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Pursuant to Article 51 b, pars. 1, 2 of the Act of Baden-Württemberg on Universities and Colleges (Landeshochschulgesetz – LHG) in conjunction with Article 20, par. 1, of the Act on Karlsruhe Institute of Technology (KIT Act – KITG), the Senate of Karlsruhe Institute of Technology (KIT) adopted the following Quality Assurance Concept for Junior Professorships and Tenure-track Professorships at its meeting on December 17, 2018. The Baden-Württemberg Ministry of Science, Research, and the Arts expressed its approval by letter dated January 09, 2019.

Preamble

Qualified and motivated employees are the main pillar of success of KIT. KIT attaches highest priority to transparent and responsible staff planning, recruitment, and development, with particular emphasis lying on the early and systematic support of young scientists. Young scientists, in their entirety, make significant contributions to research, teaching, and innovation and, thus, are an indispensable pillar of the German science system. The most relevant and overarching requirement made on holders of junior professorships and tenure-track professorships¹, but also on the quality assurance procedure outlined in this Concept is attaining excellence in research and academic education. Recruitment of excellent young scientists and their continuous support from the doctorate to e.g. habilitation or W1 professorship are of high strategic importance to KIT. In particular, KIT uses the instrument of a tenure-track professorship to promote early independence of young scientists, to offer them reliable career perspectives by appointment to a W3 professorship in case of a successful final evaluation, and to plan their lives under family-friendly work conditions. At its meeting of September 19, 2016 already did the KIT Senate agree on establishing tenure-track professorships as an additional career option for young scientists at KIT.

This Quality Assurance Concept covers the selection and development of junior professors from the appointment procedure for a W1 professorship to final evaluation and of tenure-track professors from appointment to transfer to a W3 professorship in case of a positive final evaluation. Apart from a quality-assured procedure, this Quality Assurance Concept also guarantees transparent, binding, objective, and competitive arrangements for junior and tenure-track professorships to promote young scientists in the early stage of their careers.

Article 1 Principles and Framework Conditions

(1) To guarantee compliance with KIT-wide standards during the complete process of establishing junior or tenure-track professorships (appointment procedure, qualification phase, evaluations, and, in case of tenure-track professorships, transfer to a W3 post), the President of KIT shall be supported by the Vice-Presidents. For approval of a junior or tenure-track professorship, for instance, one of the Vice-

¹ According to Article 51 b, par. 1, LHG, tenure-track professorships are junior professorships. KIT defines a junior professorship as a fixed-term W1 professorship without transfer to a W3 professorship, while a tenure-track professorship is a fixed-term W1 professorship with transfer to a W3 professorship in case of a positive final evaluation.

Presidents shall be appointed rapporteur by the Executive Board. The Executive Board's rapporteur shall assume a central role in the procedure and shall inform the members of the Executive Board at their regular meetings or the President directly, either orally or in writing, about the work of the commissions and the status of the procedure. In particular, the rapporteur shall report whether the procedure is carried out in accordance with all formal and legal requirements and whether the KIT standards are observed. The rapporteur of the Executive Board shall have the right to participate as a guest in meetings of the commissions. The Appointment Procedures Group of the Strategic Corporate Development and Communications Business Unit (SEK-BV) shall advise the rapporteur of the Executive Board with respect to the requirements to be met and shall support him/her above all in preparing the reports. For this purpose, the chairpersons of the commissions and the responsible Heads of Division shall promptly make available to SEK-BV all relevant documents, such as texts of vacancy notices, minutes, expert opinions, and statements.

(2) At KIT, junior professors and tenure-track professors shall be appointed either fixed-term civil servants (Beamter/Beamtin auf Zeit) for the duration of six years according to Article 51, par. 7 and Article 51 b, par. 1, cl. 1, LHG or employees (Angestellte/r) in accordance with Article 51, par. 8 and Article 51 b, par. 1, cl. 1, LHG.

(3) To facilitate timely orientation of junior professors and tenure-track professors, a quality-assured interim evaluation (cf. Article 6) shall be made at an appropriate early time – before expiry of the third year of employment – and a quality-assured final evaluation (cf. Article 7) shall be envisaged. Interim evaluation as a qualified feedback procedure shall serve to review previous work based on the achievements made as university teacher in research, teaching, and innovation². In this way, expectations on the junior professor or tenure-track professor during the remaining qualification phase shall be defined in more detail. Final evaluation shall serve to verify whether the requirements defined for the junior professorship at time of appointment were met or, in case of tenure-track professorships, whether the criteria for successful transfer to a W3 professorship were fulfilled and to determine eligibility and qualification for appointment as professor in accordance with Article 47, LHG, old version³. The criteria, particularly for appointment as W3 professor, shall be outlined in the vacancy notice for the W1 professorship already, so that the requirements are clear to the candidate when starting his/her work.

(4) In principle, applicants from the advertising university may be appointed junior or tenure-track professor in justified exceptional cases only and only if they either moved to another university after completion of their doctorate or worked as a scientist outside of KIT for at least two years. Derogation from the prohibition of internal appointments shall be possible only, if appointment of the member of the

² Significance of the **contribution to innovation** is considered on an individual basis and reflected by the criteria specified for appointment to the W3 professorship and other criteria (research, teaching, etc.).

³ Act of Baden-Württemberg on Universities and Colleges (Landeshochschulgesetz – LHG) in the version valid until the entry into force of the Third Act on the Modification of University Regulations (3rd University Regulations Modification Act – 3. HRÄG) of April 01, 2014.

university is imperative as a result of the need to select the best as specified by Article 33, par. 2 of German Basic Law.

