

# Procedure Governing Appointments to Professorships at the University of Freiburg

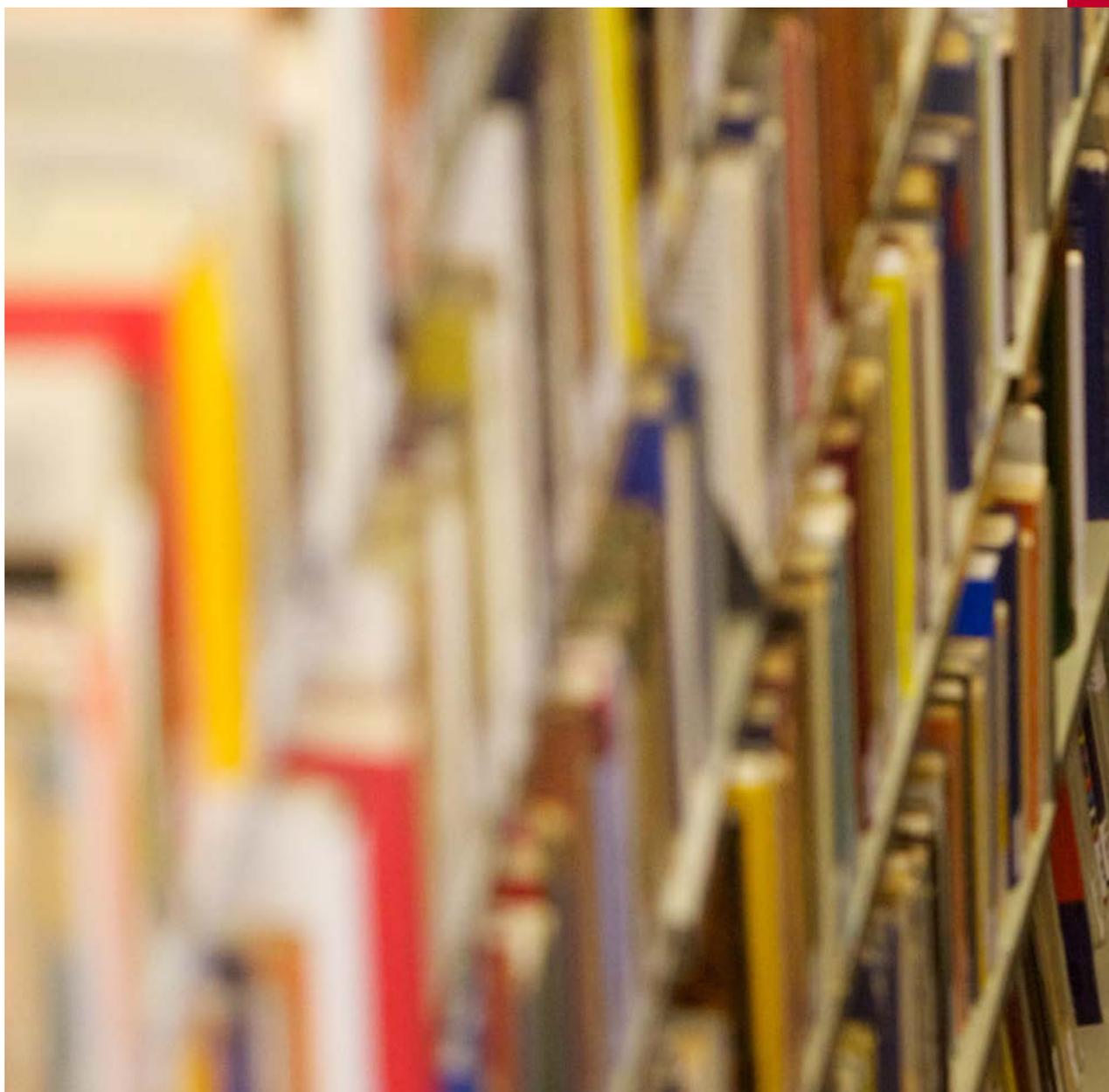
## Guidelines

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Albert-Ludwigs-Universität Freiburg



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# Guidelines for Conducting Appointment Procedures at the University of Freiburg

## Preamble

In the increasingly fierce competition between universities for the best researchers at both the national and the international level, it is of utmost importance to conduct successful appointment procedures. After all, decisions on professorial appointments are inexorably linked to profile building and the further development of research and teaching at the University of Freiburg. The procedure for filling professorships is the key means of influencing higher education policy and structural development available to the faculties and the Rectorate and as such should be given the greatest care and attention.

At the same time, appointment procedures serve as a calling card for the university, and the practice of treating applicants with respect, providing adequate information on the status of the procedure, and providing comprehensive support to invited applicants and new appointees should be considered as a hallmark of our university. The careful etiquette that should be followed includes:

*Etiquette*

- procedural transparency for all applicants.
- personal negotiation meeting with the rector.<sup>1</sup>
- legally binding statements regarding the material resources and staff to be included with the professorship.
- legally binding statements regarding salary.
- advising and support from the Dual Career Service.
- advising and support from the Family Service.
- management training for new appointees.
- reception for new appointees.

This guide describes the structure of appointment procedures for W3, W2, and W1 professorships (junior professorships). Intended as a means of quality assurance, it describes self-imposed procedures of the University of Freiburg that may only be deviated from in well-founded exceptional cases.

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<sup>1</sup> In the case of appointment procedures conducted by the Faculty of Medicine, the dean is responsible for holding this meeting.

# I. Professorship Vacancy, Job Description, Clearance to Advertise Post, Appointment Committee

1. The (re-)appointment procedure for a professorship allocated to a particular faculty, i.e., one included in the faculty's structure and development plan, depends on the decision as to

- whether the position should be refilled,
- whether the position should be assigned to a different area of responsibility,
- whether the professorship involves responsibilities related to patient care,
- whether the professorship should be filled with an identical job description (with regard to arrangements in the faculty's structure and development plan) or
- whether it should be filled with a modified job description.

The position of the Faculty Council should be heard before this decision is made (Section 46 [3], clause 1, subclause 2 State Higher Education Act [Landeshochschulgesetz/LHG]).

*Professorships*

The Faculty of Medicine has a separate schedule of positions for professorships under the state budget and is therefore responsible for ensuring that any professorship to be filled is vacant at the time of appointment.

For professorships to be funded by third parties, the Rectorate – or, in the case of the Faculty of Medicine, the Dean's Office – must be informed and involved in the process even before the funding is secured or the application submitted.

If a professorship becomes vacant or needs to be newly established as a result of retirement, the holder being appointed elsewhere, or for other reasons, the faculty – if it wishes to appoint somebody to the post – must submit an application to the Rectorate to receive **approval for the position**. The Dean's Office is responsible for suggesting a job description (Section 23 [3], p. 6, No. 4, LHG).

If a professor takes scheduled retirement (consideration must be given to the dynamic retirement age, the so-called 68 option), this application must be submitted two years prior to the position becoming vacant in order to ensure staff continuity. The application should be accompanied by a structural questionnaire (see Appendix for link), and the position of the Faculty Council on this matter should be heard beforehand. In the event that the professorship involves responsibilities in patient care at the Medical Center – University of Freiburg, the medical center's board of directors must give its prior consent. The structural questionnaire contains statements from the faculty on:

*Structural  
questionnaire*

- academic specialization (job description); the job description should be drafted in sufficiently broad terms so as to avoid discouraging potential

candidates from applying due to an overly narrow academic specialization, thus increasing the pool of applicants.

