ISTITUTO ITALIANO DI TECNOLOGIA

Tenure Track Policy

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1.   Purpose and objectives

This policy is aimed at regulating the selection, appointment and evaluation procedures for scientific positions on the "Tenure Track" within the IIT Foundation.

2.   Premise and definitions

2.1   Premise

The IIT Foundation, in view of consolidating and improving its position and ability to attract world-class talents, intends to promote, in line with the best international practices in scientific research, a highly competitive selection process for world-renowned researchers. The process is aimed at identifying scientists who are capable of covering strategic roles within its internal structure.

The positions assigned to such researchers are referred to as "Tenured" (that is, equivalent to what the Italian academic world refers to as a "Professore di Ruolo") and are the highest level of research independence for a scientist. These positions are permanent.

It must be noted that the term "Tenured", in the academic and research system in the United States, carries with it a number of obligations which do not apply to the Italian system, including IIT. The term is therefore used in this document purely as a means to identify the positions that fall under the definition provided above.
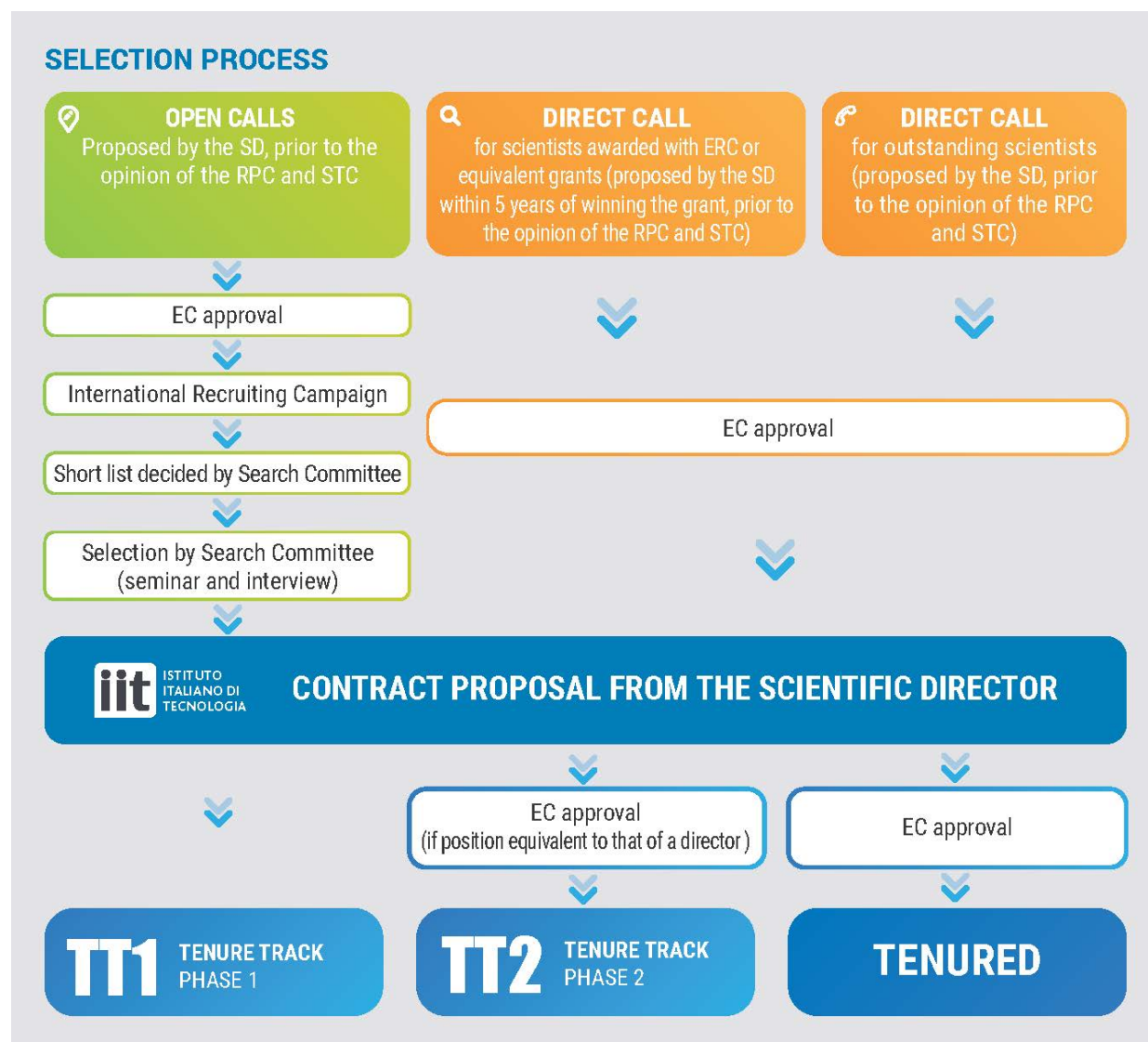
The selection and evaluation procedures for accessing these "Tenured" positions make up the "Tenure Track"; this allows candidates to begin a path towards professional development from a junior entry level (Stage 1) to obtaining a stable position.
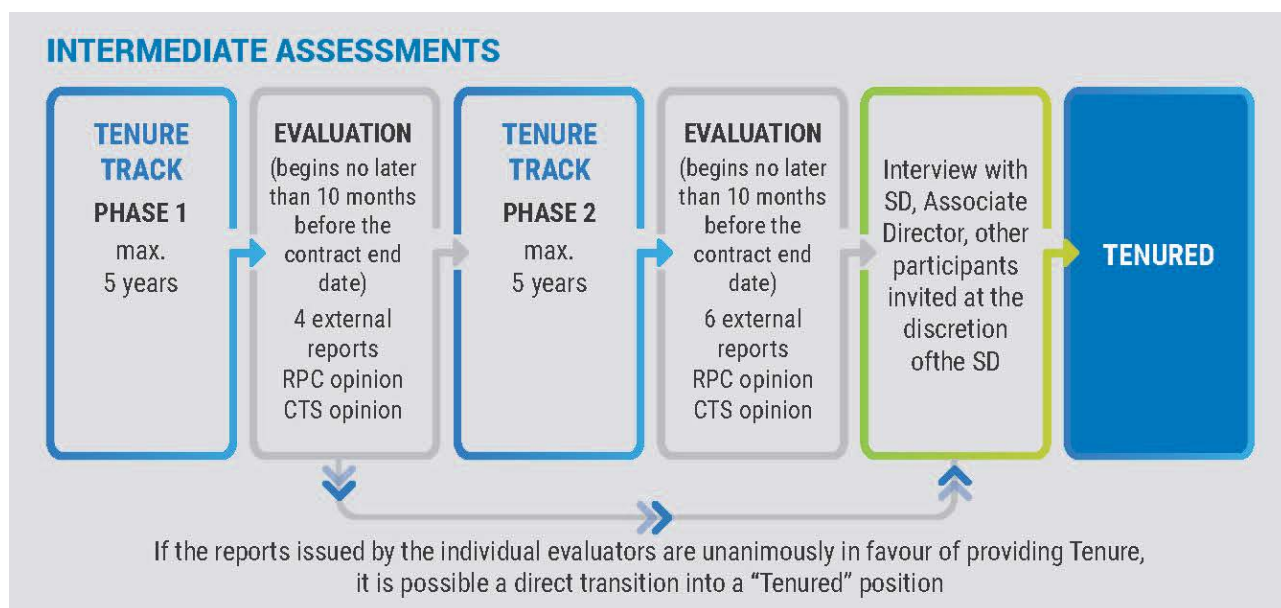
2.2   Roles involved and relative responsibilities

