

Statute and Quality Assurance Concept of the University of Stuttgart for Tenure-Track Professorships

December 20, 2018

In accordance with Section 8 Para 5, Section 19 Para 1 Sentence 2 No 10, Section 45 Para 6 Sentence 9 and Section 51b Para 2 Sentence 1 of the Landeshochschulgesetz (law on higher education in Baden-Württemberg, LHG) in the version of April 1, 2014 (GBl. p. 99), which was last amended by Article 1 of the law of March 13, 2018 (GBl. p. 85ff), on December 12, 2018 the Senate of the University of Stuttgart agreed on the following Statute and Quality Assurance Concept of the University of Stuttgart for Tenure-Track Professorships.

The quality assurance concept contained in this statute has been agreed upon with the Baden-Württemberg Ministry of Science, Research and the Arts in accordance with Section 51b Para 1 Sentence 2 LHG.

§ 1 Scope

This statute applies to junior professors as per Section 51 LHG, whose appointments are associated with a commitment to promote them into a professorship of a comparable denomination at a higher salary grade at a later stage should they pass their probation (tenure-track professorships). It constitutes the quality assurance concept in the sense of Section 51b LHG. This statute regulates the proceedings from the advertisement of the tenure-track professorship to the final evaluation and the promotion to a W3 professorship in the event of passing their probation.

§ 2 Advertisement of tenure-track professorships and selection process

- (1) Advertisements of tenure-track professorships are generally published internationally. The advertisement must describe the type and scope of the tasks to be performed. The requirements identified in this statute in the event of a subsequent promotion to a W3 professorship and the scheduled tenure-track procedure must be highlighted in the advertisement. This also includes the indication that an above-average performance during the tenure-track period must be demonstrated by the tenure-track professor during the final evaluation.
- (2) Both the legal regulations as well as the currently valid version of "Leitfaden zur Durchführung von Berufungsverfahren an der Universität Stuttgart" (Guidelines for professorial appointment procedures at the University of Stuttgart) shall apply regarding the selection process and the composition of the selection committee for appointing tenure-track professors. At least three external assessments must be obtained from the selection committee, of which at least two must be comparative. Applicants for a tenure-track professorship shall have changed universities once they have obtained their doctorate, or must have been employed for at least two years in an academic field outside the university to which they are applying. Section 51 Para 5 Sentence 2 LHG as well as Section 48 Para 1 Sentence 4 LHG remain unchanged.
- (3) Accommodation and funding issues must be clarified between the relevant Office of the Dean and the Rectorate in advance of the advertisement. A written record of these agreements must be created. Tenure-track professors receive a staff position for two years from the Rectorate as start-up funding. During this time, the holders of this post should raise external funding. The Dean of the relevant faculty shall make sure that the tenure-track professors can conduct scientific work independently and are not burdened with teaching beyond their reduced teaching obligations.

§ 3 Gender equality standards, temporary appointments, extension in the event of caring for children or relatives

