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## Regulations for Appointing Chairs as part of the Tenure-Track Evaluation Procedure (Tenure-Track Regulations)

of November 3, 2016

On the basis of § 59 para. 3, 60 para. 5, 13 para. 5 sentence 1 of the Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony ("Sächsisches Hochschulfreiheitsgesetz", hereinafter referred to as SächsHSFG) from January 15, 2013 (Saxon Government Gazette, hereinafter referred to as SächsGVBl. 2013, p. 3), as last amended by Article 11 of the Act from April 29, 2015 (SächsGVBl. p. 349), the University Executive Board of TU Dresden adopted the following regulations on October 11, 2016.

### Preamble

"Tenure track" is not defined in the SächsHSFG. Nevertheless, the SächsHSFG regulates whether, when, and under what circumstances a tenured chair position can be filled at a later time without a public call for applications. Undertaking an appointment procedure without public advertisement does not obviate the duty to carry out an evaluation of candidates' preceding performance and achievements.

### § 1

#### Definitions

(1) Tenure track refers to the binding offer of an appointment to a permanent tenured position following a favorable evaluation, without the need for a new call for applications or a new selection procedure.

(2) Candidates within the context of these regulations are holders of a professorial tenure-track position or another tenure-track position.

## § 2

### Scope and applicability

(1) These regulations apply to:

1. junior professors within the scope of §§ 63 ff. SächsHSFG,
2. professors appointed for a fixed term within the scope of § 69 para. 3 SächsHSFG,
3. junior research group leaders within the scope of § 27 para. 1 no. 1 b) of TU Dresden's Fundamental Principles (GO TUD) of September 24, 2015, published in TUD's Official Announcements No. 11/2016 of July 21, 2016 (GO TUD), insofar as they were offered the prospect of a tenured chair when they were first appointed to TU Dresden or when they were appointed as junior research group leaders, and for
4. professors who, in accordance with § 27 para. 2 a) GO TUD, were offered the prospect of appointment to a higher rank on the basis of an appointment and career strategy.<sup>1</sup>

(2) The tenure track shall be clearly indicated in the call for applications to fill the tenure-track position. In this context, the rank as well as the subject area of the anticipated tenured chair and the essential evaluation criteria must be stated; this shall not apply to the thematically unrestricted professorships referred to in § 9.

(3) Granting tenure-track status requires quality assurance in the form of an assessment of the performance and achievements of the candidates in accordance with the highest international standards in the respective subject area (tenure-track evaluation).

(4) The interim evaluation for junior professors according to § 70 SächsHSFG in connection with the framework guidelines for the interim evaluation of the performance of junior professors at TU Dresden of June 13, 2007 (Communication of the Rector 01/2007) remains unaffected.

## § 3

### Evaluation categories and criteria

(1) The evaluation of the performance and achievements of candidates for tenured chairs in the tenure-track evaluation procedure shall be conducted in the categories of academic teaching, research, knowledge transfer, and academic self-administration. The goal of the evaluation is to determine whether the candidate is capable of fully representing the subject area of the tenured position.

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<sup>1</sup> Currently not applicable as a result of the stipulations of the SMWK for the approval of the Fundamental Principles (decision of May 27, 2016): standard to be applicable only after amendment of the legal basis, in particular the Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony (SächsHSFG).

(2) Annex 1 defines criteria for each of the categories named in para. 1, on the basis of which the performance and achievements of the candidates for the tenured position are to be evaluated.

(3) The evaluation categories and criteria shall be defined in a binding manner by mutual agreement between the Rector, the Chancellor, the Dean and the candidate, taking into account the development plan of the Faculty or the School, and shall be laid down in the appointment agreement or in the employment contract for filling the tenure-track position. Special features of the evaluation procedure may be specified.

