



This is a convenience translation of the German 'Satzung über die Besetzung von Tenure-Track-Professuren an der Friedrich-Schiller-Universität Jena'. In case of differences between the original German version and this translation, the German version shall prevail.

Statutes on Appointing Tenure-Track Professors at Friedrich Schiller University Jena

(Tenure Track Statutes) of 14 April 2021

Pursuant to section 3 subsection 1 in conjunction with section 35 subsection 1 no. 1 of the Thuringian Higher Education Act (*Thüringer Hochschulgesetz, ThürHG*) of 10 May 2018 (Journal of Legal Notices of the Free State of Thuringia GVBl. P. 149), last amended by Article 7 of the Act of 23 March 2021 (GVBl. pages 115, 118), Friedrich Schiller University Jena issues the following Statutes.

The Senate of Friedrich Schiller University Jena adopted the Statutes on 13 April 2021.

The President approved the Statutes on 14 April 2021.

Preamble

Friedrich Schiller University Jena is committed to offering nurturing working conditions and career perspectives to outstanding young researchers, and to attract them to the University in the long term. They should enter a scientific environment in which they can engage actively and which enables them to participate in national and international top-level research at an early stage of their careers.

At the same time, the University strives to reduce the age of first appointment and is determined to encourage the early independence and self-reliance of young researchers, and to increase the number of female professors. In addition, planning and transparency of scientific career paths should be improved.

The present Statutes provide the basis for implementing an appointments and career concept in accordance with section 85 subsection 1 sentence 4(4) of the Thuringian Higher Education Act (*Thüringer Hochschulgesetz, ThürHG*).

I. General provisions

§ 1

Scope

- (1) ¹The Statutes regulate the procedure in which a fixed-term junior professorship (salary scale W1) as referred to in section 89 ThürHG, can be changed into a professorial position paid on salary scale W2 or W3 after a positive interim and tenure evaluation. ²In addition, the Statutes regulate the tenure procedure for fixed-term W2 professorships with tenure commitment, which can be officially changed into a W3 professorship after a positive evaluation.
- (2) ¹The Statutes apply to Friedrich Schiller University Jena, with the exception of the area of university medicine. ²They only apply to the University's medical institutions insofar as the legal and statutory provisions regarding the responsibilities of the hospital's management in appointment and evaluation procedures remain unaffected and take precedence over these Statutes.



§ 2

Permanent Tenure-Track Commission

- (1) ¹The Executive Board shall appoint a permanent commission in charge of tenure-track procedures. ²Its ex officio members are the Vice-President for Young Researchers and Diversity Management as Chair, the Vice-President for Research as Deputy Chair, and the Equal Opportunities Officer. ³Pursuant to section 17 subsection 5 of the University's Constitution, further members of the Commission are the members of the Senate's Research Committee. ⁴The term of the members corresponds with the term of their offices to which they were elected or appointed. ⁵The members may not at the same time be mentors as defined in the section 6 of the Statutes.
- (2) The task of the Commission is to ensure uniform procedures throughout the University, maximum transparency, and highest quality standards in tenure-track procedures.
- (3) The Commission shall provide the Executive Board with general recommendations regarding appointment offers and continuation of employment status, and put forward proposals for the continuous optimization of the tenure-track procedure.
- (4) ¹After notification pursuant to section 13 subsection 2, the Chair of the Commission shall appoint a Rapporteur from among the professorial members of the Permanent Tenure-Track Commission. ²The Rapporteur shall attend the tenure evaluation in an advisory capacity and ensure compliance with the procedural regulations; to this end, the Rapporteur shall have the right to speak. ³The Rapporteur shall be continuously informed about the procedure, and, in particular, receive all documents and minutes. ⁴The Rapporteur may attend the meetings of the Tenure Commission at their own discretion. ⁵The Rapporteur shall give their opinion on the proper conduct of the tenure procedure to the Executive Board.
- (5) The Commission shall be convened by the Chair. The Commission shall meet at least once per semester.

§ 3

Mentoring and qualification scheme

- (1) ¹In agreement with the tenure-track professor, the Faculty Council shall appoint two mentors from among the teaching staff who as a rule are members of the University. ²They shall be appointed to this position within three months after the appointment of the tenure-track professor. ³Mentors may not be members of the respective evaluation commissions, may not be appointed as professorial rapporteurs from the permanent commission for the respective tenure-track procedure, and are not eligible as reviewers.
- (2) Their task is to advise, promote, and encourage the tenure-track professors and to support their academic development.



- (3) The mentors shall work to ensure that the tenure-track professors actively develop their research field, and support them in joining the ranks of national and international top-level researchers.
- (4) ¹Tenure-track professors shall participate in the University's qualification scheme for tenure-track professors. ²The scheme allows them to acquire key qualifications they require as university teachers in research, teaching, leadership and supervision.