Name	Initials	Responsibilities
Executive Committee	EC	The Executive Committee approves, with regards to the relative scientific contexts and number of positions, the recruitment of new researchers on the "Tenure Track" through open call; it approves and activates the "Tenured" positions on the basis of the SD's proposals. It also approves any positions that are additional to those advertised via open call/selection. Such additional positions are presented to the EC by the SD upon recommendation of the Search Committee.
Scientific Director	SD	The Scientific Director proposes the opening of "Tenure Track/Tenured" positions to the EC, following a preliminary assessment with the Human Capital and Organisation Directorate and the Planning and Management Control Directorate with regard to the overall budget intended to be assigned to the package as a whole and additional costs (such as refurbishing, equipping laboratories, etc.), and after having received the opinion of the RPC members that are most in line with the relative Research Domain, and the STC; they present the

		assigned positions to the EC for communication or approval; alongside the RPC and the STC, the SD supervises the selection and evaluation procedures; he nominates the Search Committee; he proposes any additional positions to the EC on the basis of opportunities that may arise during the year (for instance, being in touch with researchers of excellent international standing, etc.).
Scientific and Technical Committee	STC	The Scientific and Technical Committee agrees with the SD and the RPC upon the "Tenure Track /Tenured" positions to be submitted to the EC; it supervises, along with the SD, the selection and evaluation procedures and takes part by expressing its opinions to the SD as illustrated above. It nominates the Standing Committee of External Evaluators.
Standing Committee of External Evaluators	SCEE	The Standing Committee of External Evaluators is a set of external experts working in the scientific sectors of the Foundation's activities, invited to evaluate "Tenure Track" candidates.
Recruitment and Promotion Committee	RPC	This committee is composed of researchers in "Tenured" roles at the IIT, IIT Center Coordinators and Associate Directors of the Research Domains. An unfixed number of Committee members, never less than 5, selected by the SD on the basis of scientific relevance, agrees with the SD and the STC upon the "Tenure Track /Tenured" positions to present to the EC; it also takes part in the selection and evaluation procedures expressing opinions to the SD as illustrated in this policy.
Search Committee		The Search Committee is a panel, made up of 3 external experts from outside the IIT, 1 member of the RPC of the relevant scientific area, and 1 member of the STC competent for the required profile, in charge with screening the applications received following an open call and then with interviewing the short-listed candidates.
Tenure Track Office	TTO	The Tenure Track Office is responsible for organising the selection process, inserting and evaluating the scientific positions within the IIT Foundation's "Tenure Track".

2.3 "Tenure Track" Diagram

INTERMEDIATE ASSESSMENTS

TENURE TRACK PHASE 1 max. 5 years → EVALUATION (begins no later than 10 months before the contract end date) 4 external reports RPC opinion CTS opinion → TENURE TRACK PHASE 2 max. 5 years → EVALUATION (begins no later than 10 months before the contract end date) 6 external reports RPC opinion CTS opinion → Interview with SD, Associate Director, other participants invited at the discretion of the SD → **TENURED**

If the reports issued by the individual evaluators are unanimously in favour of providing Tenure, it is possible a direct transition into a "Tenured" position

3.   Implementation

3.1   Area of application

The new positions to be inserted into the "Tenure Track" are proposed by the Scientific Director with regards to the financial resources available and approved within the budget (prior to the launch of the overall process), prior to the opinion of the Recruitment and Promotion Committee in the relevant Research Domain and the Scientific and Technical Committee.

These positions are submitted by the Scientific Director to the Executive Committee. The Executive Committee in turn decides upon establishing such positions and launching the selection and evaluation procedures.

The selection and evaluation procedures, in relation to the scientific themes and the quality of the candidates, can bring about the hiring of the following positions:

- "Tenure Track" phase 1;
- "Tenure Track" phase 2, without "Tenure";
- "Tenured".

The effectiveness of the recruitment system is closely tied to its level of transparency when it comes to the selection and evaluation procedures and their independence throughout all phases of the "Tenure Track", in accordance with quality standards worthy of international excellence. For this purpose, each selection will have its own Search Committee (focused on the selection process), made up exclusively of experts of the highest level in the fields concerning the positions to be filled. The Search Committee is assigned the task of assessing all CVs received and short-listing particularly deserving candidates who will be invited to take part in an interview; the Committee is also assigned the task of participating in the interview of these candidates and interviewing them in order to seek out the best profile.

The Search Committee is made up of five members: three external members from outside the IIT, one member of the Recruitment and Promotion Committee (this member cannot coincide with the

member of the RPC who jointly proposed the opening of the position in question with the SD) and one member from the Scientific and Technical Committee.

Members of the Search Committee are nominated by the Scientific Director who, when it comes to identifying them, benefits from the support of the Scientific and Technical Committee, managing the process alongside a delegate of theirs, where necessary, and with the operational support of the Tenure Track Office. External members are identified from among the Standing Committee of External Evaluators. If necessary (for example, if there is need for a new specific profile, not yet present in the SCEE, or there are no assessors available among those previously identified), the Search Committee can also bring in experts who are not members of the SCEE.

The Foundation has the right to acknowledge the duties of external members of said Committee with an amount that is proportional to the work carried out and to the commitment required by the selection or evaluation procedures, while never reaching more than 1000 € per procedure.

In line with what has been established by the Procedure for Managing Conflicts of Interest, the members of the Search Committee as well as all the people participating in the selection process and the intermediate assessments procedures are obliged to inform the Tenure Track Office in writing of any existing or potential conflicts of interest with regards to one or more candidates and, should there be any such conflicts, abstain from the evaluation procedures. The ROD Directorate, having received such information, will notify the Compliance Directorate as established by the Procedure mentioned above.

3.2   Selection process

The scientific personnel nominated for "tenure Track" positions is identified via announcements published in the leading scientific journals and via international search engines.