(4) In preparation for the tenure evaluation, candidates must undergo a comprehensive teaching evaluation every two years. At least once a year, the Dean shall hold a status discussion with the candidate on how they see their fulfillment of the evaluation goals up to that point as well as their upcoming expectations regarding the goals. The content and outcome of the discussion shall be adequately documented. The Dean may delegate these tasks to their deputy. In the event of significant changes in external conditions, the evaluation objectives may be appropriately adjusted by agreement between the candidate and the Dean, with the consent of the Rector and the Chancellor.

(5) All performance and achievement evaluations shall take appropriate account of the academic and social background of the candidate for a tenured position (in particular academic age, life circumstances, and entry conditions).

#### **§ 4**

#### **Initiating the evaluation procedure**

(1) The evaluation procedure shall be initiated by the Dean at the request of the candidate for a tenured chair, or with their consent, at least one year before the fixed term elapses.

(2) The result of the evaluation shall be available no later than six months before the end of the fixed term. § 59 para. 2 sentence 3 of the SächsHSFG shall remain unaffected.

(3) If the performance to date has been predominantly assessed as inadequate in the annual status discussions pursuant to § 3 para. 4 sentence 2, thus indicating that the specified evaluation goals are unlikely to be achieved, the Dean shall hold a concluding discussion with the candidate at least one year before the end of the fixed term with the aim of reorientation. The interview shall be adequately documented and the decision not to initiate the evaluation procedure shall be communicated to the candidate in writing.

§ 5  
Evaluation Commission

(1) The Evaluation Commission is established across Schools and Faculties at TU Dresden.

(2) The Evaluation Commission shall include the following representatives as standing members with voting rights:

1. one higher education lecturer from each of the following Schools:

Science,  
Humanities and Social Sciences,  
Engineering Sciences,  
Civil and Environmental Engineering, and  
Medicine,

2. one academic staff representative,
3. one technical and administrative staff representative,
4. one student representative.

The following shall also be members of the Evaluation Commission with voting rights, depending on the respective procedure:

1. the Dean of the Faculty to which the candidate belongs and
2. an external member with outstanding international credentials in the academic field in which the candidate is active, who is to be appointed by the Evaluation Commission,

as well as:

3. the Equal Opportunities Officer of TU Dresden,

who has the right to speak and propose motions.

For each permanent member, a standing replacement can be appointed.

(3) Junior professors may only be members of the Evaluation Commission if they have been granted the right to participate in appointment committees upon designation as an extraordinary professor.

(4) The term of office of the student representative shall be one year; for the other permanent members of the Evaluation Commission and their replacements, it shall be three years.

(5) The standing members of the Evaluation Commission and their replacements shall be proposed by the Schools to the University Executive Board no later than three months prior to the expiration of the term of office; the right to propose the student representative lies with the Student Council. The University Executive Board shall submit all nominations, together with a recommendation on the composition of the Evaluation Commission, to the Senate, which shall determine the permanent members and their replacements and appoint the Evaluation Commission. The Evaluation Commission should include three women and at least one female higher education lecturer.

(6) Members who resign during the term of office of the Evaluation Commission shall be replaced by means of an adequate procedure.

(7) The chairperson of the Evaluation Commission shall be appointed by the Rector, in consultation with the Senate, from among the higher education lecturers who are members of the Evaluation Commission. This person shall lead the evaluation procedure and report to the University Executive Board on relevant steps on an as-needed basis.

(8) All persons involved in the evaluation procedure shall be obliged to keep the proceedings strictly confidential.

## **§ 6**

### **Evaluation procedure**

(1) The basis of the evaluation is the candidate's self-assessment report in accordance with Annex 2. The report should be critical of the candidate's own performance, i.e. highlighting successes as well as difficulties, and should include possible solutions.

(2) The Evaluation Commission shall determine a multi-stage evaluation procedure and a time schedule for each evaluation. This shall be based on the evaluation objectives and the agreed-upon evaluation criteria in accordance with § 3 para. 3. The evaluation procedure may include a personal interview with the candidate, a public lecture, or a classroom session followed by a discussion. For the evaluation of the public lecture or the classroom session, the Evaluation Commission may also appoint an expert commission consisting of members of TU Dresden and take their assessment into account in the final decision-making procedure.