- (1) The same gender equality standards apply when appointing tenure-track professors as are defined for all other appointments in the “Leitfaden zur Durchführung von Berufungsverfahren an der Universität Stuttgart” (Guidelines for professorial appointment procedures at the University of Stuttgart). A gender-sensitive selection and appointment procedure is ensured through the participation of the Gender Equality Officer in the respective selection committee for appointing tenure-track professors, as well as at all stages of the evaluation process.
- (2) Tenure-track professors at the University of Stuttgart are initially appointed as civil servants for a period of four years. In the last year of this period, an interim evaluation is carried out of the performance of the tenure-track professor thus far. Subject to agreement with the tenure-track professor at the suggestion of the relevant faculty, the employment as a civil servant should be extended by the Rector to a total of six years providing the person in question has proven to be competent judging by the results of the interim evaluation; otherwise the employment as a civil servant can be extended by up to one year subject to agreement with the tenure-track professor.
- (3) In the last year of the tenure-track professorship, the tenure-track professor, who has successfully passed an interim evaluation shall undergo a final evaluation on his or her professional performance, which shall determine his or her suitability and aptitude for employment as a university professor. Based on the results of this final evaluation, the decision is taken in accordance with Section 48 Para 1 Sentence 4 LHG to appoint the candidate to the corresponding W3 professorship, taking into consideration the particular requirements identified in the advertisement in determining the suitability, capability and professional performance in the event of a subsequent promotion. If a tenure-track professor does not pass the final evaluation according to Section 51 Para 7 Sentence 2 LHG, the employment may be extended by up to a year subject to agreement with him or her.
- (4) If the tenure-track professor is caring for one or more children under 14 years old or for family members who require care, in accordance with Section 45 Para 6 Sentence 2 and 3 LHG the employment as a civil servant can be extended by up to two years per child or per relative requiring care up to a total of up to four years, providing the extension is necessary in order to reach the qualification standards determined in Section 51b LHG. In accordance with Section 45 Para 6 LHG, these extensions may not exceed a period of four years, even when they coincide with other extensions. The detailed requirements for the use and the form of the extensions are based on the currently valid version of the “Satzung der Universität Stuttgart zur Verlängerung von Beamtenverhältnissen auf Zeit bei Kinderbetreuung und Pflege” (Statute of the University of Stuttgart on Temporarily Extending the Civil Servant Employment in the event of childcare and caring for family members).

§ 4 Conflicts of interest

The committees involved in evaluating the tenure-track professors, the relevant Office of the Dean as well as the Rectorate must ensure at all times that no person is involved in the process who may be suspected of bias. The usual regulations employed at the University of Stuttgart for avoiding conflicts of interest, as defined in the “Handreichung des Rektorats der Universität Stuttgart zu Fragen der Befangenheit in Berufungsverfahren” (Guidelines of the Rectorate of the University of Stuttgart regarding Conflicts of Interest in Professorial Appointment Procedures), shall apply when assessing a suspicion of bias. In particular, no person who is employed by the University of Stuttgart and no reviewer who took part in the assessment of the dissertation or habilitation of the tenure-track professor may take part in

assessing the research performance. The regulations regarding conflicts of interest must be made available to the university as well as to all members of the committee, the reviewers and all other persons taking part in the evaluation, either in writing or electronically.

§ 5 Evaluation criteria and standards

- (1) The object of the evaluations carried out as part of a tenure-track professorship are research, teaching, personal management skills as well as academic self-government skills, whereby priority is given to areas of responsibility relating to research and teaching. The criteria for the individual evaluation topics are listed in **Annex 2** to this statute.
- (2) The appointment to a W3 professorship as part of a tenure process assumes that an above-average performance in the tasks of the tenure-track professorship can be demonstrated in the final evaluation. The faculty shall establish whether a national or international standard should be used for the purposes of comparison. A candidate's academic age and their current qualification phase must be reasonably taken into account.
- (3) Based on the catalog of criteria given in Annex 2 and in agreement with the Rectorate, to reflect the field of the particular tenure-track professorship the faculty can determine which subject-specific requirements and criteria the evaluation of the tenure-track professorship is based on and how these are weighted. In particular, this involves determining which qualifications are mandatory for the field in question. These qualifications should not be exclusively quantitative in nature. The Gender Equality Officer of the faculty in consultation with the central Gender Equality Officer must be given the opportunity to submit a formal statement of advice on this matter. The subject-specific standards are submitted to the Rectorate along with the faculty's application for approval for the position.
- (4) On request, the tenure-track professor will be notified in writing by the Rector about the requirements, criteria and standards of the evaluations and about the course of proceedings, or latest with his or her appointment to the tenure-track professorship at the University of Stuttgart as part of the appointment agreement.

