

Second Amending Regulations to,  
with simultaneous announcement of,  
the Regulations Governing Interim and Final  
Evaluations of Tenure Track Professors

at the University of Bonn (Tenure Track Regulations)

dated July 24, 2023

*Please note: This translation is provided solely for informational purposes. Only the German original – published in the official announcements of the University of Bonn (“Amtliche Bekanntmachungen”) – is legally binding:*

*Zweite Ordnung zur Änderung und zugleich Neubekanntmachung der Ordnung zur Zwischen- und Endevaluation von Tenure-Track-Professuren an der Rheinischen Friedrich-Wilhelms-Universität Bonn (Tenure-Track-Ordnung) vom 24. Juli 2023; Amtliche Bekanntmachungen, 53. Jahrgang, Nr. 37, 1. August 2023, Herausgeber: Der Rektor der Rheinischen Friedrich-Wilhelms-Universität Bonn, Regina-Pacis-Weg 3, 53113 Bonn*

**Requirement to give notice of deficiencies:**

Pursuant to § 12 paragraph 5 of the Higher Education Act of North Rhine-Westphalia (*Hochschulgesetz NRW*, HG NRW), claims over breach of procedural or formal requirements under the Higher Education Act or regulations of or other autonomous legal acts by the University of Bonn can no longer be asserted if one year has passed since the date of their announcement, unless:

1. The regulations were not properly announced.
2. The Rectorate previously objected to the resolution by the body adopting the regulations.
3. The University was previously notified of the formal or procedural deficiency, indicating the legal provision that was violated and the facts leading to the deficiency.

**Second Amending Regulations to, with simultaneous announcement of,  
the Regulations Governing Interim and Final Evaluations  
of Tenure Track Professors at the  
University of Bonn  
(Tenure Track Regulations)**

**dated July 24, 2023**

The Senate of the University of Bonn has issued the regulations set forth in the following, in line with § 2 paragraph 4 of the Higher Education Act of North Rhine-Westphalia (*Hochschulgesetz*, HG) dated September 16, 2014 (Legal and Regulatory Gazette of North Rhine-Westphalia, GV NRW p. 547), last amended by Article 1 of the Act on Membership of University Hospitals in the State Employers' Association of June 30, 2022 (GV NRW p. 780b).

## **§ 1**

### **Tenure track professorships**

The tenure track is a procedure designed for the retention of academics of the highest caliber. Upon receiving favorable interim and final evaluations, a tenure track professor becomes tenured, regardless of whether a position is open at that time.

## **§ 2**

### **Scope of application**

This document outlines the regulations governing interim and final evaluations of tenure track professors at the University of Bonn, and applies for tenure track professorships filed for after the date of their enactment. Procedures filed for prior to enactment of these regulations are still governed through their completion by the Regulations Governing Interim and Final Evaluations of Tenure Track Professors at the University of Bonn (Tenure Track Regulations) dated November 28, 2018 (official announcement of the University Bonn, year 48, no. 45 dated December 7, 2018) as amended June 21, 2019 (official announcement of the University of Bonn, year 49, no. 17 dated July 2, 2019), with reference to § 38a of the Higher Education Act.

§ 3 paragraph 2 sentence 2, paragraph 3 sentences 8 and 9, § 4 paragraph 3 sentence 2, § 6 paragraphs 3, 7 and 10, § 7 paragraph 1 sentences 7 and 8, and § 8 paragraph 1 sentence 1 of these regulations furthermore apply.

## **§ 3**

### **Faculty tenure track committees**

(1) Each faculty forms one or more standing tenure track committees as necessary, respecting § 11b of the Higher Education Act (HG). Tenure track committees are constituted of members representing professorial staff as interest group, at least one member of the groups per § 11 paragraph 1 sentence 1 nos. 2 and 4 HG and at least one non-voting member from the group per § 11 paragraph 1 sentence 1 no. 3 HG. The professorial staff interest group must have a voting majority. The committee chair must be a representative of the dean's office. The committee members are separately elected by the faculty council by group, in line with § 11b HG. By-elections are held if a committee member departs the University of Bonn or committee membership ends for other reasons, in line with § 11b HG. If a former committee member will still be a University member after departing the committee, he/she remains in office until the by-election is held. The Central Gender Equality Commissioner or the faculty's own gender equality officer acting as deputy of the former, as well as a representative of the Office of Disability Resources as applicable, are responsible for attending tenure track committee meetings in an advisory role with entitlement to speak and lodge petitions. These individuals are to be summoned to meetings and kept informed as a regular committee member.

