following successful interim evaluation and positive tenure evaluation.