§ 6 Evaluation leading to a decision to extend the period of service of a tenure-track professor after four years (interim evaluation)

- (1) The interim evaluation of tenure-track professors should create transparency and offer guidance regarding their future career path. The evaluation does not prejudge the decision on tenure even if it is successful, but it is an important indicator, which helps to recognize any critical issues where applicable and to improve on them accordingly. The feedback on a person's past performance and on professorial key areas of responsibility that possibly need improvement in order to meet all criteria must be given in writing.
- (2) The Dean of the relevant faculty shall be responsible for carrying out the interim evaluation, though the task can be delegated within the Office of the Dean. The Central Administration reminds the relevant faculty to initiate the interim evaluation three years after the tenure-track professor's appointment on a fixed-term basis. In response, the Dean requests the tenure-track professor to submit a self-report within three weeks in accordance with **Annex 1** to this statute, providing a detailed explanation on his or her past performance in research and teaching as well as his or her academic self-government activities and personnel management skills. With this request, the interim evaluation process begins.

- (3) The following documents serve as a basis for assessing the tenure-track professor's performance in research and teaching, their personnel management skills and their level of activity in academic self-government:
 1. the self-report written by the tenure-track professor in accordance with Annex 1 to this statute,
 2. at least two external assessments about their research performance, of which at least one must come from abroad,
 3. the results of their teaching evaluations,
 4. the written assessment of their teaching performance by the Dean of Undergraduate and Graduate Studies, with the involvement of the students council.
- (4) The tenure-track professor's past performance in research and teaching, their personnel management skills and their level of activity in academic self-government are assessed based on the criteria listed in Annex 2 to this statute and the subject-specific requirements of the faculty as per Section 5 Para 3.
- (5) After being presented with the self-report and after consulting with the Office of the Dean, the Dean requests at least two external reviews about the research performance of the tenure-track professor, of which at least one must come from abroad. If the tenure-track professor completed his or her doctorate at the University of Stuttgart then at least three external assessments must be requested, of which at least one must come from abroad. The selection and appointment of reviewers assumes that they have an adequate knowledge of the specialist areas which the research carried out by the tenure-track professor focuses on. The reviewers should be excellent scientists and come from a variety of institutions. It must be ensured that the reviewers are independent both from a professional and personal perspective; the University of Stuttgart's rules for avoiding conflicts of interest shall apply. As a basis for their assessment, the reviewers are given the self-report written by the tenure-track professor, the criteria for research listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3.
- (6) The reviewers should base their assessment of the tenure-track-professor's research performance and current state of development on the subject-specific requirements of the faculty in accordance with Section 5 Para 3 as well as the criteria for research listed in Annex 2 to this statute. With regard to the tenure-track professors previous efforts and his or her potential as a researcher, the reviewers shall judge whether it can be expected that all performance demands of Section 47 Para 2 LHG are met at the end of the second phase. The assessments must be submitted in writing.
- (7) The Dean of Undergraduate and Graduate Studies assesses the teaching performance of the tenure-track professor based on the self-report and the results of the teaching evaluation with the involvement of the students council, using the criteria for teaching listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3. The assessment by the Dean of Undergraduate and Graduate Studies can also be based on lesson observations, didactic demonstrations or conversations with the tenure-track professor about their teaching concept. The Dean of Undergraduate and Graduate Studies produces a written report for the Office of the Dean about his or her assessment of the tenure-track professor's teaching performance.
- (8) The Office of the Dean compiles a written interim evaluation report on the tenure-track professor's past performance in research and teaching, their personnel management skills and their level of activity in academic self-government based on the documents listed in Para 3 and with the aid of the criteria listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3 in agreement with the Gender Equality Officer. If necessary, this report may list critical areas and contain a justified recommendation to extend the period of service; the Office of

the Dean can also call upon a qualified professor of the University of Stuttgart to give advice in this respect. If the Office of the Dean does not intend to extend the term of employment of the tenure-track professor due to a failure to meet the required standards, or at most recommends extending the term of employment by up to a year, the tenure-track professor must be consulted first.