(2) A tenure track committee has a quorum when 50% of its voting members and the committee chair are present at the time of resolution voting, as long as professorial staff constitute the majority. The provisions of the appointment regulations on meeting format and resolutions types apply accordingly.

(3) The tenure track committee is responsible for the proper structuring and conducting of tenure track procedures in compliance with the University-wide quality standards outlined in these regulations. The committee conducts interim and final evaluations including the obtaining of assessment reviews. The committee keeps tenure track files as per § 6 paragraph 2 and submits its vote to the faculty council. On the basis of that vote the faculty council votes in turn to decide whether the candidate has successfully passed the interim and final evaluations. The tenure track committee oversees the respective tenure track procedures throughout the entire process from the job advertisement on down to final evaluation.

The committee must be formed before a tenure track procedure can be conducted. The committee is not, however, formed for an individual procedure; it is a permanently existing body. The term of office for individual committee members is three years, except for members of the group per § 11 paragraph 1 sentence 1 no. 4 HG, who serve a one-year term. Sitting members may be re-elected.

#### **§ 4**

##### **The University Tenure Track Committee**

(1) The University Tenure Track Committee monitors compliance with the evaluation rules as per § 7 and the upholding of University-wide procedural and evaluation standards by the faculties, taking the respective faculty and departmental cultures into proper consideration. The committee submits a recommendation to the Rector on whether the civil service or employment contract with the position holder should be extended or made permanent on the basis of the position holder's tenure track file, the votes of the tenure track committee and faculty council and the opinion provided by the faculty gender equality officer.

(2) The University Tenure Track Committee issues proposals to the Rectorate on the basis of its experience in the interest of continuously improving the tenure track process.

(3) The members of the University Tenure Track Committee are simultaneously members of the Committee for Special Appointments under the appointment regulations. The provisions per the appointment regulations on resolution voting, meeting formats and resolution types apply accordingly.

#### **§ 5**

##### **Tenure track professorship positions**

(1) Appointments to the position of W1 Tenure Track Professor (Assistant Professor) are for an initial term of three years (phase 1). The interim evaluation concluding phase 1 is conducted to assess the professorial performance of the assistant professor. If this interim evaluation is passed, the assistant professorship is extended for another three years (phase 2). Phase 2 concludes with the final evaluation. If this final evaluation is passed, the professor receives a permanent civil service or employment contract, generally in the W2 pay grade. If phases 1 or 2 are not passed, the candidate's employment may be extended for a period of up to one year on a transitional basis.

(2) Appointments to a W2 Tenure Track Professor position are generally for a term of five years. The interim evaluation held after two years is conducted primarily to inform the position holder regarding his/her status and performance in the view of the faculty tenure track committee. If the final evaluation is then passed, the professor receives a permanent civil service or employment contract. If the final evaluation is not passed, the individual may remain employed as a non-civil servant for a maximum period of two years.

(3) A W1 or W2-level professor position may be converted into a permanent W3 professorship if requirements and performance targets pre-defined for the final evaluation are met.