(5) In case of an employment as academic staff member prior to or after the doctorate, total duration of the doctoral and employment phases shall not exceed six years. Extended employments according to the Science Part-time Employment Act (Wissenschaftszeitvertragsgesetz – WissZeitVG) (Article 2, par. 5, cl. 1, nos. 1 and 3-5) shall not be considered. These include, among others, parental leave, maternity leave, or leave of absence or reduction of working hours by at least one fifth to care for one child or several children under 18 years of age. Article 2, par. 3, cl. 1, WissZeitVG shall apply accordingly. Appointment under the Program of the Federation and the Federal States shall take place at an early stage of the career, as a result of which the doctorate must have been conferred not more than four years before the time of application. Deviations shall be possible in exceptional and justified cases only.

(6) In case the applicant heads a junior research group, not more than half of the specified duration of this function should have been passed, in derogation from paragraph 5.

Article 2 Appointment Procedures for Junior Professorships and Tenure-track Professorships

(1) Junior professors and tenure-track professors shall be appointed in a quality-assured and gender-appropriate procedure as outlined in the present regulations. The requirements for eligibility shall be subject to Art. 51, par. 2 and Art. 51 b, par. 1, LHG, which implies that apart from general legal provisions for work in the civil service sector, the following requirements must be fulfilled:

- Completed university studies;
- pedagogic qualification, which is usually reflected by teaching or training experience;
- special capability of doing scientific work, which is usually reflected by an outstanding doctoral degree.

In addition, appointments to W1 positions associated with pedagogic or didactic work for the education of teachers shall require proof of at least three years of practical teaching. Any exceptions shall be justified.

(2) The appointment procedure, including the search for members and composition of the appointment commission, participation of internationally renowned experts, and approval of the junior professorship or tenure-track professorship shall be subject to Articles 51 and 51 b, par. 1, LHG and the appointment guidelines of KIT, as amended, unless otherwise provided for by the present Concept. The appointment commissions shall be chaired by the Head of Division as a representative of the President; he/she may delegate this task to a professor. During the first meeting of the appointment commission and based on the evaluation criteria given in Annex 1, subject-specific priorities shall be defined in writing for the interim and final evaluations and for transfer of the tenure-track professorship to a W3 professorship.

These priorities shall serve as a basis of the vacancy notice. Prior to accepting the appointment, the junior professor or tenure-track professor shall be informed in writing about the procedure, criteria and standards applicable to the interim and final evaluations, and regulations relating to potential conflicts of interests. During the appointment negotiations, a binding target agreement on the subject-specific priorities shall be concluded to ensure transparent appraisal of the achievements of the junior professor or tenure-track professor in the interim and final evaluations. Transferable or cross-disciplinary skills and other achievements required are defined in a KIT-wide standard and shall be included in the target agreement taking into account Annex 1 of this Quality Assurance Concept.

(3) Work of the appointment commission and its chairperson shall be supported by SEK-BV and other relevant business units.

(4) To account for the special circumstances of the early appointment and the academic maturity of the applicants, the appointment procedure shall be complemented by an assessment of relevant cross-disciplinary aspects (leadership potential, potential indicators). A corresponding statement shall be included in the report of the appointment commission. For this purpose, the appointment commissions may ask the Human Resources Development and Vocational Training Business Unit (PEBA) for expert advice and support. In addition, PEBA offers to provide its expertise to ensure a systematic and gender-appropriate procedure and prevent methodical assessment errors.

The results of the assessment of the leadership potential and potential indicators shall be considered when making the decision. Due to subject-specific considerations, deviations from this principle shall be permitted.

In the qualification phase, the results of potential analysis shall be used as a basis for the systematic and target-oriented development of junior professors and tenure-track professors.

(5) To enhance gender equality, the following additional aspects shall be considered in the appointment procedure:

- The subject area of the junior professorship or tenure-track professorship shall be formulated broadly enough in order not to exclude qualified female researchers.
- Qualified female candidates shall be searched for actively. The regulations specified in the KIT appointment guidelines shall apply.
- All persons involved in the appointment process shall be sensitized for an objective selection of staff under special consideration of gender-specific aspects.

Article 3 Special Provisions for Externally Evaluated Heads of Junior Research Groups and Heads of Junior Research Groups already Recognized at KIT

(1) In case a person has succeeded in acquiring an externally evaluated junior research group (Emmy Noether program, ERC Starting Grant, Sofja Kovalevskaja Award, Helmholtz Young Investigators Group, or other highly competitive evaluation processes) and has been leading this group for not more than half of the scheduled duration, this person may be proposed for a junior professorship or tenure-track professorship by the Head of Division applying for his/her release upon approval by the KIT Department Council and Division Council, with the ultimate goal being permanent recruitment of these excellent researchers. In case of a tenure-track professorship, provisions to ensure sustainability of the envisaged W3 position shall be included in the application for release.

(2) The appointment procedure shall be subject to the provisions of this Concept and the appointment guidelines of KIT, as amended. Acquisition of an externally evaluated junior research group may be a requirement for application. The responsible Head of Division shall ensure completion of the appointment procedure within one year.

(3) Until appointment, the head of a junior research group may be employed as a salaried employee (Angestellte/r) by KIT, provided that the prerequisites for funding and fixed-term employment are fulfilled. At that time, the deadlines given in Article 1, par. 5 shall expire.