- (9) The interim evaluation report from the Office of the Dean is presented to the Enlarged Faculty Council of the relevant faculty for a decision to be taken. Based on the interim evaluation report and the decision made by the Enlarged Faculty Council, the Office of the Dean submits a suggestion to the Rectorate to extend the term of employment of the tenure-track professor. The results of the interim evaluation and the suggestion made by the relevant faculty should be presented to the Rectorate no more than three and a half years after the tenure-track professor's appointment.
- (10) If the Office of the Dean proposes a positive decision, the Rector should extend the tenure-track professor's term of employment to a total of six years. The tenure-track professor receives a certificate of appointment confirming the extension of his or her employment as a civil servant along with a written acknowledgement of the positive interim evaluation. He or she also receives a copy of the interim evaluation report written by the Office of the Dean.
- (11) If the decision from the Office of the Dean is negative, the tenure-track professor is notified by the Rector that the employment as a civil servant will not be extended to six years. By way of justification, reference can be made to the decision proposed by the Office of the Dean which is attached to the notification. Subject to agreement with the tenure-track professor, the employment as a civil servant can be extended by up to a year by the Rectorate on the suggestion of the Office of the Dean.

§ 7 Mentoring program, consultation and leadership development

- (1) A mentoring program is offered to support all tenure-track professorships, which provides every tenure-track professor with a mentor from a similar discipline and a mentor from another department or another faculty. Jointly, the mentors should advise the tenure-track professor in carrying out evaluations and planning his or her future career in particular. Participation in the mentoring program is not compulsory.
- (2) Four years after the tenure-track professor's appointment, a consultation takes place based on the interim evaluation and the criteria listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3. Here, the tenure-track professor should be advised whether, and where applicable under what conditions, he or she can expect a promising future career in science (research and teaching). The consultation should include the mentors of the tenure-track professor and a member of the relevant Office of the Dean. Female tenure-track professors may also invite the Gender Equality Officer to take part in the consultation. The results of the consultation must be handled with the strictest confidentiality with regard to external parties.
- (3) The University of Stuttgart offers its managers a leadership program in a modular form, which includes seminars, workshops and individual coaching sessions. Tenure-track professors are expected to actively take part in this leadership program, which is tailored to a university environment.

§ 8 Final evaluation of tenure-track professors by an evaluation committee and simplified appointment procedure for a professorship in accordance with Section 48 Para 1 Sentence 4 LHG

- (1) Before the beginning of the final year of the tenure-track professorship, the central administration requests the relevant faculty to initiate the final evaluation proceedings for tenure-track professors who have successfully completed the interim evaluation. If the post holder, generally after a successful interim evaluation, has received an external appointment for a W3 professorship or been awarded with high-profile scholarships or prizes by external reviewers, the evaluation and appointment procedure at the University of Stuttgart can be initiated at an earlier stage in justified exceptional cases. In response, the Dean asks the tenure-track professor to submit a self-report within three weeks in accordance with Annex 1 to this statute about his or her past performance in research and teaching as well as his or her academic self-government activities and personnel management skills, and informs the Rectorate about this. With this request, the final evaluation process begins.
- (2) The Rector informs the Senate about the procedure being initiated and appoints a rapporteur for the evaluation and appointment procedure. The rapporteur participates in the meetings of the evaluation committee and tenure committee in an advisory capacity, and produces a report for the Senate after the proceedings of each of the committees have finished.
- (3) For the final evaluation of the past performance of the tenure-track professor in research and teaching, their personnel management skills and their level of activity in academic self-government, the Rectorate forms an evaluation committee in consultation with the relevant faculty, which is led by a member of the Rectorate or the Office of the Dean of the faculty; the relevant faculty has the right to nominate members of the evaluation committee. The professors appointed to the evaluation committee as professorial members must have the majority of votes. The committee must include
 - at least four professors from the relevant faculty,
 - two professors from other faculties,
 - two expert women,
 - the Gender Equality Officer,
 - a student and
 - at least one expert from outside the university

The evaluation committee can call upon an expert from subject teaching and higher education didactics in an advisory capacity. The external expert members may not take over the roles held by the expert women.