- how the position fits in with the planning for professorships in the university's structure and development plan (also considering the objectives of the faculty's equal opportunity plan),
- the planned teaching and research responsibilities,
- the profile of requirements for applicants with a summary of its content,
- the question as to whether the professorship will involve responsibilities in patient care at the Medical Center – University of Freiburg,
- the status of the professorship (professorship without managerial duties [C3 equivalent] or professorship with managerial duties [C4 equivalent])
- material resources and staff included with the post as planned by the faculty (staff, ongoing and one-off funding, any necessary investments, office and laboratory space, notes on any necessary structural modifications to buildings),
- the extent to which the post can be financed with the faculty's existing resources and its integration into the faculty's overall financial planning strategy (the statements on financial feasibility are internally binding between the faculty and the Rectorate and serve as a basis for ensuring appointment negotiations; in the rare case that substantial deviations are present, they must be resolved by the faculty and the Rectorate before the faculty makes a decision on its recommendation concerning the appointment),
- an outlook on potential applicants.

In addition to deciding whether or not a professorship should be newly established, withdrawn, or reallocated, the Rectorate also has the final say on the **job description** of the professorship under Section 46 (3), p. 4 and, in applicable cases, p. 6 of the State Higher Education Act (LHG) in the case that it is reallocated.

As a means of preparing for these decisions, the matter is discussed by the Senate **Commission on Strategic Planning and Development**. The meeting cycles of the Commission on Strategic Planning and Development are coordinated with the processing periods required by the Senate. It is therefore imperative that the rules of procedure and the dates posted on the website of the Commission on Strategic Planning and Development (see Appendix for link) be observed. Following a hearing with the dean and on the basis of the ideas set out in the structural questionnaire, the Commission on Strategic Planning and Development prepares a recommendation for the Rectorate, the Senate, and the University Council.

*Senate Commission on  
Strategic Planning and  
Development*

An excerpt from the minutes of the Commission on Strategic Planning and Development meeting containing the commission's discussion and recommendations on the professorship in question is submitted to the dean.

The Faculty of Medicine has its own commission on strategy and development for making decisions on professorships.

Provided that the job description remains unchanged compared to the structure and development plan (approved by the State Ministry of Science [MWK]), the final

decision is made by the Rectorate (cf. Section 46 [3] p. 6 LHG). Otherwise, the Rectorate makes a recommendation on future specifications for the job description to the Senate and the chair of the University Council, who decide whether to present the job description to the University Council (Section 46 [3], p. 7 LHG).

**2.** Once a job description for a professorship not yet included in the structure and development plan or a job description that deviates from the structure and development plan has been set by the Rectorate, Senate, and, if necessary, the University Council, the rector requests a **decision from the State Ministry of Science** in accordance with Section 46 (3), p. 4 of the LHG. In the case of professorships within the Faculty of Medicine, such requests by the rector are prepared by the Dean's Office Administration.

*State Ministry of Science*

Job descriptions of non-tenure track junior professorships are set by the university without the involvement of the State Ministry of Science (Section 46 [3], p. 4 LHG).

**3.** Parallel to the decision-making process concerning the approval of the position and its job description conducted by the Rectorate, a decision is made regarding the Faculty Council's proposal as to the composition of the **appointment committee** or **selection committee (in the case of junior professorships)** and its chair, as well as how the position will be advertised (text of the announcement and where it will be published) (see Appendix for link to form). The involvement of the faculty equal opportunity representative must be documented on the form (the dean confirms that contact has been established with the faculty equal opportunity representative). The Rectorate is bound to observe the following guidelines when deciding on the composition of the appointment or selection committee:

*Appointment committee*

- To ensure that the procedure is completed swiftly, the Rectorate usually recommends that the faculties refrain from nominating more than 14 voting members for an appointment or selection committee. If this amount is exceeded, the faculty must provide reasons to justify its decision. When making proposals as to the composition of the committee, the faculties must ensure in advance that the nominees will be available to attend the meetings on a regular basis.
- It must be ensured that the committee members represent a balanced cross-section of the academic spectrum.
- The committee is chaired by a representative of the Dean's Office or a member of the Rectorate.
- The professors have a voting majority.
- The faculty must nominate a minimum of two professors of the University of Freiburg from other faculties. These members should be asked in advanced whether they are prepared to serve as reporter to the Senate.
- The committee must include an expert from outside the university. This must be a person with a relevant academic background, usually the holder of a doctoral degree, who is not a member of the University of Freiburg. Where possible, the external member must also be able to contribute information on the international research environment. Committee meetings must be arranged such that the external member is able to attend.
- The committee must include a minimum of two women with expert knowledge in the field and a proven academic profile. They may be professors from the faculty in question or from another faculty or members

of the university's non-professorial academic staff. If necessary, they may also be drawn from outside of the University of Freiburg. These female members, who sit on the committee as experts, may not simultaneously perform the duties of an equal opportunity representative.

- The committee must include at least one, but no more than two, representatives of the non-professorial academic staff. Faculties that nominate only one member of the non-professorial academic staff are asked to nominate a deputy member from this group to take part in the meetings in an advisory capacity or as a voting member in the first member's absence and to take the first member's place as a voting member in the case that she or he leaves the committee. The Rectorate must be informed of this change. The Rectorate does not need to pass a new resolution on the matter.
- The committee must include a student. The faculties are asked to also nominate a deputy member from this group to take part in the meetings in an advisory capacity or as a voting member in the first member's absence and to take the first member's place in the case that she or he leaves the committee. The Rectorate must be informed of this change. The Rectorate does not need to pass a new resolution on the matter.
- The equal opportunity representative takes part in the meetings as a voting member. She or he may name a deputy to take her or his place (Section 4 [3], p. 6 LHG) (e.g., the faculty's equal opportunity representative). The committee meetings should be scheduled such that the equal opportunity representative or a deputy named to take her or his place is able to attend.
- The academic dean or one of the academic deans should participate in the appointment or selection committee as a voting member and make a statement (Section 48 [3], p. 5 LHG). Should, by way of exception, the academic dean not be a member of the committee, the faculty must justify this decision to the Rectorate in the application. In this case, the academic dean must be provided with copies of all documentation and invitations connected with the procedure as well as with the minutes of the committee meetings.
- If the professorship to be filled involves duties in patient care at the Medical Center – University of Freiburg, a member of the medical center's board of directors and an expert specified by her or him are entitled to take part in the meetings of the appointment committee as voting members.
- An expert on discipline-specific and higher education teaching theory may be called in to serve in an advisory capacity (Section 48 [3], p. 2 LHG).

**Consideration should also be given to the following:**

- The previous holder of the professorship may not be a member of the committee and may not attend the meetings. This also applies in the case of so-called advance appointment procedures.
- Regular guests are only permitted in justified exceptional cases.
- The representatives of the non-professorial academic staff should not be employed under the professorship to be filled. It is suggested to also observe this principle in the case of the equal opportunity representative or her or his deputy.
- The members of the appointment or selection committee are obliged to

*Bias*

disclose to the committee whether it is likely that any grounds for bias, such as a family relationship (Section 20 [1], [5] State Administrative Procedure Law BW [LVwVfG]) may be assumed to exist. Reasons for suspecting **bias** (Section 21 LVwVfG) include:

- personal relationships or conflicts;
- teacher-student relationships (supervisor of a dissertation or habilitation thesis), unless the individuals have worked independently in academia for over six years;
- dependent employment relationship within the last three years.

The chair of the appointment or selection committee ensures that any committee members who may have a reason for bias (Section 20 [1], [5] LVwVfG) or for whom there is reason to suspect bias (Section 21 LVwVfG) are excluded from the procedure. The appointment or selection committee decides whether a committee member should be excluded from the rest of the appointment procedure due to bias or a suspicion of bias. The person concerned may no longer participate in this decision; she or he must leave the room. It is especially important to investigate whether a member of the committee might be biased and to establish by resolution whether bias is present or not at the meeting in which the committee reviews the applications received. The investigation and the resolution are taken down on record. The rector must be informed immediately of the investigation in writing and informed of the reason for the investigation, even in the case that no bias is found. Internal and external members of the committee may be replaced at any point during the appointment procedure in the case that they are excluded due to bias. The Rectorate then nominates a replacement immediately on a suggestion by the dean. In addition, it should be noted that the relevant provisions of Baden-Württemberg's Law on Administrative Procedure are initially applicable for bias (see Appendix).

