

Tenure Track Regulations of Technische Universität Berlin

(unofficial translation)

as of 05.12.2018

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Please note that this is an **non-binding translation** of the Tenure Track Regulations of Technische Universität Berlin as of 5th December 2018 (Official Gazette (AMBI.) TU 3/2019, 23.01.2019, p. 17ff).

In case of inconsistency between the German and the English version [the German version](#) of the agreement prevails.

The Academic Senate of Technische Universität Berlin passed the following Tenure Track Regulations as a bylaw on 5 December 2018 on the basis of Section 9 (1) no. 5 of the Constitution of Technische Universität Berlin of 2 November 2005 and 8 February 2006 (Technische Universität Berlin Official Gazette no. 2/2006 p. 11 ff.), last amended on 13 December (Technische Universität Berlin Official Gazette no 18/2018, p. 178 ff.) in conjunction with Sections 101 (8) and 102c (4) of the Berlin State Higher Education Act (BerlHG) in the version of 26 July 2011 (Law and Ordinance Gazette 2011, p. 378 ff.), last amended on 02.02.2018 (Law and Ordinance Gazette 2011, p. 378 ff.), last amended on 13 December (Law and Ordinance Gazette 2018,P. 160).

Introduction

The tenure track procedure is intended to provide an attractive career path at Technische Universität Berlin for outstanding junior scholars in the early phase of their careers as well as to secure their long-term commitment to the University. It is also intended to make it easier for junior scholars to reach a decision at an earlier stage concerning their long-term commitment to an academic career. Establishing a quality-assured procedure will increase transparency and facilitate the creation of uniform standards throughout the University.

Section 1 – Scope of application

(1) These regulations determine the procedure and quality standards for tenure track professorships at Technische Universität Berlin. The following additionally apply: the Constitution of Technische Universität in the version of 13 December 2017 (Technische Universität Berlin Official Gazette no. 18/2018), the appointment regulations of 16.01.2019 (Technische Universität Berlin Official Gazette no. 2/2019) and all other relevant Technische Universität Berlin legal provisions as well as legal provisions of the state of Berlin pertaining to public service and higher education in their most current versions. These regulations are preceded by the appointment regulations and all other relevant legal provisions at Technische Universität Berlin.

(2) Qualification assessment for junior professorships pursuant to Section 102b (2) BerlHG in conjunction with the guidelines for interim evaluations for junior professorships at Technische Universität Berlin of 27.10.2004 (Technische Universität Berlin Official Gazette no. 2/2005, p. 38 ff.) remain unaffected. In justified cases, the qualification assessment pursuant to Section 102b BerlHG and the tenure evaluation pursuant to Section 10 may be conducted simultaneously and separately for junior professorships with a tenure track pledge.

Section 2 – Clarification of terminology

(1) For the purposes of these regulations, a tenure track professor is defined as a holder of a tenure track junior professorship or a tenure track fixed-term civil service professorship or a tenure track fixed-term non-civil service professorship.

(2) For the purposes of these regulations, a lifetime professor is defined as a holder of a lifetime civil service professorship or a tenured professorship.

(3) For the purposes of these regulations, a tenure track pledge is a binding promise of appointment to a lifetime professorship upon the fulfillment of documented evaluation criteria for a tenure track professorship as well as the requirements for appointment to a lifetime professorship.

Part 1: Tenure track professorship

Section 3 – Evaluation criteria

(1) Clear and transparent evaluation criteria are to be established at the outset for tenure track professorships, upon which the evaluation of performance for appointment to a lifetime professorship is based. These criteria apply to the entire period of the tenure track professorship. Should these evaluation criteria not be fulfilled by the time the evaluation regarding tenure is conducted, the decision concerning the awarding of tenure is to be made on the basis of the applicant's prior achievements and a further assessment as to whether the criteria will be met during the course of the tenure track professorship.

(2) The evaluation criteria listed in Annex 1, item I. are directly binding for all tenure track professorships.