II. Advertisement and appointment

§ 4

Advertisement and appointment offer

- (1) ¹All vacant W1 professorships shall be advertised publicly and internationally as junior professorships (W1) with tenure-track commitment (tenure-track professorships). ²In exceptional cases, a W1 professorship may be advertised as W1 professorship without tenure-track or as W1 professorship with tenure-track option (position reserved).
- (2) ¹W2 professorships to be filled shall be advertised predominantly either as tenure-track professorships in accordance with section 1 subsection 1 or as W2 university professorships with tenure-track commitment as referred to in section 17.
²The specific requirements of the University's medical institutions shall be taken into account accordingly.
- (3) Vacant W3 professorships may also be advertised as tenure-track professorships or as W2 professorships with tenure-track commitment as referred to in section 17.
- (4) Advertisements shall include a reference to the envisaged tenure-track commitment and shall determine whether the future continuation of the position is connected with the appointment to a W2 or W3 professorship.
- (5) ¹Upon prior agreement with the Dean, the President shall issue an appointment offer to the tenure-track professor, in which clear and transparent criteria for the interim evaluation and the tenure evaluation as well as the thresholds for the initiation of a tenure evaluation shall be defined. ²To set the thresholds, targets for usually three core performance criteria shall be agreed. ³Criteria and thresholds shall correspond to the usual evaluation standards in the respective subject area.
- (6) The University shall guarantee tenure-track holders an appropriate appointment package, which shall include at least a part-time position for a research associate (50%), and support by an administrative assistant.
- (7) In all other respects, section 89 subsections 1–5 ThürHG and the Appointment Procedure Regulations shall apply, with the proviso that applicants should have changed university once after their doctorate or have worked as scientists outside the University of Jena for at least two years.



§ 5 **Legal status**

- (1) Tenure-track professors shall independently perform their tasks as university teachers in research and teaching.
- (2) ¹As a rule, tenure-track professors are appointed as temporary civil servants for an initial period of four years. ²The academic title of tenure-track professor shall be in accordance with section 89 subsection 7 ThürHG, with the proviso that they may add the suffix 'tenure track' to their academic title of junior professor.
- (3) In all other respects, the regulations of section 89 (6–8) ThürHG apply.

III. Interim evaluation

§ 6 **Interim evaluation**

- (1) The interim evaluation serves to determine whether the tenure-track professor has proven their worth as a university teacher through their achievements in research and teaching, as well as to provide orientation on the future career path.
- (2) ¹After a positive interim evaluation, the professor's civil servant status is extended by two years as a rule. ²In case of a negative tenure evaluation, the tenure-track professor may, upon application, be granted further fixed-term employment of up to one year, provided that the legal requirements are met.
- (3) The responsibility for carrying out the interim evaluation lies with the dean of the first faculty of which the tenure-track professor is a member.

§ 7 **Application for the opening of the procedure; self-report**

- (1) As a rule, twelve months, but no later than nine months before the end of their tenure, tenure-track professors shall apply to open the interim evaluation procedure by submitting a self-report on their performance in research and teaching during the previous period of service as tenure-track professors to the Dean.
- (2) ¹The self-report shall consist of a personal statement, which shall not exceed ten pages, and documentation, which shall in particular provide evidence of the achievement of the objectives agreed upon in the context of the appointment. ²In the self-report, tenure-track professors shall present their successes, setbacks, and obstacles in the context of their activities, and their future scientific plans. ³The documentation shall include the results of students' regular evaluations of the courses taught.
- (3) The individual report shall be submitted in German or in English.



§ 8

Beginning of the procedure; Interim Evaluation Commission

- (1) The Dean shall open the procedure and appoint an interim evaluation commission by resolution in the Faculty Council.
- (2) ¹The Interim Evaluation Commission shall consist of three professors and one representative each from the non-professorial teaching staff and the student body. ²One professor shall come from another subject area. ³The Commission shall have at least two female members with voting rights. ⁴In justified cases, it is possible to deviate from the requirements as defined in sentence 3 with the consent of the Equal Opportunities Officer.
- (3) The composition of the Interim Evaluation Commission shall be in accordance with the principles on bias as defined in the Appointment Procedure Regulations.
- (4) In the case of a joint appointment of the tenure-track professor with a non-university research institution, this institution shall be represented in the Interim Evaluation Commission in accordance with the regulations applicable to joint appointments.
- (5) Section 5 and section 9 subsection 1 sentence 1 of the Appointment Procedure Regulations shall apply mutatis mutandis to the adoption of resolutions and the activities of the Commission.