(3) As a rule, three expert opinions in writing are to be obtained from external researchers with outstanding credentials in their subject area. If the evaluation procedure includes a public lecture or a classroom session, the experts appointed by the Evaluation Commission may be invited and may participate; their expert opinions shall be documented (fast-track procedure).

## **§ 7**

### **Evaluation recommendation**

The Evaluation Commission assesses the performance and achievements of the candidate in the categories of academic teaching, research, knowledge transfer and academic self-administration as well as their progress on the basis of the self-assessment report according to § 6 para. 1, the interim results according to § 3 para. 4, the expert opinions according to § 6 para. 3, as well as the further findings from the evaluation procedure, and prepares an evaluation recommendation. Criteria regarding volunteer activities may be taken into account. The evaluation recommendation shall be thoroughly substantiated in accordance with the requirements of § 8 para. 2 and submitted to the Rector.

## § 8 Tenure-track decision

(1) The decision to grant or deny tenure-track status shall be made by the Rector after consulting with the Faculty Board of the candidate's faculty. The Faculty Board shall be presented with the evaluation recommendation pursuant to § 7 for its opinion.

(2) In order for tenure-track status to be granted, the following conditions must be fulfilled:

1. excellent performance and achievements in research, very good performance and achievements in academic teaching and knowledge transfer, as well as performance and achievements that indicate a clear commitment to academic self-administration,

or

2. for professors who exclusively teach: a demonstration of excellent performance and achievements in academic teaching and results that indicate a clear commitment to academic self-administration,

or

3. for professors who are predominantly involved in patient care: excellent performance and achievements in research, academic teaching, and knowledge transfer, performance and achievements that indicate a clear commitment to self-academic administration, and above-average performance and achievements in patient care.

In the case of professorships that include medical or dental duties or an appointment at Carl Gustav Carus University Hospital, an additional positive vote by the University Hospital's Executive Board is required.

(3) The decision of the Rector and the main reasons behind the decision shall be communicated to the candidate.

(4) If the tenure track is granted, the Rector shall issue the appointment to the tenured chair and conduct appointment negotiations on the facilities, resources and staffing of the tenured chair as well as on the individual remuneration. § 12 para. 2 to 4 of TUD's Appointment Regulations of August 15, 2009, published in TUD's Official Announcements No. 06/2009 of August 25, 2009, shall be applied accordingly.

## § 9 Special regulations to retain candidates <sup>2</sup>

(1) In special cases, the evaluation procedure may be advanced and shortened by a reasonable amount of time if the candidate presents an offer of appointment from another university or an offer of employment from another employer, where the candidate is to be

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<sup>2</sup> Currently not applicable as a result of the requirements of the SMWK for the approval of the Fundamental Principles (decision of May 27, 2016): standard to be applicable only after amendment of the legal basis, in particular Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony (SächsHSFG).

retained at TU Dresden and an accelerated decision is indispensable to ward off the external offer. In selected cases, the tenured chair may be filled early.

(2) This special case requires that the candidate submit in writing either the other university's offer of appointment (with at least the same rank as the prospective tenured chair) or the offer of employment from another employer. It also requires the candidate to have worked for at least three years in the chair or the tenure-track position at TU Dresden.

(3) The decision on granting tenure track in special cases shall be made by the Rector on the basis of a recommendation by the Evaluation Commission and the Faculty Board of the candidate's Faculty. The Evaluation Commission makes its decision on the basis of the candidate's self-assessment report, the previous annual status discussions, and at least two written expert opinions with outstanding credentials in their field. The established evaluation criteria are to be appropriately acknowledged. In its statement, the Faculty must outline the future development plans and resources of the Faculty as well as their interest in retaining the candidate.