- (4) The following documents shall serve as a basis for assessing the performance of the tenure-track professor:
 1. the self-report written by the tenure-track professor in accordance with Annex 1 to this statute,
 2. at least four external assessments about their research performance, of which at least two from abroad,
 3. the results of their teaching evaluations,
 4. the written assessment of their teaching performance by the Dean of Undergraduate and Graduate Studies, with the involvement of the students council,
 5. the documentation of an academic lecture given by the tenure-track professor followed by a discussion.

- (5) The tenure-track professor's past performance in research and teaching, their personnel management skills and their level of activity in academic self-government are assessed based on the criteria listed in Annex 2 to this statute and the subject-specific requirements of the faculty as per Section 5 Para 3.
- (6) The appointment to the corresponding W3 professorship without an advertisement and via a simplified appointment procedure as per this statute assumes that the tenure-track professor demonstrates an above-average performance in research, teaching and academic self-government (Section 5 Para 2), and that the particular requirements already identified in the advertisement of the tenure-track professorship for determining the suitability, capability and professional performance of a candidate to be appointed to the corresponding W3 professorship have been met. This must be taken into account when commissioning the assessments of the research performance, the assessment of the teaching performance by the Dean of Undergraduate and Graduate Studies as well as the assessments carried out by the evaluation committee and tenure committee.
- (7) After being presented with the self-report, the evaluation committee invites the tenure-track professor to give an academic lecture of 45 minutes in length to a university audience followed by a discussion on a given topic or a topic of the candidate's choosing within a range of topics set by the evaluation committee. The academic lecture should enable a judgment to be made on the ability to discuss scientific issues, and should show that scientific questions and results can be critically presented to a specialist audience. The main content and procedure of the academic lecture must be documented sufficiently and transparently in order to ensure a reliable basis on which to assess the quality of the presentation in the subsequent procedure.
- (8) Also, after consulting with the committee, the chair of the evaluation committee requests at least four external assessments of the research performance of the tenure-track professor, including at least two from abroad. If external assessments exist from a habilitation procedure completed since the successful interim evaluation they can be taken into consideration in the tenure-track procedure, however in such case at least two further independent assessments must still be sought, whereby at least two assessments must be from abroad. The same rules apply when choosing and appointing the reviewers as for the interim evaluation in Section 6 Para 5. As a basis for their assessment, the reviewers are given the self-report written by the tenure-track professor, the criteria for research listed in Annex 2 to this statute, the subject-specific requirements of the faculty in accordance with Section 5 Para 3 as well as the particular requirements already identified in the advertisement of the tenure-track professorship for determining the suitability, capability and professional performance for being appointed to the corresponding W3 professorship.
- (9) The reviewers are appointed to assess the research carried out by the tenure-track professor based on the criteria for research listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3 with regard to the contribution made to the national and international discussion of the subject. The reviewers must demonstrate which facts and which general and particular criteria the assessment has been based on and what the reasons are behind the assessment. The assessments must contain a recommendation on whether the person being evaluated is suitable for the appointment as a university professor based on his or her research performance. Also, the assessments must ascertain whether, and to what extent, the tenure-track professor has exceeded expectations when it comes to research. This also includes an assessment of whether, and to what extent, the tenure-track professor has met the particular requirements already identified in the advertisement of the tenure-track professorship and that the subject-specific requirements of the faculty in accordance with Section 5 Para 3 determining the professional performance in research for being appointed to the corresponding W3 professorship have been met. The assessments must be submitted in writing. If the assessments significantly differ

from one another in their recommendations and/or justifications, the evaluation committee can obtain additional assessments.