(4) At the request of the junior professor or tenure-track professor to the Head of Division and upon approval by the Division Council and Department Council of KIT, duration of the qualification phase may be shortened and interim and final evaluations may be planned earlier by the Executive Board. If applicable, no interim evaluation may be required. Depending on the situation, an appropriate case-by-case decision shall be made. The junior or tenure-track professors shall be informed about the possibility to shorten the qualification phase.

(5) In case an external evaluation (according to e.g. regulations of an Emmy Noether program) is envisaged during the junior professorship or tenure-track professorship, the time of interim evaluation shall be adapted to the time of this external evaluation. For this purpose, the junior professor or tenure-track professor shall inform the Head of Division and SEK-BV in due time about when the external evaluation will take place.

(6) Heads of junior research groups already working at KIT (e.g. persons mentioned in paragraph 1 or heads of junior research groups recognized by the KIT Council for Research and Promotion of Young Scientists (CRYS) may be transferred to a junior professorship or tenure-track professorship. Paragraphs 1 to 4 shall apply accordingly.

Article 4 Invitation of Applications

(1) Applications for the junior professorship or tenure-track professorship shall be invited internationally (cf. Article 51, par. 4, LHG). In particular, vacancy notices shall contain the following details:

- Work description;
- tenure-track commitment for tenure-track professorships;
- duration of the junior professorship or tenure-track professorship (cf. Article 1);
- subject-specific priorities and procedure of interim evaluation; as regards general interim evaluation criteria, it may be referred to this Concept;
- subject-specific priorities and procedure of final evaluation; as regards general final evaluation criteria, it may be referred to this Concept.

Further requirements specified for vacancy notices in the appointment guidelines of KIT, as amended, shall be observed.

(2) The wording of the vacancy notice shall be gender-appropriate, equally attractive to all persons, and shall not contain any gender-connoted characteristics. Family-friendly services, such as a leave of absence for family reasons, support of dual career options, or accompanying coaching to enhance the compatibility of job and family, etc. (Art. 9, par. 2) shall be mentioned explicitly.

Article 5 Systematic Support

(1) The junior professor or tenure-track professor shall be supported as regards his/her personal development and reflection of own progress. For this purpose, a mentoring service shall be offered to the junior professor or tenure-track professor, with two **mentors** providing confidential advice and support. The junior professor or tenure-track professor may do without support by mentors.

Mentors shall be experts in a scientific discipline related to that of the junior professor or tenure-track professor, but be employed at another institute or department, if possible. They shall hold a W3 professorship or have an equivalent function. At least one of the two mentors shall be a member of KIT. At the request of the junior professor or tenure-track professor, the responsible Head of Division shall support the selection of mentors and preferably the search for a female mentor.

(2) As regards the interim and final evaluations and the requirements to be fulfilled, the mentors shall have at least one annual advisory meeting with the junior or tenure-track professor, among others, to discuss and reflect on the professor's development of scientific expertise, transferable skills, and other achievements, career goals, challenges, and opportunities for further development. Prior to interim evaluation, a status consultation shall be organized to jointly review the previous development of the junior professor or tenure-track professor, to identify future development priorities, and to assess perspectives for the remaining qualification phase. Prior to final evaluation, a status consultation shall take place to complete the mentoring phase and to jointly review the previous development of the junior professor or tenure-track professor, to assess perspectives and career options, and to plan the further professional career.

(3) In addition, KIT shall support all junior and tenure-track professors in fulfilling their tasks in research, teaching, and innovation. This shall be done, among others, through assistance in applying for research grants or by offering courses in university didactics. Value shall also be attached to establishing and developing scientific and transferable competencies. The latter shall be achieved by relevant leadership training (i.e. training offered by YIN) and systematically accompanied by PEBA.

Article 6 Interim Evaluation

(1) To ensure transparency and awareness of future career options, an interim evaluation shall be required according to Article 51, par. 7 and Article 51 b, par. 2, LHG. The interim evaluation shall be applied for in writing by the junior or tenure-track professor in due time prior to expiry of the third year of employment. Applications shall be sent to the President of KIT via the Head of Division and SEK-BV. Above all, interim evaluation shall serve to assess the performance of junior or tenure-track professors in research, teaching, and innovation. Assessment shall be based on the general criteria relating to transferable skills, other achievements, and the subject-specific priorities defined at the beginning of the appointment procedure and in the target agreement. The applicable KIT-wide criteria for interim and final evaluations (Annex 1) shall be in line with the subject-specific standards in research, teaching, and innovation in principle.

Interim evaluation shall serve to assess and rate previous scientific achievements and developments, the scientific potential and strengths, as well as development opportunities of the junior or tenure-track professor. To support and accompany personal development of the junior or tenure-track professor in the area of transferable skills, his/her leadership skills and other transferable competencies shall be analyzed.

At the time of interim evaluation, the Head of Division, together with the respective junior or tenure-track professor, shall reflect on whether the professorial career path is the most reasonable one or whether a scientific career should be started after the qualification phase.

(2) Responsibility for carrying out the interim evaluation shall rest with the KIT Head of Division, who may delegate this task to another qualified professor of KIT. SEK-BV shall coordinate the procedure. Interim evaluation shall start in due time before expiry of the third year of work. Interim evaluation shall be initiated by SEK-BV sending a letter to the responsible Head of Division after having received the application for an interim evaluation by the junior or tenure-track professor. The responsible Head of Division and SEK-BV shall ensure to the extent possible that the interim evaluation is completed by the expiry of the third year of work at the latest, such that the junior or tenure-track professor can plan his/her further career at an early stage. The process steps are represented in tabulated form in Annex 3.

(3) Interim evaluation shall be based on the documents given below. All assessments shall be based on the general criteria for interim evaluations given in Annex 1 as well as on the subject-specific priorities defined at the beginning of the appointment procedure and in the target agreement.