(3) In addition to the evaluation criteria referred to in subsection 2, additional evaluation criteria are to be established to reflect the culture of the specific discipline and the focus of the tenure track professorship. These are to be selected as appropriate from the list of evaluation criteria provided in Annex 1, item II. This list is not exhaustive.

(4) Proposed evaluation criteria as per subsection 3 are to be decided upon by the committees with responsibility for determining proposals for the scope of a tenure track professorship (Sections 21 (1) no. 2, 18 (1) no. 8 and 9 (1) no. 9 of the Constitution). Decisions regarding both proposals (evaluation criteria and scope) are to be made simultaneously. Proposed evaluation criteria as per subsection 3 together with the scope of the tenure track professorship shall be determined by the Executive Board (Section 4 (6) no. 6 of the Constitution). The proposed evaluation criteria shall be sent to the Senate Administration with responsibility for higher education together with the request for approval for the scope of the tenure track professorship.

(5) The evaluation criteria referred to in subsection 2 and the proposed evaluation criteria referred to in subsections 3 and 4 are to be published online when a tenure track professorship is advertised.

(6) Individual evaluation criteria are determined by the member of the Executive Board with responsibility for professorial appointments and the relevant dean after a discussion with the appointee and on the basis of the proposed evaluation criteria as per subsections 3 and 4 and taking appropriate account of the previous achievements and personal development goals of the appointee. Individual evaluation criteria including evaluation criteria as per subsection 2 are to be recorded in writing prior to appointment or before concluding a

contract in a document detailing the requirements to be fulfilled. These criteria are binding for the tenure evaluation procedure as per Part 2 of these regulations.

(7) A copy of this document is to be submitted to the Senate Administration with responsibility for higher education upon drafting.

Section 4 – Further details of the appointment procedure

(1) As a rule, tenure track professorships are advertised internationally. All tenure track professorships must be advertised. In addition to the details contained in the appointment regulations, the advertisement must include the following:

- Mention of the tenure track pledge
- Details of pay grades for the tenure track professorship and the lifetime professorship
- URL of the evaluation criteria published on the Internet in accordance with Section 3(5)

(2) The expert assessors appointed in accordance with the appointment regulations must be internationally recognized. Expert assessors from non-German universities should also be involved if the subject area requires.

Section 5 – Equipment and resources

Tenure track professors perform their duties autonomously. Tenure track professors are therefore provided with adequate resources to enable them to do so.

Section 6 – Mentoring

(1) Upon request of the tenure track professor, the dean will arrange for a mentor.

(2) The tenure track professor has right of proposal concerning the mentor. The tenure track professor may also request assistance in finding a suitable mentor. The mentor may not be the person the tenure track professor reports to and may not be from the same or a similar academic discipline as the tenure track professor. There should be regular contact between the tenure track professor and the mentor. Discussions are to be treated confidentially. The mentor may not be involved in either determining the qualification assessment or the tenure evaluation procedure.

Section 7 – Teaching evaluation procedure

In accordance with the regulations governing teaching evaluations at Technische Universität Berlin of 27 May 2009 (Technische Universität Berlin Official Gazette no. 6/2009), tenure track professors are required to complete at least two teaching evaluations before the commencement of the tenure evaluation procedure. There must be a period of at least one year between the commencement of teaching duties and the first teaching evaluation as well as between the first and second teaching evaluations.

Part 2: Transition to lifetime professorship

Section 8 – Establishing the tenure committee

The tenure committee is established by the respective faculty similar to an appointment committee pursuant to Section 10 and Section 11 of the appointment regulations. To ensure the involvement of external experts, at least one third of committee members may not be from the faculty where the tenure procedure is being conducted. The chair of the tenure board may appoint members of the tenure board to the tenure committee in accordance with Section 11 (3). In all other respects, Section 4 of the appointment regulations shall not apply.

Section 9 – Commencement of the tenure evaluation

(1) The tenure track professor must apply to the dean in writing to initiate the tenure evaluation procedure at least 15 months prior to the expiry of their tenure track professorship.