## § 10

### Special regulations for thematically unrestricted chairs

When determining the evaluation objectives and criteria by mutual agreement, the purpose of exploring innovative fields of research with the interdisciplinary approach of the thematically unrestricted chairs advertised in accordance with § 26 GO TUD shall be taken into account in an adequate manner.

## § 11

### Special regulations for program professorships

(1) For the Heisenberg Professorship funded by the German Research Foundation, the Lichtenberg Professorship funded by the Volkswagen Foundation, and comparable professorships/chairs ("program professorships"), the objectives of these funding programs shall be adequately taken into account when determining the evaluation objectives and criteria.

(2) If evaluations are stipulated in the funding programs, their results or interim results may be incorporated. The evaluation procedure of TU Dresden may be limited to the thoroughly substantiated recommendation of the Evaluation Commission, the consultation of the Faculty to which the candidate belongs, and the final decision of the Rector.

## § 12

### Special regulations for professorships in medicine

(1) The Faculty of Medicine "Carl Gustav Carus" may stipulate special characteristics with regard to these regulations, insofar as these are of considerable importance for the clinical tasks of a candidate for a tenured position.

(2) A prerequisite for the consideration of stipulated special characteristics is that these shall be in accordance with the legal medical regulations, in particular the Law on the University Hospital Leipzig at the University of Leipzig and Carl Gustav Carus Dresden University Hospital at TU Dresden (Universitätsklinik-Gesetz) of May 6, 1999, published in the Saxon Government Gazette 1999, sheet no. 8, p. 207, in the currently valid version, and shall be stipulated in a supplementary manner with regard to § 3.

## § 13

### Special regulations for joint professorships

In cases where a professorship or junior research group leader position has been established together with a non-university research institution for the purpose of promoting and intensifying cooperation in research and academic teaching, the procedure and criteria of the tenure-track evaluation to be carried out jointly by TU Dresden and the non-university research institution shall be regulated by agreement before the temporary professorship or junior research group leader position is filled. § 62 para. 3 of the SächsHSFG remains unaffected. In all other respects, the provisions of these regulations shall also apply.

## § 14

### Central Academic Units with the authority to grant appointments

For Central Academic Units of TU Dresden to which the right of appointment has been granted, the regulations shall apply accordingly. The rights and duties of the Faculty Board as well as those of the Dean shall be exercised by the respective bodies of the Central Academic Unit.

## § 15

### Date of publication and entry into force

These regulations shall enter into force on the day after their publication in the Official Announcements of TU Dresden.

Dresden, November 3, 2016

The Rector  
of Technische Universität Dresden

Prof. Dr.-Ing. habil. DEng/Auckland Hans Müller-Steinhagen

### Evaluation criteria

The evaluation criteria defined below are based on leading international standards used as an evaluation framework, taking into account the respective disciplinary contexts (see also § 2 para. 3, § 3 of the regulations). In this way, TU Dresden guarantees the candidates for a tenured professorship/chair that is not publicly advertised both a reliable evaluation standard (transparency requirement) and also its compulsory adoption in the context of the individual's evaluation (binding requirement).

#### In the category of research

- Originality, creativity and quality of academic work compared to international standards
- Publications in peer-reviewed journals or recognized publications in other leading media for the subject area, conference papers
- Network strength in an international comparison
- International reputation: prizes / awards / fellowships
- Potential for academic development in an international comparison
- Success in obtaining third-party funding, broken down into competitive research projects (e.g. DFG, EU, BMBF, BMWA, etc.) and industrial projects
- Interdisciplinary collaborative research: participation as a spokesperson or in coordinated research projects
- Support of early-career researchers and accomplishments
- Innovation potential: transfer activities, plans for projects in the near future