- (10) The Dean of Undergraduate and Graduate Studies receives the self-report and the results of the teaching evaluation from the chair of the evaluation committee, and assesses the skills and experience with the involvement of the students council using the criteria listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3. The assessment can also be based on lesson observations, didactic demonstrations or conversations with the tenure-track professor about the teaching concept, and if necessary the consultation provided by the expert from subject teaching and higher education didactics. The statement provided by the Dean of Undergraduate and Graduate Studies must also ascertain whether, and to what extent, the tenure-track professor has exceeded expectations when it comes to teaching in addition to the assessment of his or her teaching skills and teaching experience. This also includes an assessment of whether, and to what extent, the tenure-track professor has met the particular requirements already identified in the advertisement of the tenure-track professorship and that the subject-specific requirements of the faculty in accordance with Section 5 Para 3 in determining the teaching performance for being appointed to the corresponding W3 professorship have been met. The Dean of Undergraduate and Graduate Studies produces a written report for the evaluation committee about his or her assessment of the tenure-track professor's teaching performance.
- (11) The personnel management skills and the commitment of the tenure-track professor to academic self-government are assessed by the evaluation committee. The assessment is also based on actively participating in seminars held as part of the University of Stuttgart's leadership program.
- (12) Based on all the documents listed, the academic lecture and the particular requirements already identified in the advertisement of the tenure-track professorship for being appointed to the corresponding W3 professorship, the evaluation committee assesses the tenure-track professor's past performance in research and teaching, their personnel management skills and their level of activity in academic self-government as a whole under consideration of the criteria listed in Annex 2 to this statute and the subject-specific requirements of the faculty in accordance with Section 5 Para 3, and creates a written report with a recommendation for the Rectorate regarding the tenure-track professor's professional performance, suitability and aptitude for employment as a university professor. Providing the recommendation from the evaluation committee is positive, it is also suggested that the tenure-track professor should be promoted to the corresponding W3 professorship. The evaluation committee's report must transparently explain whether, and to what extent, the tenure-track professor has demonstrated an above-average performance in research, teaching and academic self-government and whether, and to what extent, the particular requirements already identified in the advertisement of the tenure-track professorship and the subject-specific requirements of the faculty in accordance with Section 5 Para 3 for determining the suitability, capability and professional performance for being appointed to the corresponding W3 professorship have been met. If the evaluation committee does not intend recommending the appointment of the tenure-track professor to the corresponding W3 professorship due to his or her performance being inadequate, the tenure-track professor must be heard by the evaluation committee before the decision is made.
- (13) The results of the final evaluation should be presented to the relevant Office of the Dean and the Rectorate no more than five and a half years after the tenure-track professor's appointment. The faculty and Rectorate are always bound by the vote of the evaluation committee. Insofar as it can be determined that the tenure-track professor is suitable and capable of employment as a university professor based on the results of the final evaluation, he or she is issued a certificate by the University of Stuttgart based on the example in **Annex 3** to this statute. Insofar as the Rectorate does not intend to

appoint the tenure-track professor to the corresponding W3 professorship following a recommendation made by the evaluation committee due to his or her performance being inadequate, the Rector shall inform the tenure-track professor of the key evaluation results in writing and shall inform the Senate of the result of the final evaluation. In this instance, the proceedings will be considered as closed.

§ 9 Consent of the relevant Enlarged Faculty Council

The suggestion from the evaluation committee to appoint the tenure-track professor to the corresponding W3 professorship requires the consent of the relevant Enlarged Faculty Council. The Dean of the respective faculty shall present the suggestion made by the evaluation committee to the Enlarged Faculty Council for it to give its consent. The suggestion of the evaluation committee on appointing the tenure-track professor to the corresponding W3 professorship is then subsequently forwarded to the tenure committee by the Dean of the relevant faculty, along with all the documents and the confirmation of consent given by the respective Enlarged Faculty Council in order for a final assessment to be made.