(2) Upon presentation of sufficient reason, the faculty board may grant an extension to the deadline for applying for a tenure evaluation, provided adequate time remains to complete the tenure evaluation before expiry of the tenure track professorship. Should this reason be illness, then this must be supported by an appropriate proof of illness provided by a medical practitioner.

(3) Applications to initiate a tenure evaluation must include a CV, a self-assessment report (see annex 2) written in English (and possibly German if specified) as well as teaching evaluations pursuant to Section 7. Pursuant to annex 3, the tenure track professor provides the dean with a list of activities undertaken. This shall form an additional basis for a statement concerning teaching achievements.

(4) Pursuant to annex 3, the dean is responsible for submitting the statement concerning teaching achievements.

(5) The dean forwards, without delay, the self-assessment report, the CV, and the statement concerning teaching achievements to the chair of the tenure committee and the chair of the tenure board.

Section 10 – Conducting the tenure evaluation

(1) At the start of the tenure evaluation procedure, the tenure track professor is given the opportunity to demonstrate in a discussion with the tenure committee and on the basis of their self-assessment report that they fulfill the requirements for tenure. Written minutes of this discussion are to be taken.

(2) As part of the procedure, three expert reports are to be obtained from external scientists with international reputations. At least one report must be obtained from outside Germany. These external assessors are to be provided with a documented record of the requirements for tenure, the self-assessment report and CV, the minutes of the discussion between the tenure track professor and the tenure committee and the statement on teaching achievements.

(3) On the basis of the CV and self-assessment report (Section 9 (3)), the discussion with the tenure track professor (sub-section 1), and the statement on teaching achievements (Section 9 (4)), and the expert reports (sub-section 2) the tenure track committee conducts an evaluation of the achievements and work of the tenure track professor in terms of the

individual evaluation criteria and the fulfillment of the requirements for appointment to a lifetime professorship.

(4) The tenure committee drafts a recommendation for appointment to a lifetime professorship and presents this to the faculty board (sub-section 2) and the tenure board (Section 11) together with the CV, the self-assessment report, the statement on teaching achievements, the minutes of the discussion (subsection 1) and the expert reports. The recommendation for appointment to a lifetime professorship is to be substantiated in full. Every member of the tenure committee may request that a vote deviating from the majority vote be attached.

Section 11 – Tenure board

(1) The Executive Board shall establish a tenure board to oversee the quality of the tenure track procedure.

(2) The tenure board consists of seven members. These members can be university professors or retired university professors. One must be or have been a member of the Freie Universität Berlin, one must be or have been a member of Humboldt-Universität zu Berlin and at least one person must be a member of a university from outside the Berlin-Brandenburg region. The spectrum of academic disciplines at Technische Universität Berlin must be sufficiently represented in the membership of the tenure board. Membership of the tenure board should include female researchers.

The Executive Board nominates members for the tenure board. The Academic Senate shall issue a statement on the proposed members. Thereafter the Executive Board appoints the members of the tenure board. Membership of the board runs for three years. In the event that new members of the tenure board have not been selected and approved to replace those whose period of office is expiring, the existing tenure board shall continue to perform its duties until the appointment of the new board. The tenure board regulates details of the chairmanship, dates, invitations or votes by means of rules of procedure.

(3) The main tasks of the tenure board are as follows:

- The tenure board examines the transparency of the tenure procedure in accordance with Section 12 (1 and 2).
- Pursuant to Section 8 and upon application to the tenure committee, the chair of the tenure board may also appoint two members of the tenure board to the tenure committee. Members of the tenure board have the right to speak and present motions in the tenure committee.

(4) In the interests of developing Berlin as a center of science and research, the tenure board is to meet at least once a year with the relevant committees of Freie Universität Berlin and Humboldt-Universität zu Berlin to ensure consistency concerning the qualitative requirements of the tenure track procedure.

Section 12 – Decision concerning tenure

(1) On the basis of documents presented as per Section 10 (4), the tenure board examines the transparency of the procedure conducted by the tenure committee. The chair of the tenure committee, the women's representative of the relevant faculty, the representative for staff with disabilities as well as the tenure track professor themselves may attend this session in person.