Candidates inside or outside IIT can apply by sending their "evaluation package". The evaluation package consists of the candidate's CV, Research Statement and a reference to 5 particularly representative publications with regards to the scientific activity they carry out. Candidates must also provide reference letters from three experts of their choice in addition to their application. The Research Statement must include a description of the most important scientific and technical results achieved by the candidate and relevant to the advertised position and show the capability to secure major industrial and/or competitive grants. The candidate must also provide a vision for fund raising and scientific activities development, including technological applications. Applying for a position and submitting an evaluation package must take place on the dedicated web platform managed by the IIT's Tenure Track Office.

The Search Committee evaluates all CVs received and short-lists the best candidates who are informed of the fact in writing by the Tenure Track Office. If no candidate is found to be suitable, the call is cancelled and may be relaunched.

The short-listed candidates are subsequently invited to hold a seminar, open to the IIT personnel, and take part in an in-depth interview with the Search Committee which will also see the participation of the Human Capital and Organisation Directorate. Once the seminars and interviews are completed, the Search Committee compiles a brief report assessing each candidate and submits their chosen candidate (or candidates) to the Scientific Director. The Scientific

Director (or a delegate thereof) and the STC Chairman (or a delegated member of the STC) supervise the entire selection and evaluation process in order to ensure its correct execution.

Following the selection process, the chosen candidate receives a contract proposal from the Scientific Director in line with their professional and scientific standing. The proposed contract may be structured towards phase 1 or phase 2 of the "Tenure Track", or for a "Tenured" position. Should the contract proposal concern a position that is equivalent to that of a director ("contratto equiparato a dirigente"), this must be approved by the Executive Committee. Otherwise, if the contract proposed is for a position that is equivalent to a managerial one, the contract must be submitted to the Executive Committee merely to inform them.

The selected candidate negotiates with the SD the funds to establish and develop their research line within the limit of the financial resources available and approved on the institute budget plan.

Following a motivated written proposal by the Search Committee, the SD may offer contracts to greater number of candidates than the number of advertised positions. The offer is dependent on budget analysis and the approval of the EC, following which the additional successful candidates may receive a definitive contract proposal in accordance with the previous paragraph.

The costs tied to the selection process are planned and managed by the ROD Directorate – Tenure Track Office in line with the established procedures.

3.3   Intermediate assessments

3.3.1   From "Tenure Track" phase 1 to "Tenure Track" phase 2.

Within 5 years of a researcher's appointment into the "Tenure Track" phase 1, an evaluation is carried out with regards to their transition to "Tenure Track" phase 2.

The evaluation starts with the candidate submitting their evaluation package no later than 10 months before the contract end date.

In exceptional cases, if a candidate achieves results of particular significance in a shorter timeframe, they can submit their CV to the Scientific Director, to the Recruitment and Promotion Committee, and to the Scientific and Technical Committee for a preliminary assessment in view of the complete evaluation to be carried out by external experts. If the preliminary evaluations by the Recruitment and Promotion Committee and by the Scientific and Technical Committee yield a positive outcome and the relevant international standards are met, the candidate under evaluation will be invited to update their evaluation package with regards to what was presented during their initial application. The Scientific Director, with the operational support of the Tenure Track Office, invites 4 external experts from the candidate's field of interest, in order to assess their evaluation package, as updated, and formulate individual reports. The panel of 4 experts, preferably selected from the Standing Committee of External Evaluators, must include, where possible, at least 1 member of the Search Committee who took part in the selection process for the candidate's entry into the "Tenure Track". The 4 individual reports are then sent to the Recruitment and Promotion Committee and to the Scientific and Technical Committee Chairman, who are to examine the opinions and issue their own

to the Scientific Director, recommending the candidate's transition from phase 1 to phase 2 or not, providing the reasons behind their decision. The members of the Recruitment and Promotion Committee and of the Scientific and Technical Committee and the personnel involved in the evaluation process are bound by confidentiality throughout the entire procedure.

If the opinions issued by the individual evaluators are unanimously in favour of providing a stable contract to the candidate in question, in view of the outstanding scientific status they have achieved, the RPC and STC have the right to put the candidate forward for a transition into a "Tenured" position. At this point the candidate is invited to an interview with the SD alongside the Associate Director of the relevant Scientific Domain and/or other participant(s) invited at the discretion of the SD as required. Following the interview, the SD compiles a brief assessment in which they recommend the candidate's transition into a stable position or not, indicating the reasons for their decision. Such a transition requires the approval of the Executive Committee.

3.3.2 From "Tenure Track" phase 2 to "Tenured".

Within approximately 5 years after the transition into "Tenure Track" phase 2, the researcher is subject to a final evaluation in view of their access to a stable position.
The evaluation starts with the candidate submitting their evaluation package no later than 10 months before the contract end date.