§ 9

Interim evaluation report

- (1) ¹The Interim Evaluation Commission shall prepare an interim evaluation report on the basis of the self-report, a statement by the Commission's student representative on the professor's pedagogical aptitude, and two external expert opinions for the Faculty Council; the Commission shall forward these to the Dean upon completion of its work. ²The independence of the reviewers shall be guaranteed in accordance with the principles on bias as defined in the Appointment Procedure Regulations.
- (2) ¹The interim evaluation report serves as an in-depth assessment of the tenure-track professor's professional, pedagogical and personal suitability. ²The performance criteria laid down in the appointment offer as referred to in section 4 subsection 5 of these Statutes shall be the basis for the professor's assessment. ³The academic career stage ('academic age') as well as the life circumstances of the tenure-track professors (e.g. parental leave, care obligations towards family members) shall be appropriately taken into account. ⁴The report shall conclude with a recommendation as to whether the tenure-track professors have proven themselves and as to whether their employment status should be extended.
- (3) For a positive interim evaluation, it is essential that the tenure-track professors as independent researchers are capable of independently managing their research and work activities, of representing them in public, and that they are developing in a way that allows them to establish themselves in academia in the long term.



- (4) ¹If the Interim Evaluation Commission finds that the tenure-track professors have not proven themselves, the Dean shall inform them of this in writing and shall give them the opportunity to make a statement on the matter within a period of four weeks. ²This shall be submitted to the Faculty Council together with the interim evaluation report. ³The right to inspect files shall be restricted in accordance with section 85 subsection 10 ThürHG.

§ 10

Recommendation of the Faculty Council; decision by the President

- (1) ¹The Faculty Council shall make a recommendation to the Executive Board on the basis of the interim evaluation report, including the documents referred to in section 9 subsection 1, as to whether the tenure-track professor's employment as a civil servant should be extended. ²The Dean shall forward the recommendation, including the accompanying documents, to the Executive Board.
- (2) ¹On the basis of the Faculty Council's recommendation and the documents referred to in section 9 subsection 1, the President and the Executive Board jointly consider and decide on whether the tenure-track professors have proven themselves. ²The President shall also decide on the extension of the employment status. ³Both decisions shall be taken at least three months before the expiry of the fixed term.

IV. Tenure evaluation

§ 11

Tenure evaluation

- (1) The tenure evaluation serves as the final assessment as to whether the tenure-track professors have proven themselves as university teachers and whether they will be assigned a permanent higher-level professorship.
- (2) ¹After a positive tenure evaluation, the professor is appointed as a civil servant for life or offered permanent employment. ²In the case of a negative tenure evaluation, the tenure-track professors may, upon application, be granted another fixed-term employment of up to one year, provided that the legal requirements are met.
- (3) The responsibility for carrying out the tenure evaluation lies with the Dean of the first faculty of which the tenure-track professor is a member.

§ 12

Thresholds; application for the opening of the procedure

- (1) ¹The tenure evaluation is only recommended if the tenure-track professor has met the thresholds specified in the appointment offer up to twelve months before the end of the civil service status. ²The Dean shall discuss the fulfilment of the threshold values with the tenure-track professor or shall assign this task to a professorial member of the faculty.



- (2) 1The tenure-track professor shall, as a rule, apply for the tenure evaluation procedure to be opened twelve months, but no later than nine months, before the end of their civil service status by submitting a further self-evaluation report as referred to in section 7 to the Dean. 2If the professor has not met the threshold values, they shall justify their application.

§ 13

Beginning of the procedure; Tenure Evaluation Commission

- (1) The Dean shall open the procedure, appoint a tenure evaluation commission by resolution in the Faculty Council, and inform the Permanent Tenure-Track Commission as defined in section 2 about the opening of the procedure and the composition of the Commission.
- (2) 1The Tenure Evaluation Commission shall consist of three professors from the Faculty, two professors from another university, and two representatives each from the academic staff and the student body. 2At least four of the voting members shall be women. 3Section 8 subsection 2 sentence 4, subsections 3 and 4 shall apply accordingly.
- (3) Section 5 and Section 9 subsection 1 sentence 1 of the Appointment Procedure Regulations shall apply mutatis mutandis to the adoption of resolutions and the activities of the Commission.

§ 14

Report on tenure-track procedure

- (1) 1The Tenure Evaluation Commission shall prepare the recommendation of the Faculty Council regarding the tenure-track professor's performance and the continuation of the civil-service status. 2For that purpose, the Commission shall interview the tenure-track professor. 3If the commission deems it necessary, it may, in justified individual cases, arrange for further assessments to determine the professor's eligibility.
- (2) 1The Tenure Evaluation Commission shall obtain expert opinions on the tenure-track professor's performance, in particular in research and teaching, from three external experts with proven competence in the field. 2At least one of the three expert opinions shall be prepared by a reviewer working abroad. Section 9 subsection 1 sentence 2 shall apply accordingly.
- (3) The Tenure Evaluation Commission shall prepare and adopt a tenure report on the basis of the self-report referred to in section 12 subsection 2, the presentation referred to in subsection 1, a statement by the student representatives in the Tenure Evaluation Commission on the professor's pedagogical suitability, the external expert opinions as well as a statement by the Equal Opportunities Officer on the procedure; the Commission shall forward these to the Dean.
- (4) Section 9 subsections 2–4 shall apply accordingly.



