

Regulations for appointing tenured professorships within a tenure-track procedure at the University of Oldenburg

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Preamble

With the tenure-track procedure, the University of Oldenburg aims to offer highly qualified early-career researchers particularly attractive career prospects and to retain them at the University of Oldenburg for the long term. By implementing a criteria-based, multi-stage procedure involving external evaluation, the University aims to meet the highest quality standards and transparency.

Section 1 Contents, legal basis, definitions

- (1) These regulations govern the tenure-track procedure for the appointment of a tenured professorship. They are valid for fixed-term junior professors with a tenure track to W2 or W3 positions and for fixed-term W2 professors with a tenure track to W2 or W3 positions.
- (2) The legal basis for the tenure-track procedure is the current version of the Niedersächsische Hochschulgesetz (Lower Saxony Higher Education Act, NHG), university statutes and the 'Regulations for the appointment of professors at the University of Oldenburg'.

Section 2 Appointment of tenure-track positions

- (1) The procedure for appointing fixed-term junior professorships or W2 professorships with a tenure track is governed by the regulations for the appointment of professors.
- (2) The profile paper for the approval of the professorship must state the rank of the planned tenured position (W2 or W3) and define specific evaluation criteria (see Section 3 of these regulations). The professorship must be adequately equipped to perform its tasks in research and teaching.
- (3) Junior professorships with a tenure track are initially limited to a fixed term of three years. The appointment may be extended by a further three years following a positive interim evaluation (See Section 4 (1) of these regulations). The statutory prerequisites for the appointment of professors pursuant to the NHG apply.
- (4) Fixed-term W2 professorships with a tenure track to W2 or W3 positions are initially limited to a term of five years. The statutory prerequisites for the appointment of professors pursuant to the NHG apply.
- (5) Tenure-track options must be explicitly stated in the call for applications.
- (6) The call for applications should be directed at external candidates. Internal candidates may only be considered if they have changed university following their doctoral degree or if they have been employed in a scientific position outside of the appointing university for at least two years.
- (7) The candidate must be informed of the evaluation criteria of the tenure-track procedure by the time of appointment at the latest.

Section 3 Evaluation criteria

- (1) A tenured professorship in the tenure-track procedure shall be granted after a positive evaluation that assures quality and corresponds to the standards of an appointment procedure at the University of Oldenburg, and concludes with a recommendation to convert the professorship to a permanent position.
- (2) The following evaluation criteria must be considered:

- Research: sustainable research activities and their reflection in publications, lectures, acquisition of third-party funding, prizes/awards; further subject-specific criteria and circumstances should be considered;
 - Teaching: successful teaching record, especially in tutoring/supervising students, student feedback on teaching (the School is responsible for carrying out regular teaching evaluations), teaching prizes; further subject-specific criteria and circumstances should be taken into consideration;
 - Administration: adequate involvement in administrative affairs;
 - Support of early career researchers (doctoral and postdoctoral candidates);
 - Leadership, ability to work in a team and interpersonal skills;
 - Contributions to general university development, transfer and internationalization.
- (3) These criteria are to be specified with the faculties, taking into account subject-specific circumstances, and set out in the Guidelines of the Presidential Chair for the implementation of tenure-track procedures. The evaluation criteria must be included in the profile paper for the approval of the professorship and can be supplemented by position-specific criteria in justified cases.

Section 4 Initiation of the tenure-track procedure

The initiation of the tenure-track procedure is divided into a) initiation of the tenure-track procedure for junior professorships, and b) initiation of the tenure-track procedure for W2 professorships.

Section 4a Initiation of the tenure-track procedure for junior professorships

- (1) The evaluation procedure for junior professorships with a tenure track includes two stages. Pursuant to Section 30 (4) NHG, the first evaluation (interim evaluation) takes place in the third year of the three-year fixed term of a junior professorship. It forms the basis for extending the employment contract by a further three years if this is justified by the candidates' achievements in research and teaching. The interim evaluation is carried out in accordance with the current 'Guidelines of the Presidential Chair for the interim evaluation of junior professors'. The interim evaluation is based on the evaluation criteria defined in the application for approval of the junior professorship. A positive interim evaluation is a prerequisite for applying for the tenure-track evaluation.
- (2) On the request of the junior professor, the School submits an application to the Presidential Chair to initiate the tenure-track evaluation and establish an evaluation committee at least one year before the end of the fixed term of the professorship. The School is responsible for conducting the evaluation procedure. The result of the evaluation should be available at least six months before the end of the fixed term of the professorship.

Section 4b Initiation of the tenure-track procedure for W2 professorships

- (1) For fixed-term W2 professorships, the professor submits an interim report based on the evaluation criteria laid down in the application for approval of the W2 professorship to the Dean's Office in the first quarter of the third year of the appointment. On the basis of the interim report, the Dean or a person appointed by the Dean conducts a structured performance review which is intended to address any potential issues as well as reflect

on the candidate's performance and progress. A brief record of the performance review shall be drawn up and submitted to the Presidential Chair.

- (2) On the request of the professor, the School applies to the Presidential Chair to initiate the tenure-track evaluation and establish an evaluation committee at least one year before the end of the fixed term of the professorship. The School is responsible for conducting the evaluation procedure. The result of the evaluation should be available at least six months before the end of the fixed term of the professorship.