§ 10 Assessment by the tenure committee

- (1) To assure quality control in the tenure-track procedure and to ensure that the same standards apply across all faculties, as well as to ensure that the assessment is independent of any vested interests, the Rectorate forms a permanent tenure committee across different faculties in consultation with the Senate. This committee is led by a Vice Rector. As a general rule, it should be made up of six especially well-renowned professors of the University of Stuttgart from the fields of engineering, natural sciences, the humanities, economics and social sciences, as well as the Gender Equality Officer.
- (2) The job of the tenure committee is to assess the suggestion made by the evaluation committee with respect to the quality control in the tenure-track procedure mentioned in Para 1, ensuring that the same standards apply across all faculties, as well as ensuring that the assessment is independent of any vested interests. The tenure committee is free to obtain additional reviews to assess the research performance of the tenure-track professor and to invite him or her to a consultation, the content of which must be documented in a way which is adequate and comprehensible. Based on all the documents provided, as well as additional assessments and the documentation from the consultation where necessary and the suggestion from the evaluation committee and the consent from the relevant Enlarged Faculty Council, the tenure committee submits a suggestion to the Rectorate as to whether the tenure-track professor should be appointed to the corresponding W3 professorship. The tenure committee's suggestion should be presented to the Rectorate no more than five and a half years after the tenure-track professor's appointment.
- (3) The Rectorate can allocate the responsibilities of the tenure committee to the Research Council in consultation with the Senate (Section 4 of the University Charter of the University of Stuttgart).

§ 11 Participation of the Senate

The Senate takes a position on the suggestion made by the tenure committee. It can take a position on the evaluation committee's vote on appointing the tenure-track professor to the W3 professorship. The Senate does not give a statement on the suggestion of the tenure committee if it has given a statement on the evaluation committee's vote and the result of this statement corresponds with the suggestion of the tenure committee. If the Rectorate has allocated the responsibilities of the tenure committee to the Research Council, the Senate

then takes a position on the suggestion made by the Research Council; Clauses 2 and 3 shall apply accordingly.

§ 12 The Rectorate's decision on an appointment to the W3 professorship via tenure-track procedures

Based on the evaluation committee's vote, the consent of the relevant Enlarged Faculty Council, the suggestion of the tenure committee or the Research Council and the statement given by the Senate, the Rectorate determines whether or not to appoint the tenure-track professor to the corresponding W3 professorship. The Rector informs the tenure-track professor of the Rectorate's decision and the key findings of the evaluation in writing. Providing the tenure-track professor can be judged as suitable and capable of employment as a university professor based on the results of the final evaluation, the tenure-track professor receives a certificate by the University of Stuttgart based on the example in Annex 3 to this statute even if the Rectorate does not intend to appoint the tenure-track professor to the corresponding W3 professorship due to his or her performance being inadequate.

§ 13 Waiving an evaluation

In the event of a tenure-track professor leaving the University of Stuttgart prematurely, no evaluation will take place. In such cases, an evaluation procedure which has begun but has not yet been completed is discontinued without result by decision of the Rectorate. The Rector informs the tenure-track professor of the termination of the evaluation.

§ 14 Entry into force

- (1) This statute shall enter into force on December 1, 2018. It applies to tenure-track professors who have been appointed after November 30, 2018.
- (2) Junior professors with tenure track who were appointed before November 30, 2018 can choose within three months of this statute entering into force whether this statute or the "Satzung der Universität Stuttgart zur Evaluierung von Juniorprofessuren und Berufung von Juniorprofessuren mit Tenure Track vom 21. November 2016" (University of Stuttgart's Statute for Evaluating Junior Professors and Appointing Junior Professors with Tenure Track of November 21, 2016) shall apply to them by making a written declaration to the Rectorate. If a junior professor with tenure track does not submit a written statement to the Rectorate by the deadline specified in Clause 1, the University of Stuttgart's Statute for Evaluating Junior Professors and Appointing Junior Professors with Tenure Track of November 21, 2016 shall apply.
- (3) Evaluations and appointments of junior professors with tenure track may only be carried out according to the statute of November 21, 2016 until December 31, 2024 at the latest. From January 1, 2025, the University of Stuttgart's Statute for Evaluating Junior Professors and Appointing Junior Professors with Tenure Track of November 21, 2016 will cease to apply.