- **Self-assessment**
The Head of Division shall ask the junior professor or tenure-track professor to submit a self-assessment within a period of four weeks. This self-assessment shall rate the achievements in research, teaching, and innovation as well as in the area of transferable skills. It is recommended to structure the report as outlined in Annex 2.
In the self-assessment, the junior or tenure-track professor shall document his/her activities, reflect on previous successes and challenges, and propose solutions and opportunities for further development. He/she shall outline detailed concepts for his/her future activities and medium-term research and teaching projects (concept for the future). In addition, he/she shall comment on the further development of transferable skills. The self-assessment shall be addressed to the responsible Head of Division, written in English, and not exceed ten pages plus the annexes listed in Annex 2.
- **Two external opinions**
When submitting the self-assessment, the junior or tenure-track professor shall propose at least two external persons for providing opinions. Upon receipt of the self-assessment, the responsible Head of Division shall request two external opinions. In doing so, he/she shall not be bound to the proposals of the junior or tenure-track professor, especially in cases of potential conflicts of interests. The two external persons shall be renowned scientists in the discipline and hold a W3 professorship or equivalent position. At least one of them shall be a representative of a foreign university or internationally renowned foreign research institution. At least one of the two external experts shall be female. Any deviations from the above two requirements shall be justified in the interim evaluation report. Both persons writing the external opinions shall receive a copy each of the junior or tenure-track professor's self-assessment.
- **Opinion of the responsible Studies Dean**
The Head of Division shall ask the responsible Studies Dean for an opinion relating to the junior or tenure-track professor's achievements in teaching. This opinion shall take into account the results of course evaluations, among others.
- **Interim evaluation report**
In agreement with the responsible KIT Dean and based on the self-assessment, the external opinions, and the opinion of the Studies Dean, the Head of Division shall produce a written interim evaluation report containing an assessment of the junior or tenure-track professor's past and expected achievements at KIT and of his/her development potentials. This report shall also specify the expectations to be met by the junior or tenure-track professor in the remaining qualification phase.
- **Based on the interim evaluation report of the Head of Division, the self-assessment, and opinions, the President of KIT shall decide on future expectations to be met by the junior or tenure-track professor and communicate this decision in writing to the junior or tenure-track professor.**

Article 7 Final Evaluation

(1) Final evaluation shall serve to assess the performance of the junior or tenure-track professor in research, teaching, and innovation. In addition, further development of transferable skills and involvement in the university's self-administration shall be rated to determine his/her eligibility and qualification as university teacher and the possibility of transferring tenure-track professorships to W3 professorships. Final evaluation shall be based on clearly defined and transparent criteria and transfer of tenure-track professorships to W3 positions shall represent a reasonably simplified appointment procedure according to Article 48, par. 1, cl. 4, LHG (ad personam and without the need for an invitation of applications). The evaluation shall be based on the general criteria described in Annex 1 and the subject-specific priorities defined at the beginning of the procedure.

(2) Final evaluation of the junior or tenure-track professor shall be applied for in writing by the latter to the President via the Head of Division and SEK-BV after four years and three months of work at the latest.

(3) The responsible Head of Division shall initiate final evaluation of the junior professor after four years and seven months of work at the latest.

After four years and seven months of work at the latest, shall final evaluation of the tenure-track professor be initiated by the responsible Head of Division submitting the application for release for the W3 professorship (including the respective decisions of the KIT Department and Division Councils) and subsequent decision by the Executive Board and by the KIT Senate and Supervisory Board, if applicable.

Then, the KIT Department Council shall issue and decide on a first proposal regarding the composition of the final evaluation commission, which may be complemented by the Division Council. The Head of Division shall present the resulting joint proposal of the KIT Department Council and Division Council to the Executive Board via SEK-BV. The requirements to be met by the final evaluation commission shall correspond to the minimum requirements made on an appointment commission according to Article 48, par. 4, LHG and agree with the appointment guidelines of KIT, as amended. For confidentiality reasons, mentors shall not be members of this commission. The process steps are represented in tabulated form in Annex 4.

(4) Final evaluation of the junior and tenure-track professorships for the reasonably simplified appointment procedure shall be based on the documents below. All assessments shall be based on the general criteria for final evaluations given in Annex 1 as well as on the subject-specific priorities defined at the beginning of the appointment procedure and in the target agreement.

- **Self-assessment**

Parallel to establishing the final evaluation commission, the Head of Division shall ask the junior or tenure-track professor to write and submit a self-assessment. This self-assessment shall rate previous achievements based on the criteria given and outline future plans for the W3 professorship in case of a

tenure-track professorship. Self-assessment shall be structured as outlined in Annex 2 and based on the criteria listed in Annex 1. The self-assessment shall be written in English and not exceed ten pages plus annexes.

- Three external opinions

When submitting the self-assessment, the junior or tenure-track professor shall propose at least five external persons for providing opinions. At least one of the persons proposed shall be female.

Upon receipt of the self-assessment, the final evaluation commission shall name three external experts for providing opinions. In doing so, the commission shall not be bound to the proposals of the junior or tenure-track professor, especially in cases of potential conflicts of interests. The experts shall be internationally renowned scientists in the discipline and hold a W3 professorship or equivalent position. Whenever it is deemed appropriate due to the scientific scope of the professorship, foreign experts shall be involved. At least one of the experts shall be female. If this is impossible, the reasons shall be documented. In case an expert refuses to give an opinion, the Head of Division shall contact another person, such that eventually three opinions will be available.