**4.** Within the context of the formation of the appointment or selection committee, the Rectorate decides which non-faculty committee member will be asked to assume the role of the **reporter to the Senate**. She or he informs the rector, as the chair of the Rectorate and the Senate, in writing that the procedure has been duly conducted at faculty level. She or he must ensure that interdisciplinary perspectives are considered in the selection procedure and that the formal criteria of the appointment procedure are observed.

*Reporter to the Senate*

Appointment or Selection Committee, Standard Composition	
One chair	Member of the Dean's Office or the Rectorate  The Rectorate appoints the reporter to the Senate from this group  Including at least two women with expert knowledge in the field and a proven academic profile
Two professors from other faculties of the University of Freiburg	
One or two representatives from the non-professorial academic staff	
One external expert	
Five or six professors from the faculty (including an academic dean)	
One student	
Equal opportunity representative	or a person nominated by the equal opportunity representative (e.g., the faculty equal opportunity representative)
In the case of professorships involving responsibilities in patient care at the medical center: a member of the board of directors of the medical center and an expert specified by her or him	

5. The **text of the announcement** must correspond to the details previously provided in the structural questionnaire and take into account the guidelines described by the Commission for Strategic Planning and Development or the Rectorate. All professorships should be advertised internationally.

**In particular, the announcement must include the following information:** (The sample announcement text in the structural questionnaire, which contains the following points, should be used.)

- Job description and salary of the professorship
- In the case of professorships without managerial duties, it is **mandatory** to state that the professorship is particularly suitable for highly-qualified junior researchers

- Organizational classification (faculty, institute, or medical center)
- Date professorship is to be filled
- Research foci and teaching requirements
- Remark to the effect that a habilitation or comparable academic qualifications as described under Section 47 (2) of the LHG are expected in the case of an initial appointment (for W2 and W3 professorships)
- Standard formulation: "The University of Freiburg promotes women and thus encourages them explicitly to apply. The university is committed to the objective of being a family-friendly educational institution. Severely disabled persons with equal qualifications will be given preference."
- Remark, if applicable, to the effect that the professorship involves responsibilities in patient care and that appropriate qualification as a medical specialist is a prerequisite for the post
- Required application documents
- Application period (usually six weeks)
- Applications and application documents should be submitted in electronic form.
- Address (e-mail address) the application should be sent to (usually the dean)
- Reference, if applicable, on the intended status of the appointment as non-tenured employment or as employment in civil service with limited tenure (always in the case of W2 professorships), including a statement on the planned duration of the employment
- In the case of a W1 professorship, reference to term limitations and evaluation requirements
- In the case of a tenure-track W1 professorship, an additional remark on conditions for transition to a tenured professorship

**6.** Once the relevant resolutions have been passed by the Rectorate (approval of position, job description, composition of the appointment or selection committee, criteria for announcing the post, and appointment of the reporter to the Senate), the rector asks the faculty to advertise the position accordingly, conduct the selection procedure, and propose a candidate for the appointment. The Rectorate expects a candidate to be proposed within six months. Once six months have passed (from the submission deadline), the Rectorate inquires regularly as to the status of the proceedings. In the case of a new job description or if a job description has been changed compared to that described in the current structure and development plan, a Senate resolution and, if applicable, a University Council resolution and approval from the State Ministry of Science must be obtained before the position may be announced. These steps are arranged by the Rectorate or, in the case of professorships in the Faculty of Medicine, by the Dean's Office Administration. The faculty is informed immediately once approval from the State Ministry of Science has been obtained.

## II. Selection Procedure, Appointment Proposal, Appointment

### General Principles

The requirements of the vacant position alone are decisive for assessing aptitude, qualifications, and academic achievement. They are set down in the job description, the announcement text, and the selection criteria. The **selection criteria** and their relative importance must be fixed and documented at the beginning of the selection procedure (first meeting of the appointment or selection committee) in order to ensure the necessary transparency in the decisions. All facts and deliberations that are relevant to the decisions must be disclosed and documented in order that the considerations which were decisive in making the appointment proposal can be clearly followed. They should be included in the grounds given for the appointment proposal.

*Selection procedure*

In addition to especially suitable candidates (researchers), female junior researchers and colleagues in particular should be encouraged to apply for the position. With regard to the proactive search for female candidates who are eligible for the nomination list, the appointment committee must provide **concrete evidence of having conducted a proactive search** and document this search (see Appendix). Nomination lists without documentation of a proactive search for suitable female candidates will be returned by the Rectorate. For example, the committee should use relevant databases (AcademiaNet, FemConsult) to search proactively for suitable female candidates from Germany and abroad and approach them directly. This proactive search should not be conducted for appointment procedures in which a single-candidate list is highly probable due to the particular appointment format (e.g., Heisenberg professorships).

With regard to **publications, quality and originality** should be the deciding factors for selection decisions. The number of publications should be assessed in relation to the individual's academic career. The applicant's age is also relevant in this respect and should be taken into account by the appointment or selection committee. The birth of children, parental leave and time spent looking after relatives in need of care, chronic illnesses, and delays in the time required to obtain qualifications owing to a disability should all be taken into account.

It is recommended that applicants be asked to name their five most important publications in order to make it easier for the appointment committee and the external experts to review the publications. In addition, applicants should be asked to provide a complete list of their publications.

The appointment or selection committee must ensure that, in addition to relevant teaching experience, applicants included on the shortlist also, and most importantly, have suitable **teaching abilities**. To do so, they review the required teaching concept and evidence of relevant further training and evaluation results. A **teaching**

**skills portfolio** (see Appendix) should be requested from shortlisted applicants to verify their teaching abilities (see Appendix for link).

It includes a representative portrayal of the applicant's teaching on the basis of her or his own teaching biography and teaching concept, guiding methodological principles, examination of teaching evaluations, and perspectives on teaching. It should be no longer than 15 pages in length (including Appendix). Teaching evaluations are not requested, but applicants are free to include them.

Where possible, the prerequisites for the **personal aptitude** of applicants, in particular their willingness for academic collaboration, leadership qualities, and academic integrity, should be assessed and weighted accordingly.

The requirements of the candidates' immediate private lives should not have a bearing on the decisions of the appointment or selection committee. Questions of a personal nature should be addressed either to all or to none of the candidates. If a candidate has a partner who is also employed, potential solutions for reconciling this employment with the new position are actively sought, together with the Rectorate and the Dual Career Service, as part of the appointment negotiations.

The formal prerequisite for appointment to a W2 or W3 professorship is proof of **habilitation or an equivalent qualification**. Applicants who have not yet been appointed to a professorship (full professor or equivalent) or have not yet earned their habilitation may thus only be considered in the appointment procedure if they are able to provide evidence of qualifications that are equivalent to a habilitation. The appointment or selection committee is responsible for making this decision. In all cases, however, applicants must demonstrate that they meet the research and teaching qualifications defined by the faculty in question as minimum requirements for opening a habilitation procedure. The presence of qualifications equivalent to a habilitation must be confirmed by the external experts. Candidates for junior professorships who receive a positive evaluation after the first employment phase should be considered as possessing qualifications equivalent to a habilitation.

The age of an applicant may not be used as a criterion in deciding whether or not she or he is eligible for appointment. Age is of consequence only with regard to the question of whether an applicant can be appointed as a civil servant or only as a non-tenured employee. Binding information on whether an applicant may be appointed as a civil servant on account of her or his age is provided exclusively by the university's Human Resources Department.

