

Internal regulations on the tenure track system of the Frontier Research Institute for Interdisciplinary Sciences, Tohoku University

Established on May 14, 2019

Authorized by the Director

Revised on May 18, 2021

Revised on July 27, 2022

(Preamble)

Article 1. These regulations stipulate matters pertaining to the tenure track system of the Frontier Research Institute for Interdisciplinary Sciences, Tohoku University (hereafter “the Institute”), based on the “Establishment of promising youth researcher development system with the Frontier Research Institute for Interdisciplinary Sciences” (approved by the Departmental Liaison Committee and the Education and Research Council, September 18, 2018).

(Purpose)

Article 2. The purpose of these regulations is to promote the employment, at the University, of world-class young faculty who have reached the end of their fixed term of appointment at the Institute, so as to enable said faculty to continue top-level research in an independent research environment.

(Definitions)

Article 3. The following terms used in these regulations are hereby defined:

- i. Tenured: The status of those among the faculty, as defined in Article 2, Paragraph 2 of the Tohoku University Work Regulations (No. 46, 2004), who do not have a fixed term
- ii. Tenure track system: A mechanism whereby a review is conducted regarding whether or not to grant tenure status to tenure track faculty by the time of the conclusion of their tenure track period
- iii. Tenure track faculty: Faculty employed under the tenure track system
- iv. Tenure track period: The period from the start of employment under the tenure track system until the day before the granting of tenure status (in the case that tenure is not granted, the period until the day before tenure status is assumed to be granted based on a tenure review conducted immediately before the expiration

of the term of appointment)

- v. Mentor: Faculty who support tenure track faculty employed at the Institute
- vi. Mentor department: The department to which a mentor is affiliated
- vii. Tenure review: The review to determine whether tenure track faculty employed at the Institute will continue employment at the Institute as tenured faculty

(Job title of tenure track faculty)

Article 4. The job title of tenure track faculty shall be “Assistant Professor.”

(Term of tenure track faculty)

Article 5. The term of tenure track faculty shall be stipulated in accordance with the regulations pertaining to term of contract of Tohoku University faculty (No. 72, 2004).

(Compensation of tenure track faculty)

Article 6. The compensation of tenure track faculty shall be in accordance with the no. 3 annual salary scheme stipulated in Article 1-2, Subparagraph 3 of the regulations pertaining to compensation of Tohoku University faculty (No. 55, 2004).

(Consent)

Article 7. In the case of employing a tenure track faculty member, the consent of the faculty member for the application of the tenure track system shall be obtained using a notification of labor conditions.

2 When obtaining consent as described in the preceding Paragraph, the implementation guidelines for the tenure review, etc. shall be clearly presented.

(Tenure Review Committee)

Article 8. A Tenure Review Committee (hereafter “the Committee”) shall be established within the Institute.

2 The Committee shall deliberate the following matters.

- i. Matters pertaining to the tenure track system at the Institute
- ii. Matters pertaining to the tenure review

(Structure of the Committee)

Article 9. The Committee shall consist of the following members.

- i. Director of the Institute
- ii. Professors from each research field (main reviewers)
- iii. Full-time Professors of the Institute (excluding members described in the

preceding Subparagraphs)

- iv. Other persons designated by the Director of the Institute

(Chair of the Committee)

Article 10. The Chair of the Committee shall be the Director of the Institute.

- 2 The Chair of the Committee shall oversee Committee affairs.

(Review on whether or not to grant tenure status)

Article 11. The Committee shall conduct a tenure review once per year.

- 2 The Committee shall conduct a tenure review at the Committee meeting immediately before the end of the term of appointment of the tenure track faculty member. If a tenure track faculty member with outstanding achievements wishes to be reviewed for tenure at a Committee meeting held prior to the meeting immediately before the end of the term of his/her appointment, he/she will be reviewed for tenure only once at the meeting of one or two fiscal years before the end of the term, separately from the meeting immediately before the end of the term.
- 3 The results of the tenure review shall be notified to the individual by the Notification of the Tenure Review Results in Appendix 1 following the deliberations of the Steering Committee of the Institute.
- 4 The implementation guidelines, etc., for the tenure review shall be stipulated separately.
- 5 In addition to a tenure review, tenure track faculty shall also be eligible to undergo a promotion review for a fixed-term Associate Professor position.
- 6 The implementation guidelines, etc., for the promotion review shall be stipulated separately.