The three experts shall receive a copy each of the junior or tenure-track professor's self-assessment.

The opinions for final evaluation shall contain a detailed assessment of whether or not the junior or tenure-track professor has proved to be successful in fulfilling all tasks in research, teaching, and innovation since the start of work. The opinion on the junior professor shall contain a positive or negative assessment of his/her eligibility and qualification as university teacher. The opinion on the tenure-track professor shall contain a recommendation for approval or rejection of transfer to a permanent W3 position.

- Opinion of the Studies Dean

The Head of Division shall ask the responsible Studies Dean for an opinion relating to the junior or tenure-track professor's achievements in teaching. This opinion shall take into account the results of course evaluations, among others.

- Presentation to the university public

The junior or tenure-track professor shall give a presentation on his/her research. The contents and quality of the presentation shall be considered in the final evaluation report.

- Interim evaluation documents

The documents of interim evaluation and in particular the expectations defined during the interim evaluation procedure shall be taken into account by the final evaluation. The final evaluation commission shall decide on the proceeding.

- Final evaluation report

The final evaluation commission shall issue a final report on the junior or tenure-track professor's past and expected achievements in general. It shall rate and decide on the junior or tenure-track professor's eligibility, qualification, and achievements as university teacher as well as on the development of

his/her transferable skills⁴ for transfer to W3 professorship. Evaluation of the tenure-track professorship shall be based on the requirements to be met by the W3 professorship.

(5) The proposal of the final evaluation commission shall be decided upon by the KIT Department Council and Division Council. The Head of Division shall submit the final report and the decisions of the KIT Department and Division Councils to SEK-BV and, in case of the junior professorship, to the Executive Board for final decision. In case of the tenure-track professorship, the final report with the decisions by the KIT Department and Division Councils shall be subject to the procedure outlined in the KIT appointment guidelines (as amended). In principle, all bodies to be involved in the procedure shall be bound to the vote of the final evaluation commission⁵. In case of a positive vote, the W3 professorship shall be offered upon the corresponding decisions by the Executive Board and KIT Senate. Further proceeding shall be in agreement with the appointment guidelines of KIT, as amended. In case of a negative vote, the junior or tenure-track professor shall be informed in writing about the result by the President. The responsible Head of Division shall discuss the result with the junior or tenure-track professor, who shall be given the opportunity to comment. Then, the employment relationship shall end after six years upon expiry of the fixed term. If the tenure-track professor has not proved to be successful according to the final evaluation, his/her civil service contract (Beamtenverhältnis) may be extended by up to one year, if desired.

(6) In case the junior or tenure-track professor, prior to the final evaluation but after interim evaluation, is offered a W3 professorship or an equivalent W3 position or a renowned award, such as an ERC grant or a Heisenberg professorship, by an external institution, the final evaluation procedure may be initiated prematurely at the request of the junior or tenure-track professor. This request shall be addressed to the responsible Head of Division. In case the comment of the Head of Division and the supporting votes of the Department and Division Councils are followed by the Executive Board's positive decision, the further proceeding shall be in accordance with the provisions of paragraphs 1 to 5.

Article 8 Conflicts of Interests during Interim and Final Evaluations

(1) In the course of final evaluation, conflicts of interests shall be avoided when selecting the members of the final evaluation commission already. Articles 20 and 21 of the State Administration Procedures Act (Landesverwaltungsverfahrensgesetz) shall apply accordingly.

⁴ Further development in the area of transferable skills is proved by an academic leadership certificate granted upon expiry of the junior or tenure-track professorship. At the time of final evaluation, it must be obvious that this certificate will be granted.

⁵ The binding effect in principle refers to the contents-based principle decision of the final evaluation commission. This means that in case of e.g. procedural irregularities or for reasons of eligibility, qualification, or scientific achievements according to Article 33, par. 2, Basic Law, the bodies to be involved may take a decision other than that of the final evaluation commission. These individual cases shall be justified and documented in detail.

(2) In case a person turns out to be biased during interim or final evaluation, the Head of Division in case of the interim evaluation or the chairperson of the final evaluation commission and SEK-BV shall be informed immediately. Prior to a decision by the Head of Division or the final evaluation commission on potential conflicts of interests of a commission member or an external expert, the said person shall be heard. In case of an interim evaluation, this decision shall be documented in the report of the Head of Division; in case of final evaluations, the decision shall be documented in the report of the final evaluation commission.

Article 9 Aspects of Gender Equality and Family Friendliness

Equal opportunities of men and women as well as family friendliness are strategic goals of KIT. In the present Concept, the requirements of gender equality and family friendliness are reflected by the following concrete measures when appointing and evaluating junior and tenure-track professors:

(1) Gender equality in the appointment procedure

- The number of junior and tenure-track professorships offered shall be increased in order to attract more women for a scientific career at an early stage and to further increase the proportion of female professors.
- For each junior and tenure-track professorship, a custom-fit job profile shall be specified to enhance the validity, objectiveness, and transparency of the appointment procedure.
- The scope of topics covered by the junior professorships shall be sufficiently wide to also attract qualified female scientists.
- Qualified female candidates shall be searched for actively. The KIT appointment guidelines shall apply.
- The members and chairpersons of the appointment commission shall be offered advice and support to systematize the procedure, avoid methodical assessment errors, and ensure a gender-appropriate selection procedure.
- All persons involved in the appointment procedure shall be sensitized for an objective staff selection, in particular in terms of gender-specific aspects.
- The vacancy notice shall be written in a gender-appropriate language, such that all persons are equally attracted and no gender-connoted characteristics are used. The appointment commission shall be supported in writing gender-appropriate and attractive vacancy notices.
- If desired by the junior professor or tenure-track professor, one or two female mentors shall be selected for support.
- At least one of the opinions for interim evaluation shall be written by a female expert.
- For writing the final evaluation opinions, at least one woman shall be proposed by the junior or tenure-track professor and at least one woman shall be appointed expert. If this is impossible, the reasons shall be documented.