#### In the category of academic teaching

- Developing and implementing courses of various types
- Quality of teaching activities, evaluation reports
- Conducting classroom sessions in English or in an international context
- Developing and introducing new teaching content, didactic teaching concepts and/or teaching formats
- Supervising student research projects and theses
- Conducting and/or helping to create examinations
- Participation in didactic professional development courses or transdisciplinary events
- Authoring textbooks / monographs
- Organization of and participation in international conferences on teaching methods and educational research
- International and national teaching awards

#### In the category of academic self-administration

- Active participation in administrative university management
- Active participation on university commissions or committees
- Active participation in the internationalization of TU Dresden

- Fulfilling tasks in institutions for the promotion of science
- Involvement in fundraising for TU Dresden
- Involvement in the support of early-career researchers
- Active participation in the promotion of gender and diversity measures

#### In the category of knowledge transfer

- Patents, inventions
- Organization and support of spin-offs, development of and active participation in qualification and training programs for start-ups
- Organization and active participation in business networks, educational networks, etc.
- Conceptual design, organization and implementation of workshops, interview events, idea workshops, etc., aimed at knowledge transfer
- Conceptual design, set-up and participation in virtual knowledge exchange media, e.g. research information systems, technology platforms, etc.
- Activities as a tandem partner in the field of knowledge exchange, e.g. in mentoring programs

#### In the category of volunteer involvement

- Memberships in scientific academies, societies, on expert committees, etc.
- Memberships on editorial boards of scientific journals
- Duties as an expert consultant
- Involvement with foundations and academic boards
- Other forms of voluntary participation

## Annex 2

### Standard structure of the self-assessment report

The following structure serves to ensure a uniform and transparent format for the candidates' self-assessment reports. The reports should be critical, i.e. they should show successes in research, teaching, knowledge transfer and self-administration activities, as well as problems and suggestions for resolving them. These should be presented in a concise yet complete manner (see also § 6 para. 1 of the regulations).

#### 1. Personal details

- 1.1 Last name, first and middle name
- 1.2 Date of birth
- 1.3 Place of birth
- 1.4 Nationality
- 1.5 Mailing address, telephone number and e-mail address

#### 2. Placement within the organization

- 2.1 Faculty / Unit
- 2.2 Department / Institute
- 2.3 Dean of the Faculty / Speaker of the Department
- 2.4 Dedication of the chair
- 2.5 Office address (including telephone, e-mail)

#### 3. Educational details

- 3.1 Vocational qualifications (year, educational institution)
- 3.2 University studies (year, educational institution)
- 3.3 Other qualifications (year, educational institution)
- 3.4 Professional development (year, educational institution)
- 3.5 Academic degrees (for a dissertation / habilitation, indicate topics, supervisors, institution)

#### 4. Employment details

- 4.1 Status
- 4.2 Employer
- 4.3 Tasks
- 4.4 Duration of employment
- 4.5 Special features

## 5. Entry conditions at TU Dresden

- 5.1 Timing
- 5.2 Intangible conditions
- 5.3 Tangible conditions
- 5.4 Facilities
- 5.5 Special conditions

## 6. Performance and achievements

- 6.1 Fundamentally, performance and achievements in the categories “academic teaching, research, knowledge transfer, and academic self-administration” are to be outlined based upon the evaluation criteria according to § 3 in conjunction with the annex to the appointment agreement or the employment contract.
- 6.2 Outlining the category of academic teaching
- 6.3 Outlining the category of research
- 6.4 Outlining the category of knowledge transfer
- 6.5 Outlining the category of academic self-administration
- 6.5 Outlining other contributions to enhancing the reputation of TU Dresden

## 7. Summary

- 7.1 Characterization of overall performance and achievements
- 7.2 Details of planned performance and achievements in the categories of academic teaching, research, knowledge transfer, and academic self-administration
- 7.3 Opportunities for development
- 7.4 Input and suggestions for establishing and/or improving initial and long-term conditions at TUD

## 8. Attachments

Attachment of the essential indexes, certificates, and documentation to support statements according to subsection 6.