Stuttgart, December 20, 2018

Prof. Wolfram Ressel
Rector

Annex 1

to the Statute and Quality Assurance Concept of the University of Stuttgart for Tenure-Track Professorships of December 20, 2018

The tenure-track professor should write a critical self-report of a maximum of 10 pages in length about what he or she has achieved in terms of research, teaching and academic self-government, as well as his or her personnel management skills. The self-report should cover the following topics:

Research

- List and brief explanation of the most important research topics
- Description of cooperative research projects with other working groups within the university
- Description of regional, national and international cooperative research projects and interdisciplinary collaborations
- Publications in the period under review
- Applications for external funding in the period under review
- External funding received in the period under review
- Awards and prizes in the period under review
- Memberships of scientific committees
- Supervision of doctoral degree studies and/or activities to promote early career researchers
- Transfer activities (business, administration, politics) and/or cooperations with areas of practice

Teaching

- Short explanation of his or her involvement in the study program(s)
- List of courses taught and examinations carried out (lecture, exercise, seminar) and brief description of the courses' contents
- Explanation of teaching methods, didactics and methodology used as well as the use of new media
- Consultancy and supervision of students
- Supervision of degree theses
- Participation in trainings and continuing education measures in higher education teaching
- Internationality (supervision of exchange students and doctoral students from abroad, participation in joint projects with other universities with regard to teaching, courses taught in English or other foreign languages)

Academic self-government and personnel management skills

- Brief description of academic self-government activities / committee work and if applicable participation in university working groups
- Description of leadership experience/skills
- Participation in continuing education on topics of personnel management, with supporting evidence

Annex 2

to the Statute and Quality Assurance Concept of the University of Stuttgart for Tenure-Track Professorships of December 20, 2018

Assessment criteria for evaluating the performance of tenure-track professors in research and teaching, academic self-government activities as well as personnel management skills

The following catalog of criteria is shaped by the belief that these criteria should be applied in as uniform a manner as possible in the interest of maintaining the same standards across the university. These criteria form the basis for the evaluation. Additional subject-specific requirements can be determined by the faculty in agreement with the Rectorate in accordance with Section 5 Para 3 of the statute.

Criteria for assessing the research performance

- Quality and quantity of publications
- Methodological foundation and innovative character of the research projects
- Extension and innovation of research methods in comparison to the dissertation
- Independence of scientific approach
- Significance of research work in national and international comparison
- External funding obtained (amount, institution)
- Supervision of doctoral students
- Willingness and capability to carry out interdisciplinary research
- Scientific cooperations with university and extra-university research institutions
- International cooperations
- Invited lectures and other contributions to conferences

Criteria for assessing the teaching performance

- Subject knowledge (theoretical foundations, teaching methodology)
- Ability to work independently (e.g. preparing lectures, taking new teaching concepts into consideration)
- Consulting skills
- Results of the teaching evaluation by students
- Didactics (communication, presentation of knowledge, teaching material, etc)
- Use of multimedia and encouragement of multimedia skills among students
- Range of teaching activities
- Internationality (e.g. courses in English or other foreign languages)

Criteria for assessing personnel management skills and commitment in academic self-government

- Participation in trainings and continuing education measures in personnel management
- Documentation of leadership experience (e.g. leadership of working groups)
- Participation in academic self-government in the faculty and within the university



Annex 3

to the Statute and Quality Assurance Concept of the University of Stuttgart for Tenure-Track Professorships of December 20, 2018

Certificate

of

suitability and aptitude for an appointment as university professor

Under the Rectorate of.....

and the Office of the Dean of.....

a final evaluation in accordance with
Section 51 Para 7 of the Higher Education Act
of the state of Baden-Württemberg
has determined that

Mr/Ms

.....

born on.....in.....

as part of his/her tenure-track professorship for

.....

has shown his/her suitability and aptitude for
an appointment as university professor.

Stuttgart,

The Rector
of the University of Stuttgart

The Office of the Dean
of the Faculty of.....