(2) Family friendliness

- Compatibility of job and family is of particular concern to KIT. To the extent permitted by law and subject to the regulations valid at KIT, family-friendly working times, part-time work, job sharing, or leaves of absence may be offered (Annex 5).
- In case of parental leave or leaves to care for close relatives or to fulfill other family obligations, the employment contract shall be extended and the evaluation dates shall be adapted accordingly.
- In the vacancy notice, family-friendly services offered by KIT, such as the possibility of a leave for family reasons, support of dual career options, and on-the-job coaching for a better work-life balance, etc. (Article 9, par. 2) shall be mentioned explicitly.
- Junior or tenure-track professors shall be preferred when granting childcare places that are under the control of the Executive Board.
- KIT's Dual Career Service considers the needs of dual career couples and offers partners of junior and tenure-track professors comprehensive advice. The main focus lies on support in the search for suitable career and networking possibilities in and around Karlsruhe. In addition, the Dual Career Service provides information relating to childcare, selection of suitable schools, and housing.
- Moreover, PEBA offers individual coaching to support the junior or tenure-track professor in enhancing his/her work-life balance.

(3) Extension of the qualification phase in case of adoption or birth of a child or care for a relative in need of care:

According to Article 45, par. 6, clauses 8 to 11, LHG, the fixed-term civil servant status (Beamtenverhältnis auf Zeit) of junior professors and tenure-track professors may be extended by two years per child and by not more than four years in total at their request when caring for one child or several children aged below 14, provided that the extension is required to reach the qualification goal specified according to Article 51, par. 7, LHG or Article 51b, LHG.

Extensions according to this provision shall not exceed a total duration of four years, even if they are combined with other extensions according to Article 45, par. 6, LHG.

The junior professor or tenure-track professor shall submit a justified application to the responsible Head of Division via the KIT Department. This application shall contain the following information:

- Current status in the areas of research, teaching, and innovation;
- Description of activities in the area of transferable skills and other achievements;
- Statement relating to the necessity of extending the fixed-term civil servant status to reach the qualification goal;
- Care for one child or several children under the age of 14 or adoption of a child or care for a relative in need of care.

Care shall be proved by the corresponding documents (e.g. birth certificate of the child, medical certificate or certificate of the care needed by relatives).

The Head of Division shall check the application submitted by the junior or tenure-track professor and shall, in agreement with the KIT Department, if necessary, comment on the necessity of extending the fixed-term civil servant status to reach the qualification goal associated with the employment.

Then, the application of the junior or tenure-track professor, together with the comment of the Head of Division and all necessary documents, shall be submitted to the Executive Board for decision via SEK-BV and the Human Resources Business Unit (PSE). By decision of the Executive Board, the power of decision may be transferred to the President.

In particular, the application for extension may be rejected, if

- an extension is not in the interest of the institution or
- the qualification goal associated with the civil servant status has been given up clearly by the junior or tenure-track professor.

In case of private-law fixed-term employment contracts with junior or tenure-track professors, the provisions of Article 9, par. 3 of this document shall apply accordingly.

Article 10 Transitional Provisions

(1) This Quality Assurance Concept for Junior Professorships and Tenure-track Professorships shall enter into force upon decision by the KIT Senate and agreement with the State Ministry of Science on the day after publication in the official announcements of KIT. It shall apply to all junior and tenure-track professors appointed after the entry into force of this Concept.

(2) Tenure-track professors already appointed according to Article 10, par. 1 of this Concept at the time of its entry into force shall be subject to the Quality Assurance Concept for Junior Professorships with a Tenure Track (Qualitätssicherungskonzept für Juniorprofessuren mit Tenure-Track) of May 09, 2017.

Karlsruhe, January 10, 2019

*(signed) Professor Dr.-Ing. Holger Hanselka
(President)*

Annex 1: Criteria for Interim and Final Evaluations

Central questions for interim evaluation:

- Which contribution does the junior or tenure-track professor make to research, teaching, and innovation?
- Judging from the research started, how important and feasible are the scientific projects and the planned development after interim evaluation in the remaining qualification phase of the junior or tenure-track professorship?
- How do you rate the past and future development of the junior or tenure-track professor as regards the requirements to be met for the junior professor's eligibility and qualification as university teacher or for the tenure-track professor's transfer to a W3 position? Will the tenure-track professor be able to fulfill the requirements for a W3 professorship in the foreseeable time and to independently and successfully represent his/her subject area?

Central questions for final evaluation:

- Does the junior professor fulfill the requirements for eligibility and qualification as university teacher?
- Does the tenure-track professor fulfill the requirements for a W3 professorship according to Article 47, par. 1, LHG, old version?

The following criteria shall be used for assessing the achievements of the junior professor and tenure-track professor. At the beginning of the procedure, subject-specific priorities shall be defined to specify the general criteria for research, teaching, and innovation in more detail (Article 2, par. 2).