## **Procedure in the Appointment or Selection Committee**

*Procedure*

1. The appointment or selection committee convenes for the first time **before or at the same time as the position is announced**. In this first session, the committee settles on the procedure for proactive searches and means of targeting suitable candidates and defines and weights the selection criteria, among other things.

2. The Dean's Office Administration or the chair of the appointment or selection committee draws up a **list of qualified applicants** after the application deadline. A standardized **letter of confirmation**, including a web link with information on the status of the procedure and the names of relevant contacts at the Dean's Office or the chair of the appointment or selection committee and the Office of Committees and Appointments (appointment monitor) is sent out to the applicants immediately upon receipt of their applications. The list of qualified applicants must contain at least the following information: date of birth, date and result of doctoral degree, date of habilitation, information on any severe disabilities, current position. In addition, it should include any information provided by the applicants on childcare or other care commitments and on chronic illnesses.

3. Care must be taken to ensure that all members of the appointment or selection committee have access to all **application documents**. In accordance with Section 48 (3) of the LHG and the University Constitution, application documents may be made available only to those involved in the selection procedure. The consent of candidates is not required. The members of the committee should be made aware of their duty to maintain confidentiality. Care must be taken to ensure compliance with data protection laws with regard to the sharing or storage of the documentation. After the application deadline, it is suggested that the Dean's Office Administration compile and send to the members of the appointment or selection committee a summary of all applications in order to ensure that the procedure is conducted efficiently. This summary should include the personal details of the applicants, relevant information about their research and teaching, and a brief curriculum vitae. As an alternative, the corresponding documents may be made available in digital form with an authorization check. After the meeting at which the shortlist of applications has been compiled and the experts designated, the full set of application documents provided by those applicants is made available to the members of the committee as well as the experts digitally as PDF files with an authorization check or sent to them in written form.

4. If applications are received from **severely disabled persons**, the chair of the appointment or selection committee must notify the representatives for severely disabled persons of this fact **immediately**. A representative for severely disabled persons must then be invited to attend all meetings of the appointment or selection committee in an advisory capacity. Any decision to no longer consider the application of a disabled candidate in the appointment procedure – for example in inviting candidates to deliver an application lecture – must be made in consultation with the representative for severely disabled persons. Discussions and decisions concerning applications submitted by severely disabled candidates must be documented in the minutes taken at meetings of the committee and in the final report. The written statement by the representative for severely disabled persons should be attached to the proposal when it is submitted to the Rectorate. Any failure to involve the representative for severely disabled persons constitutes a serious and irremediable breach of protocol in the appointment procedure as well as a violation of the General Law on Equal Treatment (Allgemeines Gleichbehandlungsgesetz [AGG]) and can expose the university to a substantial claim for damages.

5. Invitations to attend meetings of the appointment or selection committee must be issued by the chair of the committee in good time. Meetings of the appointment or selection committee are not open to the public. All discussions should be regarded as **confidential**. Meetings should be conducted in accordance with the university's rules of procedure (see Appendix for link).

6. Meetings of the appointment or selection committee should generally be attended by all of its voting members. At least half of the voting members must be present. Minutes should be kept of every meeting of the appointment or selection committee. All processes and discussions relating to decisions must be documented, and all votes and their results must be recorded in the minutes. A **record of attendance** must be kept for all members of the appointment or selection committee at each of its meetings and at each applicant's lecture. If members of the appointment or selection committee are excluded for reasons of potential bias, this must be documented and the grounds for doing so explained.

7. An assessment of each application should be given at the second meeting of the appointment or selection committee. At the end of this meeting, the committee should produce a shortlist of candidates. If, on the basis of the available application documents, it is still not possible to reach a decision as to **which candidates should be invited to the university**, it is recommended that the appointment or selection committee designate members to conduct a more thorough review of the applications and the publications of selected candidates.

Before the committee makes any further selection, the members chosen for this task should report on the candidates whose applications they have reviewed in greater detail. A decision will then be made on which candidates to invite to hold a lecture open to all members of the university. As a rule, no more than six candidates should be invited and appropriate consideration should be given especially to female candidates. The appointment or selection committee also resolves on whether to ask these candidates to hold further talks or lectures, e.g., trial lectures, in English or for first-year students where appropriate, in addition to the open lecture.

8. The **open lectures held by candidates** should last between 30 and 45 minutes and be followed by an open discussion of the lecture. Members of the appointment or selection committee should then be given an opportunity to direct further questions to individual candidates in a private session.

9. Immediately following the open lectures and any additional trial lectures and the individual discussions with the candidates, the appointment or selection committee should hold another meeting to select the three to five candidates who will make up the final shortlist for the professorship. At the same time, the appointment committee determines which external professors (full professor or equivalent) should be asked to provide a **comparative expert opinion (at least three)** on these candidates. At least one of these experts should be female. If this rule is not observed, the committee must submit an explanation to the Rectorate and provide credible evidence of its efforts to comply with the rule. The experts should not be made aware of any provisional ranking by the committee of the candidates they

have been asked to assess. The comparative expert's opinions should be prepared by experts who are representative of the national or international orientation of the field in question.

**10.** The experts may not include persons who have supervised any of the candidates in earning their doctoral degree or habilitation or who are currently supervising them in any capacity. To exclude any potential bias, the members of this expert panel are subject to the same rules as the appointment or selection committee (see I., No. 3).

**11. Before** obtaining the external **expert opinions**, the appointment or selection committee must hold an **individual meeting** with each of the candidates on the final shortlist to clarify **whether their expectations with regard to material resources and staff match the expectations and means available to the university** as laid out in the structural questionnaire (professorship without managerial duties or professorship with managerial duties) and in the advertisement of the post. If substantial differences are likely, the rector should be consulted in advance to help ensure a positive conclusion of the appointment procedure.

Appointment procedures at the Faculty of Medicine for positions that involve managing a (clinical) department often include additional on-site visits. In such cases, a visiting delegation is formed from the members of the appointment committee to report back to the latter with its impressions of the on-site visit.

**12.** To ensure the objectivity of external expert opinions, it is vital that the experts in question can be certain that their identity will remain anonymous. The members of the appointment or selection committee have a duty to maintain confidentiality with regard to the expert opinions made available to them. The chair of the appointment or selection committee is responsible for ensuring that all of its members are made aware of the expert opinions before the final meeting of the committee.

**13.** Once it has received the expert opinions, the appointment committee holds a further meeting at which members have the opportunity for final deliberations before holding a secret written ballot to decide on their **proposal for the appointment**. An open ballot is possible in individual cases if the appointment or selection committee approves it in a unanimous vote.

**14.** In the case of **W1 professorships** and **W2 professorships**, it is possible to leave out comparative external **expert opinions** in order to speed up the procedure, provided that at least two external experts (full professor or equivalent) have been involved in the meetings of the committee as voting members and submit a written statement of their opinions. This exception does not apply in cases where tenure-track options are being offered or a member of the university (internal appointment) is named in the proposal.

**15.** The following rules must be observed when drawing up the proposal:

*Appointment proposal*

- The **appointment proposal should contain three names** (Section 48 [3], clause 4, subclause 1 LHG). In exceptional cases, the appointment or

selection committee may propose a list containing fewer or more candidates (see also below on single-candidate lists).

- The proposal should contain a **clear ranking** with no restriction notice.

The law calls for special requirements in Section 48 (2), p. 3 and p. 5 of the LHG in the case that a member of the University of Freiburg is appointed (so-called **internal appointment**). The reason for this is that mobility and the potential positive impact of fresh academic ideas from external candidates need to be taken into appropriate account in the decision. This does not mean that internal appointments should be excluded from the outset. However, it is necessary to compensate for a possible “lack of mobility” by demonstrating that the internal candidate possesses other qualifications that speak in her or his favor. In this context, the law initially differentiates between:

*Internal appointment*

- the appointment of members of the University of Freiburg who are not junior professors to a W2 or W3 professorship (group 1),
- the appointment of junior professors of the University of Freiburg to a W2 or W3 professorship (group 2), and
- the appointment of members of the University of Freiburg to a junior professorship (group 3).