(2) The tenure board agrees on a written statement concerning the transparency of the procedure. The vote of the members of the tenure board may be recorded in the written procedure.

(3) As soon as complete, the chair of the board submits the tenure board's written statement together with the documents relating to the tenure evaluation procedure to the appropriate dean and the Executive Board.

(4) In accordance with Section 18 (1) no. 6 of the Constitution of Technische Universität Berlin, the faculty board of the relevant faculty decides on the basis of the recommendation of the tenure committee and the statement of the tenure board whether to nominate the tenure track professor for a lifetime professorship. Should the faculty board's decision be favorable, the procedure will proceed in accordance with Section 16 (1ff.) of the appointment regulations.

(5) The tenure track professor shall then be informed of the decision to apply for an appointment as lifetime professor to the relevant member of the Berlin Senate as well as the key reasons for this decision.

(6) If the faculty board decides against appointing the tenure track professor to a lifetime professorship, then the tenure track professor will be informed of this by the president of Technische Universität Berlin. If the tenure evaluation proves unsuccessful, the faculty board may, in accordance with Section 102c (5) BerlHG and upon request of the tenure track professor, submit an application to the relevant administrative authority for a one-year contract-phase-out period.

(7) The tenure evaluation should be completed at the latest six months before the expiry of the tenure track professorship.

Section 13 – Special arrangements for joint appointments

(1) The establishment of a tenure track professorship to be filled as a joint appointment with a non-university research institute is dependent on an unconditional and unreserved approval of funding from the non-university research institute. This also applies to the related lifetime professorship should the joint procedure extend to include this.

(2) The proposal for the professorship-specific evaluation criteria pursuant to Section 3 (3) and Section 3 (4) sentence 1 shall be adopted in agreement with the non-university research institution.

(3) Additional to Section 3 (6), the individual evaluation criteria shall be determined in consultation with a member of the non-university research institution appointed by the non-university research institution.

(4) The composition and voting rights of tenure committees is determined by Section 10 (6) of the appointment regulations. The establishment of separate tenure committees is excluded in the tenure track procedure.

Section 14 – Special arrangements for program-funded professorships

(1) Individual evaluation criteria should reflect the objectives of the funding program for Heisenberg professorships funded by the German Research Foundation (DFG) and comparable professorships.

(2) If such funding programs provide for comparable tenure evaluations for lifetime professorships, the evaluation procedure can, in part, be assumed by the faculty board.

Section 15 – Entry into force and regulations for transition

(1) These regulations take effect on the day after their publication in the Technische Universität Berlin Official Gazette.

(2) These regulations apply to all tenure track professorships advertised after these regulations take effect. For tenure track professorships whose scope is approved prior to the entry into force of these regulations, the decisions referred to in Section 3 (4) must be obtained prior to the advertising of the professorship.

(3) For tenure track professorships which have already been advertised at the time these regulations become effective but for which no appointment has been made, it can be decided in discussion with the appointee whether to abide by these regulations or not. If a decision is taken to do so, then the decisions referred to in Section 3 (4) must be obtained retroactively.

(4) For tenure track professorships which have already been filled by the time these regulations take effect, the decisions passed by the Academic Senate of Technische Universität Berlin on 28.05.2008 (session 664), 04.11.2011 (session 699) and 28.08.2012 (session 715) remain in force.

Annexes

Annex 1: Evaluation criteria

Annex 2: Writing a self-assessment report

Annex 3: Statement on the teaching achievements of the tenure track professor

Annex 1:

Evaluation criteria

The evaluation criteria listed below under I. are with immediate effect binding for all tenure track professorships (Section 3 (2)).

The points listed below under II. are a list from which additional evaluation criteria can be selected to reflect the specific culture of a faculty and/or professorship (Section 3 (3)). This list is not exhaustive.