Research

- Independence, contribution to the research area (originality and interdisciplinarity, if applicable); research collaborations (internal, external) and scientific visibility (also on the international level)
- Scientific advancement since the completion of the doctorate or start of employment
- Quality and quantity of publications and, if applicable, invention disclosures and patents
- Successful acquisition of third-party funding (volume, results) for research (primarily for gaining scientific knowledge) particularly from public sources, such as the German Research Foundation (DFG), Federal Ministry of Education and Research (BMBF), European Union (EU), or State Ministry of Science, Research, and the Arts (MWK)
- Supervision of doctoral researchers
- Scientific presentations and contributions to expert conferences, participation in expert meetings, and invitations for presentations

- Awards, prizes, and grants
- External offers of professorship, if applicable
- Work in scientific organizations
- Subject-specific criteria

Teaching

- Range of teaching subjects, teaching success
- Didactics and methodology (capability of presenting and processing knowledge, media competency and use, quality of teaching material, qualification efforts relating to university didactics)
- Extent of involvement in counseling and supervision of students, exams, and graduation theses
- Subject-specific criteria

Innovation

- Progress in the area of innovation since the doctorate or start of employment
- Acquisition of third-party funding for market- or product-oriented activities, applications, or implementation (funding volume and topics)
 - from industry (volume, companies, results)
 - from public sources for validation and startup projects (e.g. VIP+, Helmholtz Validation Fund, Helmholtz Enterprise, EXIST, Ten- actions Program “Innovativer Mittelstand” (innovative medium-sized enterprises) of BMBF, and Innovation Fund of KIT)
- Royalties (volume and companies)
- Startups
- Contributions to standardization
- Work in close-to-industry organizations
- Awards and prizes related to innovation

Transferable skills

- Further development of personal, methodological, and social competencies
- Further development of leadership and management skills (depending on the specific requirements of the respective junior or tenure-track professorship/future W3 professorship)

Other achievements

- Work in bodies within and outside of KIT (for final evaluation only)
- Participation in superordinate projects (for final evaluation only)

Annex 2: Structure of and Documents for Self-assessment

The self-assessment shall be **structured as follows and cover the following aspects:**

1. Achievements in research, teaching/teaching portfolio, and innovation
2. Additional achievements (transferable skills, other achievements)
3. Annexes

Individual self-assessment shall be based on the subject-specific priorities defined for the KIT-wide criteria as well as on the other subject-specific criteria. Please bear in mind that interim evaluation as a qualified feedback process shall result in a detailed specification of the expectations to be met in the remaining qualification phase. Hence, the focus shall lie on areas of further development, among others. Final evaluation, by contrast, shall concentrate on a prognosis of whether the junior professor meets the requirements for eligibility and qualification as university teacher in an outstanding way or whether the tenure-track professor perfectly meets all requirements associated with the W3 professorship.

The self-assessment shall be written in English (exceptions shall depend on the scientific discipline and shall be agreed upon in advance with the Head of Division) and have not more than ten pages (plus annexes).

Details on research and innovation shall cover the following topics:

- Independence and contribution to the research area (innovative character of research, internationality, interdisciplinarity), research collaborations (internal/external), and scientific visibility
- In case of interim evaluation: Activities planned in the remaining period of junior professorship
- In case of final evaluation: Activities planned for future W3 professorship (concept for the future)
- Scientific advancement since the completion of the doctorate/start of employment
- Quality and quantity of publications (indicate the five most important publications; assessment of publications in research (h-index, citations, etc.)). These publications may be added to the report as annexes
- Third-party funds acquired and applied for (volume, funding institutions, results)
- Patents, licenses, startups
- Supervision of doctoral researchers
- Scientific presentations and contributions to expert conferences, participation in expert meetings, invitations for presentations. Presentations may be added to this report as annexes
- Awards, prizes, grants
- If applicable, received offers of professorship that can be documented in writing

Details on teaching shall cover the following topics:

- Teaching activities (with information on practical implementation (e.g. reference to teaching materials) and explanation of integration in the program and own teaching spectrum, by way of example)
- Teaching evaluations (at least two results for interim evaluation and at least one more result for final evaluation) with a self-reflection on the development of subject-related didactic skills and, if applicable, reflected results of teaching observations by external experts
- Supervision of completed and current graduation theses, exams made (type, number, own function)
- Certificates and trainings of university didactics (e.g. Baden-Württemberg-Zertifikat für Hochschuldidaktik (Baden-Württemberg certificate for university didactics)), teaching awards

Details on transferable skills and additional achievements shall cover the following topics:

- Reflection on further development of personal, methodical, and social competencies
- Reflection on further development of management and leadership skills (depending on individual requirements of the junior or tenure-track professorship/future W3 professorship)
- Participation in bodies within or outside of KIT (final evaluation only)
- Participation in superordinate projects (final evaluation only)

The following annexes shall complement the self-assessment. Other annexes shall not be allowed.

1. Curriculum vitae
2. List of publications, list of working papers (including references), list of patents
3. List of third-party funds acquired and applied for
4. List of supervised master's, bachelor's, and doctoral theses
5. Table of the lectures, seminars, exercises, and internships held, with the study program, semester, and number of students indicated
6. Proposals of external experts
Interim evaluation: At least two proposals of persons to give an expert opinion (requirements to be met: Excellent external scientists holding a W3 professorship or equivalent position; at least one person shall be from abroad; at least one person shall be female)
Final evaluation: At least five proposals of persons to give an expert opinion (requirements to be met: Internationally renowned external scientists holding a W3 professorship or equivalent position; at least one person shall be female)