With regard to group 1, the law combines a series of requirements in Section 48 (2), p. 5 and p. 3 of the LHG, making a further initial distinction between members who changed institutions after earning their doctoral degree or worked in an academic or artistic capacity outside of the University of Freiburg for at least two years (subgroup 1a) or not (subgroup 1b).

An internal appointment in subgroup 1a is only possible in an especially well-founded exceptional case corroborated by external expert opinions (see Nos. 9 and 14 above) in accordance with Section 48 (2), p. 5 of the LHG. This is the case when the internal candidate exhibits a level of qualification that surpasses that of the following candidates by an unusual degree. This rule applies regardless of the candidate’s ranking on the list. This superior qualification may also be a result of the candidate having been especially mobile before her or his time as a member of the University of Freiburg. The more strongly the evaluation of the candidate’s qualification is confirmed by other universities and similar institutions, the lower the requirements with regard to providing special grounds to justify an internal appointment. This confirmation may take the form of external appointments or inclusion on the shortlist for comparable positions around the same time as the appointment procedure, the raising of unusually high amounts of third-party funding, the approval of a Cluster of Excellence for which the candidate was responsible, and grants from renowned organizations. The presence of a verifiably narrow market for candidates in the area in question may also be regarded as an exceptional case.

An external appointment in subgroup 1b is only possible under two conditions under Section 48 (2), p. 5 of the LHG, i.e., when

- an especially well-founded exceptional case corroborated by external expert opinions is present (see above);

- and, additionally, the requirement of selecting the best candidate in accordance with Article 33 (2) of the Basic Law for the Federal Republic of Germany (Grundgesetz [GG]) demands that the candidate be appointed.

Consequently, the law calls for additional irrefutable proof that the candidate is better qualified than the other candidates, thus further increasing the pressure on the appointment committee to provide adequate grounds for its decision if the internal candidate does not fulfill any of the mobility criteria described in Section 48 (2), p. 3 of the LHG.

As a rule, it is possible to appoint junior professors of the University of Freiburg to a W2 or W3 professorship (group 2) in accordance with Section 48 (2), p. 3 of the LHG only in the case that they

- changed institutions after earning their doctorate or
- worked in an academic capacity outside of the University of Freiburg for at least two years.

Exceptions to this rule can be made in individual cases with reference to the requirement of selecting the best candidate (Article 33 [2] of the Basic Law for the Federal Republic of Germany).

Members of the university may, under Section 51 (5), p. 2 of the LHG, be considered for appointment to a junior professorship (group 3) in the following alternative cases:

- a well-founded exceptional case is present (see above),
- they changed institutions at least once after earning their first academic degree,
- they have worked in an academic capacity outside of the University of Freiburg for at least two years, or
- the requirement of selecting the best candidate (Article 33 [2] of the Basic Law for the Federal Republic of Germany) demands that the candidate be appointed.

In exceptional cases, if advertising a vacant professorship leads to the **proposal of a single candidate**, the following procedures must be observed:

*Single-candidate list*

- The expert opinions must also include a statement on the candidate's qualification relative to other candidates and individually with regard to the research field in question.
- The external members of the appointment committee must provide written position statements.
- The outcome of the vote taken in the appointment committee should generally be unanimous.
- The Dean's Office should be notified in advance.
- The Rectorate should be notified in advance.
- In the complete report, the faculty must document its agreement with the candidate that the material resources and staff provided with the professorship may be expected to lead to a successful appointment.

This does not apply to procedures that – on the authorization of previous board resolutions of the faculty and the Rectorate – may be expected to have a single-candidate list due to their appointment format, such as those for Heisenberg professorships.

## Approval of the Appointment Proposal

1. The Faculty Council deliberates on the appointment proposal and resolves whether to grant its approval in accordance with Section 24 (2) of the University Constitution. If the council refuses to grant its approval, it may return the appointment proposal to the appointment or selection committee along with a statement providing grounds for this decision; the appointment proposal may not be changed (Section 24 [2] of the University Constitution). If the vacant professorship involves responsibilities in patient care at the Medical Center – University of Freiburg, approval must also be sought from the medical center's board of directors.

2. The dean exercises her or his general right of objection (Section 24 [1], p. 4 LHG) and checks whether any legal considerations speak against submitting the appointment proposal. If there are no legal issues, the appointment proposal is submitted to the Rectorate for approval and preparation of the Senate resolution on its approval of the proposal (Section 24 [2] of the University Constitution).

The faculty should include the following documentation with the proposal:

- application by the faculty including details of the resolutions passed at meetings of the various faculty bodies and the results of voting and, if applicable, a position statement by the Faculty Council on the appointment proposal (**faculty cover letter**);
- the **complete report** of the appointment or selection committee with a complete account of the procedures followed (dates of meetings, presence of a quorum, votes and results, decisions on potential bias), a description of the candidates included on the list, a full explanation of the grounds underlying the selection, including an assessment of any dissenting votes and other deviating opinions expressed by those involved in the procedure and an account of the votes received from the external experts. An appropriately structured sample report is available to help faculties prepare complete reports (see Appendix);
- any **dissenting votes** cast by individual members of the appointment or selection committee;
- a completed **form from the State Ministry of Science** to obtain approval (Section 48 [2], clause 1, subclause 1 LHG) (see Appendix for link). The form should also be sent digitally as a Word file;
- documentation of the committee's **proactive search** for female candidates from Germany and abroad who are suitable for inclusion on the list (form, see Appendix);
- a **comparative list** of all applications received, detailing which candidates were invited to hold a lecture and which applications were rejected without a consensus in the preliminary selection procedure;
- a **summary of the candidates invited to hold a lecture** containing the basic details of those candidates;
- a statement by the **reporter to the Senate**;
- a report by the university's **equal opportunity representative**;
- a statement by the **academic dean** on the teaching skills and experience of the candidates on the list;
- a statement by the **representative for severely disabled persons**, if applicable;

- **expert opinions** (for W3 professorships and tenure-track professorships: at least three external comparative expert opinions from university professors, i.e., full professor or equivalent);
- a completed **application form** (see Appendix for link);
- the **curricula vitae, doctoral degree and habilitation certificates**, and addresses of the candidates included on the list;
- if necessary: a **certificate of specialist physician status**;
- **application documents** of the candidates included on the list with details of their academic career, their **teaching skills portfolio** (see Appendix), a **list of their publications and lectures**, and a list of their **research projects**;
- in cases where a candidate included on the list for a W2 or W3 professorship has not yet been awarded habilitation: **evidence** from the external experts of comparable **academic qualification**.

3. The appointment proposal is then discussed first by the Rectorate and second at the next possible Senate meeting. Proposed appointments are entered into the agenda for the next Senate meeting if the necessary documentation has been submitted to the Office of Committees and Appointments **at least three weeks before the next scheduled Senate meeting**. The Rectorate is entitled to reject the proposal and return it to the appointment or selection committee with an explanation of its reasons for doing so. The rector exercises her or his general right of objection (Section 16 [5], p. 2 LHG) and checks whether any legal or financial considerations speak against submitting the appointment proposal to the Senate and whether the appointment proposal is ready for a decision (Section 12 [3] of the Senate's Rules of Procedure). If there are no legal or financial issues, the proposal is submitted to the Senate. As a rule, the Rectorate then adopts the proposal, subject to its approval in the Senate.