## § 6

### Interim and final evaluations

- (1) All tenure track possibilities outlined under § 5 involve an interim evaluation and a final evaluation. The respective faculty ensures clear and transparent communication regarding the evaluation procedure in question and informs the candidates under evaluation appropriately concerning the procedural steps, applicable deadlines and procedure status. The respective evaluation is generally initiated in coordination with the dean by way of written application by the candidate to be evaluated filed with the chair of the competent tenure track committee.
- (2) In the case per § 5 paragraph 1, the interim evaluation at the end of phase 1 and the final evaluation at the end of phase 2 are conducted on the basis of the tenure track file, consisting of a self-evaluation report prepared by the evaluatee as specified in Part B of the appendix to these regulations and of four assessment reviews, at least two of which must be from external individuals unaffiliated with the University of Bonn (tenure track file). Two internal assessment reviews suffice for interim evaluations in the case per § 5 paragraph 2; assessment reviews from external parties do not have to be obtained. The primary purpose of assessment reviews is to inform the position holder regarding his/her status and performance in the view of the faculty tenure track committee. Sentence 1 applies accordingly regarding the assessment reviews to be obtained for the final evaluation in the case per § 5 paragraph 2.
- (3) Individuals potentially subject to a conflict of interest or who are a member of the tenure track committee are barred from appointment as reviewer/assessor. §§ 20 and 21 of the Administrative Procedure Act for the state of North Rhine-Westphalia (*Verwaltungsverfahrensgesetz*) apply in determining whether a conflict of interest is in evidence, taking into account the corresponding recommendations by the German Research Foundation (DFG) and the Conflicts of Interest policy document issued by the Rectorate. Upon commencing a review procedure, the reviewer must declare in writing having no potential conflicts of interest with regard to the candidate to be evaluated, or otherwise disclose any potential conflicts of interest to the tenure track committee without delay.
- (4) The interim evaluation must be completed promptly in advance of the end of phase 1 to allow the faculty and Rectorate time to consult and decide. Generally, this will be a period of 30 months for the case per § 5 paragraph 1. The faculty tenure track committee presents the tenure track file to the faculty council along with the result of its vote on whether the interim evaluation was passed, so that the evaluatee has proven himself or herself qualified as university professor. The faculty council in turn votes again on whether the evaluation was passed.
- (5) In the case per § 5 paragraph 1, the dean notifies the University Tenure Track Committee of the outcome of the interim evaluation via the responsible section of the University administration, attaching the tenure track file, the voting record of the faculty tenure track committee and faculty council and the opinion of the gender equality officer. The University Tenure Track Committee discusses these and issues a recommendation to the Rectorate accordingly. The Rectorate then makes the decision on extending employment based on the tenure track file, the votes of the faculty tenure track committee and faculty council, the gender equality officer's opinion and the recommendation of the University Tenure Track Committee, in line with § 19 paragraph 1 of the Gender Equality Act of North Rhine-Westphalia (*Landesgleichstellungsgesetz, LGG NRW*).
- (6) In the case per § 5 paragraph 2, the dean informs the University Tenure Track Committee as well of the outcome of the interim evaluation. A formal discussion by the Rectorate is not required, as this does not represent a staffing decision.
- (7) Upon completion of the interim evaluation, the dean informs the evaluatee of the results in a mandatory employer/employee meeting.

(8) The procedure for the final evaluation is similar to that for the interim evaluation. In this case as well, the evaluation must be completed promptly in advance of the end of phase 2 to allow the faculty and Rectorate time to consult and make a decision. The evaluatee is additionally required to hold an academic presentation before the faculty tenure track committee that is open to the public and is considered as part of the evaluation. For this, the evaluatee proposes three presentation topics to the committee, which then selects one. The faculty tenure track committee sends the tenure track file to the faculty council and votes on whether the final evaluation was passed. The faculty gender equality officer issues a statement on the evaluation procedure. The faculty council in turn votes on whether the evaluation was passed. The dean notifies the University Tenure Track Committee, via the responsible section of the University administration, of how the faculty tenure track committee and the faculty council voted and of the gender equality officer's opinion, attaching the tenure track file. The University Tenure Track Committee discusses these and issues its recommendation to the Rectorate. The Rectorate then makes the decision on granting tenure based on the tenure track file, the votes of the faculty tenure track committee and faculty council, the recommendation of the University Tenure Track Committee and the gender equality officer's opinion, in line with § 19 paragraph 1 LGG NRW.

(9) For program professorships (e.g. the Heisenberg Professorship funded by the German Research Foundation, or similar), the grant program objectives can be considered in defining the evaluation targets and criteria as per § 7. The interim outcomes of any evaluations required as part of grant programs may be applied instead, replacing the interim evaluation per paragraphs 1–3. Paragraphs 4 and 5 still apply in such case, however. The Rectorate decides on such procedural handling on a case-by-case basis upon request by the faculty in question.

(10) The decision to award tenure may be made earlier than would normally be the case if the position holder receives an appointment offer from another university for an equivalent or better professorship position. The evaluation procedure may be accelerated in order to offer tenure promptly, avoiding faculty poaching. An appointment offer from another university constitutes an assurance of quality, thus the obtaining of external assessment reviews may be waived in the evaluation procedure. Extraordinary achievement (as reflected in a Leibniz Prize, ERC Grant or other comparable distinctions) may also constitute grounds for an accelerated tenure track decision, sentence 3 applies accordingly. The Rectorate decides on such procedural handling on a case-by-case basis, upon request by the faculty in question. An offer extended by another university for an equivalent or better professorship position may be deemed equivalent to a positive evaluation result if thus agreed by the faculty and the Rectorate, even if all evaluation criteria have not been fully met, so that tenure may be awarded on an early basis.