Annex 3: Process Steps of Interim Evaluation

Process step	Responsible	Duration	Time (after start of work)
Application for start of interim evaluation	Junior or tenure-track professor		3 years
Request to the Head of Division to initiate interim evaluation	Strategic Corporate Development and Communications, Appointment Office (SEK-BV)		3 years
Junior/tenure-track professor is requested to submit his/her self-assessment and propose external experts; if applicable, inquiry in advance as to whether the expert can issue an opinion	Head of Division		3 years
Preparation and submission of self-assessment and proposal of external experts	Junior/tenure-track professor	4 weeks	3 years, 1 month
Head of Division requests external experts and Studies Dean to give their opinions	Head of Division, external experts, mentors, Studies Dean	8 weeks	3 years, 3 months
Receipt and analysis of opinions and, on this basis, drafting of an interim evaluation report, including proposed future expectations; submission to SEK-BV	Head of Division together with KIT Dean	4 weeks	3 years, 4 months
Review by the President of KIT	SEK-BV, President	4 weeks	3 years, 5 months
Communication of result to the Head of Division	SEK-BV	Promptly	3 years, 6 months
Communication of result to the junior/tenure-track professor by formal letter, including further expectations	SEK-BV, President	Promptly	3 years, 6 months

Annex 4: Process Steps of Final Evaluation

Process step	Responsible	Duration	Time (after start of work)
Application for start of final evaluation	Junior/tenure-track professor		4 years, 3 months
Start of final evaluation Submission of application for release for the W3 professorship (including relevant decisions by the KIT Department and Division Councils) in case of tenure-track professorship	Head of Division		4 years, 7 months (at the latest)
Preparation of and obtaining approval by the Executive Board (release for W3 professorship) in case of tenure-track professorship	SEK-BV	4 weeks	4 years, 8 months
Junior/tenure-track professor is requested to prepare and submit his/her self-assessment	Head of Division		4 years, 9 months
Proposal of members of the final evaluation commission	KIT Department Council/Division Council	4 weeks	4 years, 9 months
Preparation of and obtaining approval by the Executive Board (agreement on composition of the final evaluation commission)	SEK-BV	4 weeks	4 years, 10 months
Submission of self-assessment and proposal of at least five external experts	Junior/tenure-track professor	4 weeks	4 years, 10 months
Nomination of three external experts; if applicable, inquiry in advance as to whether the experts can issue opinions	Final evaluation commission, Head of Division		4 years, 10 months
Presentation to the university public	Junior/tenure-track professor		4 years, 11 months
Request of opinions by external experts and of the opinion on achievements in teaching by the Studies Dean	Head of Division		4 years, 11 months
Opinion on achievements in teaching; receipt of opinions	Responsible Studies Dean; external experts	4 weeks	5 years
Preparation of final evaluation report	Final evaluation commission	8 weeks	5 years, 2 months
Decision on proposal by the final evaluation commission	KIT Department Council and Division Council		
Submission of final evaluation report, including decisions of the KIT Department Council and Division Council, to SEK-BV	Head of Division		5 years, 2 months

Preparation of and obtaining decision by Executive Board and in case of the tenure-track professorship, preparation of and obtaining the opinion of the KIT Senate (appointment proposal) and subsequent offer of appointment by the President	SEK-BV	8 weeks	5 years, 4 months
In case of tenure-track professorship, further appointment procedure according to the appointment guidelines of KIT (appointment negotiation, acceptance of appointment offer)	SEK-BV	12 weeks	5 years, 7 months
In case of tenure-track professorship, initiation of the appointment and employment process after acceptance	SEK-BV, PSE	12 weeks	5 years, 9 months

Annex 5: Family-friendly Provisions for Junior and Tenure-track Professorships

Upon application, the duration of a junior/tenure-track professorship may be extended for the following reasons according to Art. 45, par. 6, LHG, old version:

- Maternal leave
- Parental leave
- Care leave

The professorship shall be extended for that period, for which employment is suspended. The extension period shall correspond to the difference between the usually required working time and the time of actually rendered work.

Example:

A junior professor works 50% part-time for a duration of two years. An extension by one year full-time is possible, because savings of two times 50% are accumulated.

Extensions for the above reasons shall not exceed four years in total, even when they are combined with other extensions.

An extension shall also be possible for part-time employment, if leave is needed for supervision of or care for at least one child under the age of 18 or care for a relative, who is certified to be in need of care by a physician. In this case, the reduction of working time shall amount to one fifth of the regular working time at least.

An extension for the above reasons shall not exceed two years. Several extensions shall not exceed a total duration of three years.

Other possibilities of extension according to Article 45, par. 6, LHG:

- *Leave in accordance with other state provisions for exercising a mandate that is to be compatible with regular work (e.g. as a member of parliament)*
- *Leave for scientific or artistic activities or for scientific, artistic, or professional training and qualification outside of the university or abroad (e.g. visiting professorship)*
- *Basic military service and civilian service*

Article 45, par. 6, clause 1 shall apply accordingly to

- *a reduction of working time for exercising a mandate;*
- *a leave for fulfilling staff or disabled employees' representation tasks or tasks specified in Article 4, par. 1, LHG (equal opportunities commissioner or anti-discrimination contact person),*

if the reduction of working time corresponds to one fifth of the regular working time at least.

Again, the extension shall not exceed two years each (except for military or civilian service). Several extensions combined shall not exceed a total duration of four years.

Extensions shall be approved, unless there are specific official reasons to the contrary.

In the case of care for one child or several children under 14, an extension of up to two years per child, but of not more than four years in total may be granted as an option in addition to the already existing federal and state provisions for maternal and parental leaves, leave of absence, and part-time employment⁶.

⁶ No additional extension shall permitted except for the cases outlined in Article 45, par. 6. This shall also apply to a renewed employment of junior/tenure-track professors.