*Rectorate and Senate*

4. The Senate deliberates on the appointment proposal and resolves whether to grant its approval in accordance with Section 24 (2) of the University Constitution. If the Senate refuses to grant its approval, it may return the appointment proposal to the appointment and selection committee with an explanation of its reasons for doing so.

5. Neither the Senate nor the Rectorate may change the appointment proposal (Section 24 [2] of the University Constitution).

6. The appointment is carried out on the basis of the appointment proposal and requires the **approval** of the **State Ministry of Science (MWK)** (Section 48 [2], clause 1, subclause 1 LHG). For this purpose, the rector submits the appointment proposal to the MWK following the Senate resolution to request its approval on carrying out the appointment in accordance with the rankings on the list (for W2 and W3 professorships). At the same time, the Office of Committees and Appointments keeps the candidates included in the appointment proposal informed on the status of the procedure, i.e., the resolution of the appointment proposal and their ranking on the list (for professorships at the Faculty of Medicine, this task is assumed by the Dean's Office Administration).

After receiving approval, the **rector** generally issues a provisional offer (German: "Ruf") to the first-placed candidate but may **deviate** from the appointment proposal

in well-founded cases (Section 48 [2], clause 1, subclause 2 LHG). In this case as well, it is necessary to seek prior approval from the MWK before issuing a provisional offer and provide an explanation of the reasons for the decision (cf. Section 48 [2], clause 1, subclause 1 LHG). At the same time as the **provisional offer** is issued, candidates appointed to a W3 professorship are asked, in the case that they are willing in principle to accept the offer, to submit a **position paper** within four weeks outlining their views on how the professorship should be structured in terms of research and teaching and on the resources and salary they consider commensurate with the position (for W3 professorships only). For appointments at the Faculty of Medicine, these negotiations are conducted directly with the dean. The Dean's Office Administration asks the candidates to submit a paper containing their views on the structure of the professorship. The Dean's Office Administration of the Faculty of Medicine prepares a key issues paper for the planned appointment (resources and bonus payments) and sends it to the appointee.

7. The faculty is notified when approval is granted by the MWK and the provisional offer is made to the successful candidate. The faculty then immediately notifies all candidates not included in the appointment proposal.

### III. Appointment Negotiations (W3 Professorships), Hiring

1. Once the appointee has submitted the **position paper**, whose content should be determined in advance in consultation with the faculty and which should be submitted no later than four weeks after the provisional offer was made, the views of the appointee on the structure of the professorship are assessed in terms of teaching and research, on the necessary resources, and on salary. This involves requesting a statement from the relevant administrative bodies, in particular the Departments of Finances and Budget, Human Resources, Building Management, and Construction Planning, as well as the IT Services Department and the University Library. At the same time, the faculty prepares a written statement outlining its own response to the requests made in the position paper and what contribution (staff, one-off and ongoing funds, rooms, other) it would approve. Upon receiving the faculty's statement on the position paper, the office of the rector arranges a **date for the appointment negotiations**. As a rule, the negotiations are held within the following four weeks.

*Appointment negotiations*

The rector holds a meeting to prepare for the negotiations. This meeting is generally attended by the head of administration and the representatives of the Central University Administration named above, and the Office of Appointments and Committees. The dean is informed of the results of the meeting by the Office of Committees and Appointments. Prior to the negotiations, the rector discusses any open questions with the dean.

Within the Faculty of Medicine, the negotiations are conducted either by the dean and the faculty head administrator alone (in the case of pre-clinical professorships)

or by these persons together with the head medical director and the commercial director (in the case of professorships in clinical and clinical theory departments).

2. In addition to the appointee, the negotiations are attended by the rector, the head of administration, the dean, and, if requested by the faculty, a representative from the academic department in question, as well as by the representatives named above from the Central University Administration and the Office of Committees and Appointments. Negotiations on the resources to be made available are followed by salary negotiations. They are attended by the rector, the head of administration, and the representatives of the Departments of Human Resources and Finances and Budget and the Office of Committees and Appointments. Other persons may be invited to attend at the request of the appointee.

The results of the negotiations are documented in a **formal record**, which is then submitted to the faculty for approval before the resolution on the formal appointment offer is passed (German: "Berufungsangebot").

Within the Faculty of Medicine, the negotiations are also (in addition to the persons listed under 1 above) attended by the corresponding head of department in the case of non-managerial professorships that represent their subject independently within a department. The faculty head administrator (in the case of pre-clinical professorships) or the head of administrative organization (in the case of professorships in clinical and clinical theory departments) are also involved in the negotiations.

**Any commitments made with regard to the resources** of the professorship must be **limited** to a period of five years in accordance with Section 48 (4) of the LHG. The decision on the reallocation of resources is made following a corresponding evaluation and takes into account statements by the Dean's Office and the Rectorate.

(see Appendix for a link to the guide).

**Appointment bonuses** over and above the basic W-level salary as per Section 38 (1) of the State Employee Salaries Act (Landesbesoldungsgesetz [LBesG]) may be granted for a limited or unlimited period. In the case of bonuses granted or announced for a limited period, a decision on whether to continue granting the bonus or begin granting the bonus should be made in good time following a corresponding evaluation. The rules of procedure governing this matter may also be found in the guide published by the Rectorate.

3. Once the appointment negotiations have been concluded, the **Rectorate** passes a **resolution** on the matter at the next possible meeting. The **formal appointment offer** is then sent to the appointee in writing. The **deadline** for accepting the offer is six weeks. Details of the resources included in the offer are sent to the faculty. For appointments at the Faculty of Medicine, the details of the research and teaching resources to be included in the offer are decided by the Dean's Office. Decisions on any bonuses are made by the Staff Committee of the Dean's Office. The Dean's Office Administration is responsible for drawing up the University of Freiburg's

formal appointment offer, which is then signed by the rector or the dean of the Faculty of Medicine. The appointee must accept the offer within six weeks.

It should be noted that the University of Freiburg **never offers retention negotiations** until **at least 3 years** after acceptance of the offer.

4. If the provisional offer has not been accepted by the set deadline (or after a reasonable extension period), a decision is made on its withdrawal.

5. Once the formal appointment offer has been accepted in writing, all other candidates included in the appointment procedure are notified of the impending appointment or hiring of the appointee, including mention of her or his name, by e-mail (**notification of competitors**); the necessary information (rejection of the addressee and name of the successful candidate) should be communicated both directly in the e-mail and in the attachment (letter in PDF format).

The notification of competitors must include a statutory remedy notice.

The e-mail program used to send the notification should be set to require a read receipt. The condition for sending a notification of competitors in electronic form (i.e., e-mail with attachment) is that the application documents must have been requested and submitted exclusively in electronic form. If this was not the case, applicants must be asked separately for their consent to contact them by e-mail for purposes of the procedure.

The shortlisted candidates receive this notification from the Office of Committees and Appointments, and all other candidates not included in the final proposal are notified by the faculty (for professorships at the Faculty of Medicine, the shortlisted candidates are also informed by the Dean's Office Administration).

As a means of protecting the legal interests of unsuccessful candidates, the notifications of competitors must be sent out at least four weeks before the appointment or hiring takes place.

Parallel to the notification of unsuccessful candidates, the Human Resources Department of the university or the Medical Center – University of Freiburg asks the appointee to submit the documents necessary for her or his appointment or hiring.

At the end of the four-week period mentioned above, the appointment or hiring takes place on the next possible date that can be arranged with the appointee.

Immediately after the appointment/hiring, the Human Resources Department instructs the State Office for Salaries and Pensions (LBV) to begin paying the salary.

Upon conclusion of the procedure (appointment/hiring), the Dean's Office Administration deletes all data submitted by the candidates in electronic form, provided that the appointment/hiring was not contested in court. If an applicant submitted written (e.g., officially certified) application documents, offprints, books, or the like on her or his own initiative or upon request in addition to the electronic application, these documents must be sent back. It is thus advisable to mention in the call for applications that application documents, including any publications, are requested only in electronic form.