 In exceptional cases, if a candidate achieves the expected results in a shorter timeframe they can submit their CV to the Scientific Director, to the Recruitment and Promotion Committee, and to the Scientific and Technical Committee for a preliminary assessment in view of the complete evaluation to be carried out by an external panel. If the preliminary evaluations by the Recruitment and Promotion Committee and by the Scientific and Technical Committee yield a positive outcome, the candidate under assessment will be invited to further update their evaluation package.
The Scientific Director, with the operational support of the Tenure Track Office, invites 6 external experts from the candidate's field of interest, in order to assess their evaluation package and formulate individual reports. The panel of 6 experts, preferably selected from the Standing Committee of External Evaluators, must include, where possible, at least 1 member of the panel established for the previous evaluation process for the candidate in question.
The 6 individual reports are then sent to the Recruitment and Promotion Committee and to the Scientific and Technical Committee Chairman, who are to examine the opinions and issue their own to the Scientific Director. The members of the Recruitment and Promotion Committee and of the Scientific and Technical Committee and the personnel involved in the assessment process are bound by confidentiality throughout the entire procedure.
At this point the candidate is invited to an interview with the SD alongside the Associate Director of the relevant scientific field and/or other participant(s) invited at the discretion of the SD as required. Following the interview, the SD compiles a brief assessment in which they recommend the candidate's transition into a stable position or not.
Such a transition requires the approval of the Executive Committee.

For each of the steps described above, if the assessment results in a proposal of a position that is equivalent to that of a director ("contratto equiparato a dirigente"), this requires the approval of the

Executive Committee as stated by the Policy P23 "Human Resources Management Policy. Guidelines – Employees".

Should the assessment yield a negative outcome for each of the transitions described above, the candidate will be asked to leave the IIT Foundation. The timeframe for leaving are to be determined by the SD, who, in line with the available budget, laboratory and lab/office space, will ensure the researcher can benefit from a gradual shift towards a new position, allowing them to follow through with their commitments as mentor to their own staff members and/or with other responsibilities towards IIT or Third Parties.

Any requests for variations to the financial package provided to the PI following their transition from one phase to another will be preliminarily assessed in terms of financial capacity and sustainability in the long term and negotiated by the candidate directly with the Scientific Director.

3.4 Access to "Tenure Track" via direct call – forms

3.4.1 Direct call

The Scientific Director, in line with the financial resources available and approved in terms of the relevant budget and on the basis of the opinion of the RPC and the STC expressed following the assessment of the CV and Research Statement presented by the candidate, may submit a direct invitation to a "Tenured" position to the Executive Committee for approval. This opportunity regards outstanding scientists, who have distinguished themselves for their activity in two or more of the following aspects of strategic interest for the Foundation:
• Vision and originality of scientific research;
• Technological innovation and protection of intellectual property;
• International standing;
• Funding (competitive projects, industrial projects, etc.);
• Impact on society, including the economic sector.

3.4.2 Direct call for scientific personnel awarded with ERC or equivalent grants

The Scientific Director may submit a direct call to the "Tenure Track" to the Executive Committee for approval, with regards to internal or external researchers who have won an individual ERC grant (European Research Council) or individual international grants of similar prestige (for example: the Giovanni Armenise-Harvard Foundation Career Development Award).

The researcher must have won the grant no longer than 5 years prior. The approval of the Executive Committee can only be obtained after the opinions of the RPC and STC have been expressed, who examine the request on the basis of criteria, among others, concerning the relevance and strategy of the project proposed by the candidate with regards to the Institute's Scientific Plan.

For these researchers, the officially valid report taken into account is the decision by the European Research Council (or relevant institute), in which the grant winners are evaluated. For this reason, the level at which the candidate accesses the "Tenure Track" will mirror the grant assigned by the institute in question and the candidate's professional and scientific standing, having consulted the

RPC and STC. As an example, for ERC grant winners the proposal would take the following form:

- ERC "Starting grant" → "Tenure Track" stage 1;

- ERC "Consolidator grant" → "Tenure Track" stage 2;

- ERC "Advanced grant" → "Tenured".

The Scientific Director, eventually supported by the RPC and/or the STC, may authorize internal as well as external scientists to apply to one of the aforementioned grants indicating IIT as "host institution".
The Scientific Director, following an assessment of available financial resources and sustainability, may co-finance these researchers' activities by providing extra funding.

Following access via direct call, the researcher begins their career at the IIT under the same phases and intermediate evaluation procedures as illustrated above.