## **§ 7**

### **Evaluation criteria**

(1) The criteria applied in evaluations as per § 6 must accord with international and University-wide standards. The criteria must furthermore take the respective academic cultures into proper consideration, and be sufficiently defined. Sample evaluation criteria are listed in Part A of the appendix to these regulations. These have to be further defined for the specific academic subject and potentially expanded or supplemented as appropriate. Criteria from all of the listed categories should be applied where possible. Criteria from categories I and II are mandatory for the interim evaluation; for the final evaluation criteria from category IV are additionally mandatory. It is not allowed to impose requirements beyond the criteria defined. It furthermore has to be specified in detail what constitutes meeting and not meeting the criteria defined. Other factors to be taken adequately into account in the evaluation are length of academic career, any objective external circumstances noted in the self-evaluation report and the personal circumstances of the candidate to be evaluated (e.g. parental leave, reduced work hours, obligations to family members in need of care, health situation, etc.). Personal circumstances are only to be considered, however, as presented in the self-evaluation report, or as communicated in advance by the candidate to be evaluated.

In case of an employment extension due to a leave of absence per § 122 of the State Civil Servants Act of North Rhine-Westphalia (*Landesbeamten-gesetz*, LBG NRW), the evaluation period is extended by the same length of time as the extension.

(2) Before a given faculty advertises a tenure track professorship, the faculty sends its proposal for the specific evaluation criteria per paragraph 1 to the Rectorate, which then makes the final decision; applicants are to be informed of those criteria in publishing such advertising.

## **§ 8**

### **Mentoring and status discussion meeting**

(1) Every tenure track professor may choose a mentor, if desired; the mentor must be a professor at the University of Bonn or another university. The role of the mentor is to provide advice and assistance with preparation of the self-evaluation report to be presented for the interim and final evaluations. The candidate's mentor may not be involved in the evaluation procedure, and may not be on the faculty tenure track committee or the University Tenure Track Committee.

(2) The dean meets with tenure track professors to discuss the status quo, initially upon entering the tenure track and annually thereafter. The dean may delegate this responsibility to a vice dean or an academic department chair. The purpose of these meetings is to identify early on any emerging performance issues relative to the professorship holder's previous performance and discuss his or her accomplishments and progress. The meetings are also for discussing the status quo regarding fulfillment of the assessment/evaluation criteria specified in the job advertisement per § 7 paragraph 2. Tenure track professors may have their mentor sit in on the meeting, if desired.

## **§ 9**

### **Data protection**

The tenure track file and other evaluation-relevant documents are confidential and subject to the data protection laws of the state of North Rhine-Westphalia and the EU General Data Protection Regulation—Regulation (EU) 2016/679. These documents may only be made accessible to third parties as necessary for the fulfillment of their responsibilities and as permitted under data protection laws.

## **§ 10**

### **Central appointment procedures**

These regulations apply accordingly to the hiring and evaluation of tenure track professors as part of central appointment procedures per § 25 of the Appointment Regulations. The Rectorate defines the responsibility of faculty tenure track committees in this regard.



**§ 11**  
**Concluding provisions**

The Regulations Governing Interim and Final Evaluations of Tenure Track Professors at the University of Bonn become effective on the day following their publication in the Gazette section of the Official Announcements of the University of Bonn.

R. Hüttemann

Chair of the Senate  
of the University of Bonn  
Prof. Dr. Rainer Hüttemann

Prepared on the basis of the University of Bonn Senate resolution of July 13, 2023.

Bonn, July 24, 2023

K. Sandmann

Vice Rector for Teaching, Learning and University Development  
at the University of Bonn  
Prof. Dr. Klaus Sandman

## Appendix:

### Part A

The evaluation criteria below form the basis for the criteria ultimately applied in interim and final evaluations of tenure track professors at the University of Bonn in the performance areas of research, teaching and committee work/office held are outlined below. The faculties further specify these and may apply additional criteria in accordance with the needs of the respective department.

#### I. Research performance

##### Possible categories

Academic growth potential in relation to an international peer group

##### Possible criteria/indicators

- Contributions to research advances, particularly regarding methodologies and concepts
- Quality, originality, creativity and autonomy of research
- Publications in peer-reviewed journals and conference presentations involving a substantial personal contribution
- Demonstrable international reputation as indicated, for example, by:
  - Impact factor, citations
  - Conferences organized, editor and reviewer work
  - Invitations to speak (at conferences, etc.)
  - Awards, honors, research professorships, fellowships (Alexander von Humboldt, etc.)
  - International visibility, network of contacts

Grant funding secured, partnerships, technological innovation, knowledge transfer