(Employment conditions following tenure review)

Article 12. A tenure track faculty member who passes the tenure review described in Paragraph 1 of the preceding Article shall become a tenured Assistant Professor. A faculty member who passes the review and also passes the promotion review for a fixed-term Associate Professor position shall become a fixed-term Associate Professor if said faculty member so desires. However, after five years have passed since the granting of tenure, Assistant Professors may be subject to a change in affiliated department and/or a shift to management and administration work.

- 2 A tenure track faculty member who does not pass the tenure review by the Committee meeting immediately prior to the end of their tenure track term described in Paragraph 1 of the preceding Article shall, upon reaching the end of their term of appointment, no longer be employed by the Institute. However, the Institute may reemploy said faculty

member for up to two years following the end of their tenure track term.

(Appeal request against tenure review result)

Article 13. In the case that a tenure track faculty member who has undergone a tenure review wishes to appeal the result of said review, said faculty member may make an appeal request to the Director of the Institute using the appeal request form under Appendix 2. The appeal request must be made within 14 days of the day following the notification of the review result.

2 The Director of the Institute shall, in accordance with the appeal request described in the preceding Paragraph, have the Committee conduct a second review, and notify the faculty member of the results. The results shall be notified to the faculty member within 3 months of receiving the appeal request.

3 In the case that a second review is conducted, new members shall be added to the Committee.

(Extension of tenure track period)

Article 14. In the case that a tenure track faculty member takes childcare or nursing care leave, etc., during the tenure track period, the tenure track period may be extended by a period up to the full duration of said leave, etc.

(Liaison with the mentor department, etc.)

Article 15. Liaison with the mentor department to promote the employment of world-class young faculty at other departments of the University, so as to enable said faculty to continue top-level research in the independent research environment of the University, shall be stipulated separately.

(Miscellaneous provision)

Article 16. In addition to these regulations, any other requirements related to the tenure track system may be stipulated separately by the Director of the Institute.

Supplementary provision

These regulations shall come into effect on May 14, 2019, and shall apply from September 18, 2018.

Supplementary provision

These regulations shall come into effect on May 18, 2021, and shall apply from April 1, 2021.

Supplementary provision

These regulations shall come into effect on July 27, 2022, and shall apply from April 1, 2022.

(Appendix 1)

Notification of the Tenure Review Results

Month DD, YYYY

In accordance with Article 11 of the internal regulations pertaining to the tenure track system of the Frontier Research Institute for Interdisciplinary Sciences, Tohoku University, we hereby notify you of our decision as follows.

1. Result of Tenure Review: Passed / Failed
2. Result of Promotion Review for Fixed-Term Associate Professor: Passed / Failed
3. Summary of the Results:
4. Remarks:

Best regards,

Toshiyuki Hayase
Director
Frontier Research Institute for Interdisciplinary Sciences
Tohoku University

(Appendix 2)

Appeal Request Form

Month DD, YYYY

To: The Director of the Frontier Research Institute for Interdisciplinary Sciences

I, (Full Name) , have received notification that, as a result of the review regarding whether or not to grant tenure by the Tenure Review Committee of the Frontier Research Institute for Interdisciplinary Sciences, I have not been granted tenure. However, in accordance with Article 13 of the internal regulations pertaining to the tenure track system of the Frontier Research Institute for Interdisciplinary Sciences, Tohoku University, I wish to request an appeal for the following reason.

Date of notification of review results: Month DD, YYYY

Reason: XXXXXXXXX

Attachments (if any):

· XXXXXXXXX

Supplement to the internal regulations on the tenure track system of the Frontier Research Institute for Interdisciplinary Sciences, Tohoku University

Established on May 14, 2019

Authorized by the Director

(Preamble)

Article 1. This supplement stipulates supplementary matters pertaining to the regulations pertaining to the tenure track system of the Frontier Research Institute for Interdisciplinary Sciences, Tohoku University.