I. Criteria which apply across the University

Research

- The originality and/or academic breadth and/or depth of work undertaken
- Significant contributions to publications in peer-reviewed journals and/or monographs as well as in collected works published by recognized academic publishers (including in electronic format)
- Contributions to conferences (e.g. talks, papers)
- Potential for academic development in international comparison
- Third-party funding acquired

Teaching

- Devising and teaching of different types of courses at different levels (bachelor's, master's, etc.)
- Quality of teaching (e.g. based on an evaluation)
- Supervision of theses

Advancement of junior scholars

- Supervision of the academic advancement and further qualification of research associates and teaching and research assistants
- Supervision of at least one doctoral candidate
- Providing evaluations for doctoral procedures

Involvement in academic self-management

Within Technische Universität Berlin

- Participating in committees or assuming offices and/or functions

Outside Technische Universität Berlin

- Participating in committees
- Writing evaluations
- Supporting knowledge transfer
- Contributions to science communication

Language skills

- Acquiring German language skills to the required level (proven by an official certificate of level from a recognized language school or institute)

II. Additional criteria

Research

- New methodological or concept developments
- Involvement in joint research projects

Teaching

- Teaching courses in English
- Developing new teaching concepts and new content (including e-learning)
- Revising and devising new teaching program curricula
- Commitment to supporting or setting up exchange programs or double-degree programs
- Writing course books (alone or as co-author)
- Commitment to the further development of quality management for teaching
- Active participation in conferences on teaching methods or educational research

Artistic undertakings

- Participation in design competitions

Advancement of junior scholars

- Hosting visiting scholars at Technische Universität Berlin, e.g. Humboldt Fellowship scholars

Involvement in academic self-management

- Involvement in peer-review procedures
- Active support for Technische Universität Berlin's internationalization strategy (inviting visiting scholars, fellows (Alexander von Humboldt, DAAD), supporting (international) degree programs (with international partners)
- Advancing gender and diversity measures at Technische Universität Berlin
- Involvement in summer schools and school student programs
- Active involvement in school partnership programs, Girls' Days etc.

Supporting knowledge transfer

- Involvement in Citizen Science activities
- Actively extending the network of regional scientific cooperation in Berlin.
- Participation in expert committees (e.g. standards committees)
- Advising on policy and membership of policy advisory committees
- Application, granting and exploitation of patents or initiation of technology transfer projects or company spin-offs

Academic continuing education

- Active involvement in academic continuing education measures
- Active participation in doctoral programs

Language skills

- Acquiring English language skills to the required level (proven by an official certificate of level from a recognized language school or institute)

Annex 2:

Writing a self-assessment report

To achieve consistency, it is suggested you use the following layout when preparing your self-assessment report as a tenure track professor. Reports should critically reflect your work, i.e. success achieved in research and academic teaching and your professional commitment as well as problems encountered and suggestions as to how to solve these problems. The self-assessment report must be submitted in English (in some cases it may be necessary to submit it in German as well) and should not exceed 20 pages.

1. Personal details
2. Details of organizational integration
3. Education
4. Professional experience
5. Starting conditions at Technische Universität Berlin
 - 5.1. Time frame
 - 5.2. Thematic area
 - 5.3. Resources
 - 5.4. Further details
6. Achievements and results
(Statements on achievements and results are to be based exclusively on the criteria established in the written requirements as per Section 3 (6) sentence 2)
 - 6.1. Research
 - 6.2. Teaching
 - 6.3. Advancement of junior scholars
 - 6.4. Involvement in academic self-management
 - 6.5. Supporting knowledge transfer
 - (6.6.) Language skills (if applicable)
 - (6.7.) Artistic activities (if applicable)
 - (6.8.) Academic continuing education (if applicable)
 - (6.9.) Other
7. Assessment and outlook
 - 7.1. Statement on overall achievements and results
 - 7.2. Details for the remaining period of the tenure track professorship, including achievements and results in the areas of research, teaching and academic self-management
 - 7.3. Possibilities for development
 - 7.4. Suggestions for cementing and/or improving starting conditions and framework conditions

Annex 3:

Statement on the teaching achievements of the tenure track professor

The statement on teaching achievements should include a summary of teaching evaluations for courses taught by the tenure track professor. It should also include statements on the extent to which the requirements for teaching have been met. It should conclude with an overall appraisal of the tenure track professor's teaching.