§ 15 Tenure offer

- (1) ¹In the period between the decision of the Tenure Evaluation Commission and the decision of the Faculty, the Dean, the Chair of the Tenure Evaluation Commission, the Rapporteur, the Executive Board and the Equal Opportunities Officer shall discuss the tenure report, including all documents referred to in section 14 subsection 3. ²In the case that the Equal Opportunities Officer is unable to attend, she shall submit her comments in writing.
- (2) ¹The Dean shall then submit the tenure report, including all documents referred to in section 14 subsection 3, to the Faculty Council for resolution. ²On this basis, the Faculty Council shall make a recommendation to the Executive Board as to whether the tenure should be granted. ³The Dean shall forward the recommendation, including the accompanying documents, to the Executive Board.
- (3) ¹The President, in consultation with the Executive Board, shall assess and decide on the tenure-track professor's eligibility. ²If the tenure-track professor is found to be eligible, the President shall appoint them to a permanent higher-level professorship no later than four months before the expiry of the fixed term.

§ 16 Tenure

- (1) ¹Tenure-track professors paid on salary scale W1 shall be promoted to a W2 or W3 professorship after a positive tenure evaluation. ²If the professor is appointed to a W2 professorship, a subsequent appointment to a W3 professorship without appointment procedure is only possible under the conditions set out in section 85 subsection 1 sentence 4 nos. 2, 3 and 6 ThürHG.
- (2) In consultation with the Dean, the President shall make tenure-track professors a new appointment offer on the basis of tenure negotiations.

V. Procedure for tenure-track professors paid on salary scale W2

§ 17 W2 professors with tenure-track commitment

¹W2 professors with a tenure-track commitment to a W2 or W3 professorship shall be appointed as temporary civil servants or employed on a fixed-term basis for a minimum of three to a maximum of six years. ²They may add the suffix 'tenure-track' to their academic title. ³Applicants should have changed universities once after their doctorate or have worked as scientists outside the University of Jena for at least two years. ⁴Reference is made to section 86 subsection 4 ThürHG; in all other respects, the provisions of section 4 subsection 5—with the exception of the regulation on thresholds—and section 3 subsections 1–3 shall apply accordingly.



§ 18

Tenure procedure for W2 professors with tenure commitment

- (1) Section 9 subsections 2–4, section 11, section 12 subsection 2, section 13 subsection 1, section 14 subsection 1 sentences 1 and 3, subsections 2 and 3, and section 15 shall apply mutatis mutandis for the tenure procedure for W2 professors with tenure-track commitment.
- (2) ¹The Tenure Evaluation Commission for tenure procedures for W2 professors with tenure commitment shall consist of three university professors and one representative each of the academic staff and the student body. ²One professor should be from another subject area. ³The Commission shall have at least two female members with voting rights. ⁴In justified cases, it is possible to deviate from the requirements as defined in sentence 3 with the consent of the Equal Opportunities Officer. ⁵The composition of the Evaluation Commission shall be in accordance with the principles on bias as defined in the Appointment Procedure Regulations. ⁶In the case of a joint appointment of the tenure-track professor with a non-university research institution, this institution shall be represented in the Evaluation Commission in accordance with the applicable regulations on joint appointments. ⁷For the adoption of resolutions and the activities of the Commission, sections 5 and 9 subsection 1 sentence 1 of the Appointment Procedure Regulations shall apply accordingly.
- (3) ¹W2 professors with tenure-track commitment shall be assigned a permanent W2 or W3 professorship after a positive tenure evaluation. ²In consultation with the Dean, the President shall make a new appointment offer to W2 professors with tenure-track commitment on the basis of tenure negotiations. ³If the tenure evaluation is negative, the W2 professor with tenure-track commitment shall, upon application, be granted further fixed-term employment of up to one year, provided that the legal requirements are met.

§ 19

Coming into effect and abrogation

¹These Tenure Track Statutes shall enter into force one day after their publication in the Journal of Legal Notices of Friedrich Schiller University Jena. ²At the same time, the Statutes on Appointing Tenure-Track Professors at Friedrich Schiller University Jena (Tenure Track Statutes) of 17 May 2017 (Journal of Legal Notices of Friedrich Schiller University 4/2017, p. 52) shall cease to have effect.

Jena, 14 April 2021

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