(Purpose)

Article 2. The purpose of this supplement is to promote the employment, at other departments of the University, of world-class young faculty who have reached the end of their fixed term of appointment at the Institute, so as to enable said faculty to continue top-level research in an independent research environment.

(Definitions)

Article 3. The following terms used in this supplement are hereby defined:

- i. Tenured: The status of those among the faculty, as defined in Article 2, Paragraph 2 of the Tohoku University Work Regulations, who do not have a fixed term
- ii. Tenure track system: A mechanism whereby a review is conducted regarding whether or not to grant tenure status to tenure track faculty by the time of the conclusion of their tenure track period
- iii. Tenure track faculty: Faculty employed under the tenure track system
- iv. Tenure track period: The period from the start of employment under the tenure track system until the day before the granting of tenure status (in the case that tenure is not granted, the period until the day before tenure status is not granted)
- v. Mentor: Faculty who support tenure track faculty employed at the Institute
- vi. Mentor department: The department to which a mentor is affiliated
- vii. Tenure review: The review to determine whether tenure track faculty employed at the Institute will continue employment at the Institute as tenured faculty
- viii. Hiring review: The review to determine whether tenure track faculty employed at the Institute will continue employment at the mentor department or other related department (hereafter “mentor department, etc.”) as a tenured or non-tenured faculty.

(Liaison with mentor department, etc.)

Article 4. The Director of the Institute must inquire the head of the mentor department, etc., as to the possibility of hiring a tenure track faculty member, at the time of hiring, as well as at the start of the fiscal year following the start of the third year of the tenure track period for a tenure track faculty member hired between April and September, or at the start of the fiscal year following the start of the fourth year of the tenure track period for a faculty member hired between October and March.

2 When conducting the inquiry as described in the preceding Paragraph, the Director of the Institute must send the achievements list and other documentation for review of the tenure track faculty member to the head of the mentor department, etc.

3 The head of the mentor department, etc. who receives the inquiry as described in Paragraph 1 shall report the results of the deliberation of the possibility of hiring the tenure track faculty member, based on the recruitment plan of said department, to the Director of the Institute.

4 Regardless of the inquiry described in Paragraph 1, in the case that there is the possibility of hiring the tenure track faculty member before the end of the tenure track period, the head of the mentor department, etc., shall report said possibility to the Director of the Institute.

5 The Director of the Institute shall notify the tenure track faculty member of the results of the reports described in Paragraph 3 and 4.

(Performance review)

Article 5. The Director of the Institute must complete performance reviews by the end of the fiscal year.

2 The Director of the Institute must send the result of said performance reviews to the head of the mentor department, etc., without delay.

(Hiring by the mentor department, etc.)

Article 6. In the case that there is the possibility of hiring a tenure track faculty member as described in Article 4, the mentor department, etc., shall conduct a hiring review based on the results of the performance review described in the preceding Article and the review criteria, etc., of the mentor department, etc., if the tenure track faculty member so desires.

2 The head of the mentor department, etc., shall report whether or not the hiring review, as described in the preceding Paragraph, is to be conducted, as well as the results of said hiring review, to the Director of the Institute without delay.

(Affiliation)

Article 7. Tenure track faculty who pass their tenure review as described in Paragraph 1 of the preceding Article shall be re-employed by their mentor department, etc., or employed under a cross-appointment between the Institute and the mentor department, etc.

2 In the case that a faculty member is re-employed by the mentor department, etc. as described in the preceding Paragraph, the hiring department shall stipulate the post, term and other conditions of their employment. In the case that a faculty member is employed under a cross-appointment between the Institute and the mentor department, etc., the hiring departments of the Institute and the mentor department, etc., shall stipulate the post, term and other conditions of their employment through consultation.

(Salary costs)

Article 8. The salary costs of faculty employed in their mentor department, etc., as a result of the hiring review described in Article 6, Paragraph 1, shall in principle be borne by said department. The salary costs of faculty employed under a cross-appointment between the Institute and their mentor department, etc., shall in principle be borne by the relevant departments of each, upon consultation between said departments. However, this requirement may be waived at the discretion of the Institute.