- Success in competitive proceedings (EU, DFG, BMBF, AiF, industry, foundations, etc.)
- Involvement or spokesperson role in collaborative research projects (e.g. CRC, RTG, EU, BMBF, AiF consortial projects)
- Initiation of technology transfer projects, spin-offs and other knowledge transfers
- Patent filing, securing and exploitation

Supporting early-career academics

- Serving as advisor to successful doctoral students and postdoctoral researchers
- Pedagogical suitability as evidenced by professional conduct vis-a-vis students advised, ability to reflect on one's own adviser role; conflict and problem-solving competency; ability to see things from another's perspective; advising competency with specific regard to equality and diversity issues.
- Quality of subsequent positions/professional careers of graduates

## II. Teaching

### Possible categories

Teaching performance

### Possible criteria/indicators

- Quality and scope of teaching in terms of teaching format (lectures, seminars, lab courses, etc.), degree level (bachelor's, master's, doctorate) and international factor (e.g. teaching in English)
- Quality of instruction and didactic skills, including teaching evaluations by students.
- Pedagogical suitability as evidenced by professional conduct vis-a-vis students, ability to reflect on one's own role as teacher; conflict resolution and problem-solving competency; ability to see things from another's perspective; teaching competency with specific regard to equality and diversity issues.
- Advising on bachelor's and master's thesis papers/projects

Teaching materials created

- Developing and introducing new teaching content, didactical concepts and formats, e-learning
- Textbooks and monographs authored

Other

- Didactical continuing education, attendance of cross-disciplinary seminars
- Prizes and awards for quality of teaching

## III. Academic committee work, offices held

### Possible categories

Involvement in academic self-administration

### Possible criteria/indicators

- Involvement in internal university commissions and committees
- Serving as faculty gender equality officer or ombud

Involvement in scientific-academic organizations and associations

- Serving as peer reviewer/independent expert
- Serving on editorial/advisory boards of peer-review scientific journals (e.g. as associate editor)
- Serving on departmental or special committees (e.g. standards committee), relevant professional associations and/or committees/councils representing a profession
- Membership in scientific academies, scientific advisory committees and the promotion of science/academics
- Managerial involvement in foundations for the promotion of science (AvH and DAAD in particular) and in institutions for the promotion of research (DFG, German Council of Science and Humanities, EU and EIT in

particular)

- Involvement in national and international commissions and committees

#### **IV. Leadership responsibility**

##### **Possible categories**

Staff leadership competency

##### **Possible criteria/indicators**

- Working group leader
- Leadership style oriented around gender equality, diversity and family-friendly values
- Completed continuing education, either as part of the University of Bonn staff development concept (e.g. manager coaching) or through external offerings

### **Part B**

The self-evaluation report required as part of evaluation procedures for tenure track professors at the University of Bonn is structured as shown below. The self-evaluation report may be in either German or English, in accordance with the faculty or departmental culture. The self-evaluation report for an interim evaluation should not exceed 20,000 characters (including spaces), and for final evaluation should not exceed 40,000 characters (including spaces) in length.

#### **Self-evaluation report, application**

1. Summary presentation of achievements to date with reference to the evaluation criteria outlined in Part A, further specified and potentially supplemented by department-specific provisions, organized into these action areas: 1.1 Research achievements, 1.2 Teaching, 1.3 Knowledge transfer, 1.4 Academic committee work/offices held and 1.5 Leadership responsibility.
2. Summary presentation of development goals and planned activities in these action areas: 2.1 Research, 2.2 Teaching, 2.3 Supporting early-career academics, 2.4 Knowledge transfer and 2.5 Academic committee work/offices held.
3. List of salient publications

#### **Attached appendices in table form for the following:**

1. Curriculum vitae
2. Publications
3. Grant funding applications filed, outstanding and fulfilled broken down by type and volume
4. Academic lectures/presentations (national and international)

5. University-internal, national and international academic research and teaching partnerships
6. Courses taught, with student evaluations
7. Ongoing and completed supervision of bachelor's/master's theses or doctoral thesis projects, any other activities in support of early-career researchers
8. Knowledge transfer activities
9. Academic self-administration activities
10. Prizes, awards, fellowships
11. Academic conferences organized
12. Research consortium coordination
13. Editorships for academic/scientific journals, book series, etc.
14. Peer review activities
15. Memberships and activities in academic/scientific societies and similar organizations
16. Ongoing and completed continuing education (for non-discipline-specific competencies in particular)
17. Other accomplishments