6. If the appointee rejects the formal appointment offer or fails to indicate a decision before the stipulated deadline, the offer will generally be withdrawn after due

consultation with the dean and made instead to the next-ranking candidate on the proposal list.

7. If there are no further candidates on the list or if the remaining candidates are no longer available, a decision is made by the Rectorate in consultation with the faculty on whether to re-advertise the post or terminate the appointment procedure.

8. The faculty, the MWK, and the departments and offices of the Central University Administration involved in the process are informed of the selected candidate's decision to accept or reject the offer.

## IV. Appointments to W1 and W2 Professorships

### W1 Professorships

*W1 professorships*

The Rectorate is **not involved in appointment negotiations** with selected candidates for W1 professorships. The appointees are not expected to submit a position paper. It is the responsibility of the faculty to discuss its expectations and wishes with them, to find appropriate solutions in a dialogue with them, and if necessary to provide equipment and resources. Relocation costs of up to EUR 1500 may be made available from central funds subject to evidence of expenditure. In addition to the resources provided by the faculty itself, limited funds may be available to furnish the place of work within the scope of corresponding guidelines, to provide basic IT equipment, and to cover any necessary refurbishment work (painting). The rector holds a meeting with candidates selected for junior professorships when they are formally appointed, usually when they receive their certificate of appointment. In addition to the rector and the appointee, this meeting may also be attended by the dean.

Junior professors may receive appointment bonuses on a limited basis. The faculty must apply to the Rectorate for a decision on whether to grant the bonus (Section 59 State Employee Salaries Act (Landesbesoldungsgesetz [LBesG])).

### Tenure-Track W1 Professorships

Following a decision on tenure track (see Appendix for a link to the guide), a simplified appointment procedure is conducted. The post is not advertised. The expert opinions on research performance obtained by the Permanent Tenure Commission may be used as a basis for the decision by the appointment committee. The candidate to be appointed to the regular professorship is offered appointment negotiations regarding resources and salary. The procedure described above for W3 professorships is conducted. With regard to the scheduling of the

*Tenure-track W1 professorships*

procedure, it is essential that there be a seamless transition from the W1 professorship to the W3 professorship with no interruptions.

The guidelines on single-candidate lists described above are not applied in tenure-track procedures.

## **W2 Professorships**

*W2 professorships*

The rector holds a meeting with all W2 professors **at the time of their appointment**. Prior to this meeting, the appointee and the faculty (dean) must reach an agreement on the resources to be made available by the faculty for the professorship in question. The faculty must adopt a clear position on this matter and provide the rector with written details of the agreement in advance of the meeting. As a general rule, resources for W2 professorships cannot be made available from central funds. Responsibility for the funding of W2 professorships lies with the faculties themselves. A limited financial contribution may be made available from central funding in the event that additional resources are required to create a basic working environment. In particular, this may cover the cost of furnishings, refurbishment, and a computer workstation. Relocation costs may be made available from central funds subject to evidence of expenditure in accordance with the relevant legal guidelines. It is also possible to negotiate limited funding for appointment bonuses, materials, and auxiliary staff as part of a co-financing arrangement (faculty funds).

Within the Faculty of Medicine, negotiations are conducted in the same way as for non-managerial professorships that represent their subject independently within a department.

## **V. Procedure for Retention Negotiations**

If the Rectorate is informed of an appointment offer made by another university or research institute to a person currently holding a professorship at the University of Freiburg, **the rector decides in consultation with the dean's office whether to conduct retention negotiations**. If the faculty is in favor of retaining the professor at the University of Freiburg and agrees to provide a significant sum to finance and fulfill her or his expected demands, the rector (or the dean in the case of the Faculty of Medicine) generally offers to conduct negotiations with that person.

As a prerequisite for setting a date for such negotiations, the professor must submit a written statement prior to the meeting outlining the circumstances under which she or he would consider staying at the University of Freiburg. The statement should be accompanied by the written salary offer made by the recruiting institution detailing whether the remuneration offered covers an unlimited or a limited period and which regulations on retirement benefits are to be applied.

The procedures described above under III, Nos. 1 to 3 should be applied *mutatis mutandis* to the preparation and organization of contract renewal negotiations. The University of Freiburg **will not enter into any (further) retention negotiations for**

**three years** after the person in question accepts a formal offer of employment or the offer of a renewed contract with the University of Freiburg.

## VI. Gender Equality Incentives in Appointment Procedures<sup>2</sup>

**Application form available online (see Appendix for link)**

### **1. Composition of the Appointment Committee**

If the external member of the appointment committee proposed by the faculty is female, the faculty receives EUR 5000 for its own use.<sup>3</sup>

### **2. External and Comparative Expert Opinions**

If women make up at least 40% of the panel of external experts, the faculty receives EUR 5000 for its own use.

### **3. Invitations to Hold Application Lectures**

If women make up at least 50% percent of the shortlist of (usually no more than six) candidates invited to hold an open lecture at the university, the faculty receives EUR 5000 for its own use.

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<sup>2</sup> This provision does not apply to special programs intended exclusively for women.

<sup>3</sup> The sum is only made available if the external member has attended all appointment committee meetings from at least the 2<sup>nd</sup> meeting on.

Form available online  
(see Appendix for link)

Albert-Ludwigs-Universität Freiburg



## Guidelines for Conducting a Proactive Search to Select the Best and Ensure Equal Opportunity

– documents for the committee member entrusted with the proactive search –

As required by the guidelines for appointments at the University of Freiburg, appointment committees charged with filling vacant professorships are expected to encourage especially qualified candidates, in particular qualified female junior researchers and colleagues, to apply in addition to issuing a regular announcement of the post.

This proactive search must be conducted along the lines of the necessary qualifications arranged by the appointment committee and formulated in the text announcing the post. It should be initiated early on and conducted with the goal of encouraging particularly qualified female researchers to apply in addition to those who respond to the announcement of their own accord.

The following steps are advisable:

- identifying potential female applicants in consultation with members of the appointment committee
- looking into known experts in the field in question
- inquiring at academic societies
- inquiring with review board members at the German Research Foundation (DFG)
- reviewing the membership lists of academic societies
- searching on databases and information portals, including FemConsult ([www.femconsult.de](http://www.femconsult.de)), the female research database of the Center of Excellence Women and Science (CEWS), AcademiaNet ([www.academia-net.de](http://www.academia-net.de)), hosted by the Robert Bosch Stiftung and the magazine *Spektrum der Wissenschaft*, the information portal scientifica ([www.scientifica.de](http://www.scientifica.de)), hosted by the network "Frauen. Information. Technik Baden-Württemberg,"

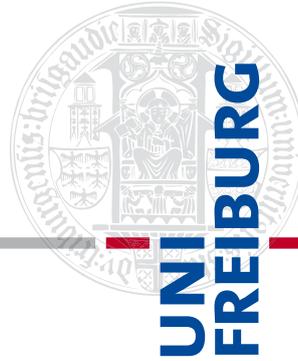
the Swiss female expert database femdat ([www.femdat.ch](http://www.femdat.ch)), supported by higher education institutions, women's professional societies, and an academic society,  
the FEMtech female expert database ([www.femtech.at](http://www.femtech.at)), sponsored by the Austrian Federal Ministry of Transportation, Innovation, and Technology,  
and the European Platform of Women Scientists EPWS ([www.epws.org](http://www.epws.org)).

Upon completing this inquiry, the appointment committee must complete the form "Documentation of a Proactive Search to Select the Best and Ensure Equal Opportunity – Records for the Senate."

For reasons of discretion, personal information on the female researchers should not be included on this form. In addition, the complete supporting documents should not be handed over to persons not involved in the appointment procedure.