Section 5 Committee for tenure-track evaluation

- (1) A committee for the tenure-track evaluation is elected by the Faculty Council and established in consent with the Presidential Chair. The evaluation committee shall have the same structure as an appointment committee. The requirements of the University's regulations for the appointment of professorships apply accordingly.
- (2) The evaluation committee must be chaired by a professor or lecturer. The chairperson directs the evaluation procedure and reports to the School and the Presidential Chair. He or she is responsible for keeping to the schedule.
- (3) All persons involved in the procedure are bound by absolute confidentiality, including and in particular towards the candidate.
- (4) The members of the evaluation committee must submit a disclosure of working relationships. If an apparent conflict of interest arises, the chairperson of the committee must be notified immediately. The committee shall decide on a conflict of interest in the absence of the affected member. Circumstances giving rise to an apparent conflict of interest and the decisions of the committee in this regard shall be recorded. Any member of the committee may declare a personal conflict of interest without giving reasons.
- (5) With regard to the conduct of committee meetings, the procedural rules for appointment and selection committees apply in accordance with the University's regulations for the appointment of professorships.

Section 6 Tenure Board of the University of Oldenburg

- (1) In the interest of quality assurance, research achievements are also evaluated by an independent panel of experts. The members of the Tenure Board shall be appointed by the Presidential Chair in agreement with the Senate and the Central Equal Opportunities Officer for a period of five years. The term of office may be extended once for a period of five years.
- (2) The Tenure Board shall consist of two external, internationally renowned scientists from each of the research clusters 'Mathematics, Computer Science, Natural Sciences and Technology', 'Humanities' and 'Social Sciences'. 50% of the members must be female. Members of the Tenure Board cannot be members of an evaluation committee at the same time.
- (3) The Tenure Board shall be chaired by a Vice President without voting rights. If the chair is unable to attend, he or she may be represented by another member of the Presidential Chair.
- (4) As a rule, the meetings of the Tenure Board take place twice a year if tenure-track decisions are pending.

- (5) The members of the Tenure Board are bound by confidentiality. Members must submit a disclosure of working relationships. If an apparent conflict of interest arises, the chairperson of the committee must be notified immediately. Further requirements from Section 5 (4) of these regulations apply accordingly.
- (6) The Tenure Board shall establish rules of procedure for the conduct of its meetings.

Section 7 Tenure-track evaluation procedure for junior professorships and W2 professorships

Tenure-track evaluations are conducted by an evaluation committee and the Tenure Board of the University of Oldenburg.

Section 7a Role of the evaluation committee

- (1) The evaluation committee evaluates the qualifications in research and teaching based on the evaluation criteria defined in the profile paper which was approved during the application procedure for the tenure-track professorship. The candidate must submit a self-assessment for this purpose. The self-assessment shall be drawn up in accordance with the 'Guidelines of the Presidential Chair on the implementation of tenure-track procedures'.
- (2) The candidate takes part in regular teaching evaluations and external evaluations, if applicable. Based on the self-assessment (teaching) and the teaching evaluation results, the respective Dean of Studies submits a report including a recommendation (see appendix 2).
- (3) The committee invites the candidate to give a lecture to the members of the university community on a topic of his or her choice followed by a discussion.
- (4) Before the decision on the evaluation recommendation is taken, the candidate is usually invited to a hearing and a discussion with the evaluation committee.
- (5) Based on the self-assessment, the statement of the Dean of Studies, the expert reports, the presentation and the hearing, the committee prepares a reasoned proposal for the outcome of the tenure-track procedure for the Faculty Council in the form of a written report.
- (6) The evaluation committee submits the proposal for resolution to the Faculty Council.

Section 7b Role of the Tenure Board of the University of Oldenburg

- (1) Research achievements are also evaluated by the Tenure Board of the University of Oldenburg. The Tenure Board must obtain two or three external expert reports on the activities and results of the candidate's research. The evaluation committee may propose four to five reviewers via the Dean. The reviewers must be provided with the candidate's self-assessment, the evaluation criteria and questions set out in the 'Guidelines of the Presidential Chair for the implementation of tenure-track procedures'. They must submit a disclosure of working relationships. A deadline may be set for the reviewers to submit their report. The Tenure Board provides the expert reports to the evaluation committee.
- (2) The Tenure Board submits a statement to the Dean's Office and the Presidential Chair based on the candidate's self-assessment and the expert reports. This statement includes a description and critical evaluation of the research as well as an assessment

of the further development of the professorship and the subject with regard to the evaluation criteria. The statement also contains a recommendation as to whether the junior professor or professor should be appointed to a tenured professorship.

Section 8 Evaluation decision

- (1) Based on the recommendation of the evaluation committee and the statement of the Tenure Board, the Faculty Council decides on the evaluation by a majority, as in an appointment procedure.
- (2) The Dean forwards the proposal to the Presidential Chair.
- (3) After the Senate and the Central Equal Opportunities Officer have issued their statements, the Presidential Chair takes the final decision on the proposal regarding the outcome of the tenure-track procedure.
- (4) If the outcome of the tenure-track procedure is positive, the Presidential Chair reports to the Ministry, which shall make the decision to appoint the professorship without a call for applications.

Section 9 Entry into force and final provisions

After a resolution has been passed by the Senate, these regulations shall enter into force on the day following their publication in the Official Notices of the University and shall apply only to tenure-track procedures commenced after these regulations have entered into force.