The completed and signed form should be added to the other documents included with the appointment proposal. Appointment proposals submitted without this form will be returned to the faculty.

For further information on the proactive search, please contact the Equal Opportunity Office of the University of Freiburg by e-mail ([gleichstellungsbuero@uni-freiburg.de](mailto:gleichstellungsbuero@uni-freiburg.de)) or telephone (0761 203 4222).



## The Skills Portfolio as an Integral Part of the Appointment Procedure

The University of Freiburg imposes strict requirements on the quality of teaching, instructional development, and innovations in teaching. This is one of the reasons why it has enjoyed great success in a variety of competitions for excellence and innovative teaching, and why it will continue to observe the high standards it has established. A consequence of this has been the introduction of teaching portfolios, increasingly viewed to be an important part of university applications and ever more frequently used in Germany for purposes of quality assurance (recruitment) and quality development (tenure track, further training) within the context of university teaching.<sup>4</sup> Teaching portfolios are now an integral part of appointment procedures at the University of Freiburg and are designed to improve understanding of both the teaching skills and the teaching personality of applicants.

### **The skills portfolio as a means of evaluating teaching skills and an individual's teaching personality**

Skills portfolios are useful tools that you can shape in a highly personal manner, enabling the appointment committee to fully evaluate the quality of your teaching. As a result, the University of Freiburg is able to ensure that your teaching personality be evaluated on an individual basis. The evaluation of your teaching skills within the appointment procedure should be transparent and target specific criteria, which is why some aspects for evaluation and certain components of the skills portfolio are predefined.

### **Part A – Teaching Philosophy, Theoretical Principles, and Personal Reflection on Teaching**

The first part of the portfolio is designed to provide an understanding of how you see yourself as a teacher, an outline of the scope of your teaching and your personal teaching experience.<sup>5</sup> It clarifies the basis on which you teach, the variety of

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<sup>4</sup> Wehr, Silke (2011). Das Lehrportfolio zur Qualitätsförderung und –beurteilung der Hochschullehre. In Wehr, S., & Tribelhorn, Th. (Eds.). *Bolognagerechte Hochschullehre. Beiträge aus der hochschuldidaktischen Praxis*. Bern/Stuttgart/Vienna: Haupt Verlag

<sup>5</sup> Seldin, Peter; Miller, Elizabeth J., & Seldin, Clement A. (2004). *The Teaching Portfolio. A Practical Guide to Improved Performance and Promotion/Tenure Decisions*. San Francisco: John Wiley & Sons.

courses you teach, and why you teach the way you do. It should include the following elements:

- A.1 your teaching philosophy, including fundamental reflections on teaching and characteristics thereof (theoretical principles, teaching objectives, understanding of students as learners, and teaching methods)
- A.2 your teaching biography (teaching experience, scope of teaching, requirements, types of courses taught, diversity of students, and phases of study)
- A.3 your instructional development measures (feedback procedures, dealing with and integrating findings into future teaching practice)

### **Part B – Case Studies from Your Teaching Experience**

On the basis of the explanations regarding your teaching philosophy, you should describe how you implement your teaching principles in day-to-day teaching using practical examples. It is important that you not only provide a collection of documents, but that you put the respective documents into perspective, elaborate on them, and assess them.

Information must accompany each element, detailing the kind of document it is, the context from which it is taken, its relevant characteristics, and particularly the aspect from Part A (teaching philosophy) that it is intended to illustrate.

We expect you to include the following practical examples:

- B.1 examples of teaching and learning materials you have used in classes or for self-study
- B.2 examples of different types of exams you have used
- B.3 teaching evaluations from courses of different formats you have taught in the previous three years (not required)
  - You may include further examples from your teaching experience in addition to these elements.

### **Part C – Teaching, Further Training, and Teaching Awards**

In addition to your teaching philosophy and a detailed, reflective insight into your teaching experience, you should cover the following areas in the third part of your portfolio:

- C.1 courses taught
- C.2 supervision of bachelor's and master's theses, doctoral dissertations, and habilitation theses
- C.3 further training in higher education teaching theory
- C.4 teaching awards and other accolades
- C.5 letters of recommendation
- C.6 further documents detailing teaching tasks and skills.

### **Skills Portfolio Evaluation Criteria**

In addition to verifying that your portfolio is complete and that you provide context for your practical examples, we will evaluate your portfolio according to the following criteria:

- links between research and teaching
- learner-centeredness
- skills orientation
- use of (new) media
- teaching and examination formats
- supervision and advising
- promotion of lifelong learning
- instructional and curriculum development
- professional self-image
- teaching innovations

Please do not enclose any original documents with your portfolio. The University of Freiburg does not assume liability in case of loss.

# Complete Report of the Appointment Committee

The complete report of the appointment committee is an essential part of the documents required for presenting an appointment proposal to the Rectorate and the Senate. It gives a summary of the procedure in the appointment committee.

It should be compiled with utmost care since it forms the basis of the Rectorate's decision, is made available for inspection by members of the Senate, and may also be used as documentation for receiving approval from the MWK (State Ministry of Science). In the case of potential legal action by a competitor, the complete report should be presented to the court.

The chair of the appointment or selection committee is responsible for the complete report and has to sign it.

The committee is responsible for determining whether and how the text of the report should be coordinated internally with the committee members.

## Information Relating to the Structure:

### A. Data

- data concerning approval for offering the professorship (naming of the job description)
- composition of the appointment committee, functions (reporter to the Senate, etc.)
- data on advertising the post (text, place, time of announcement)
- number of applications received (m/f/severely disabled); documentation of inclusion of representative for severely disabled persons, if applicable

### B. Documentation of Appointment Committee Meetings

- 1<sup>st</sup> meeting of the appointment committee (prior to or at the time of announcement):
  - (date, excused/absent members);
  - documentation of the commitment to a proactive approach (see guide by the equal opportunity representative);
  - documentation of process of determining selection criteria (which criteria, weighting).
- 2<sup>nd</sup> meeting of the appointment committee (after the application deadline) + • a possible 3<sup>rd</sup> meeting if a preliminary selection could not be made at the 2<sup>nd</sup> meeting:
  - (date, excused/absent members);
  - documentation of the decision as to which applications should be included in the nomination list and which candidates should be invited to hold a lecture (result of the vote);

if applicable: documentation of problems with bias and how they were dealt with;  
if applicable: if severely disabled candidates were not considered in agreement with the representative for severely disabled persons, this decision needs to be justified in detail.

- Open lectures for university members:  
(date/s, excused/absent members of the appointment committee);  
course of events (including the duration, whether there was a subsequent discussion and its nature), names of candidates who held lectures, topics of the lectures.
  
- If applicable: trial lectures/courses: dates, titles
  
- 3<sup>rd</sup>/4<sup>th</sup> meeting of the appointment committee subsequent to the open lectures:  
(date, excused/absent members);  
documentation of the personal interviews the committee conducted with candidates on the shortlist for external expert opinions concerning what resources they wish to be provided with the position and options of the faculty for fulfilling these wishes;  
  
documentation of the decision as to which applications should be passed on to external experts for their appraisal (result of the vote);  
  
a brief statement on the grounds for the decision to no longer consider the other candidates who were invited to hold a lecture (whose applications were not passed on to external experts);  
  
documentation of the decision as to which external researchers should be asked to provide expert opinions (result of the vote); statement as to why no females were included, if applicable.  
(if applicable: documentation of problems with bias and how they were dealt with)  
  
if applicable: if severely disabled candidates were not considered in agreement with the representative for severely disabled persons, this decision needs to be justified in detail.
  
- 4<sup>th</sup>/5<sup>th</sup> meeting of the appointment committee after receipt of the expert opinions:  
(date, excused/absent members);  
documentation of the decision concerning the appointment proposal: voting procedure (secret ballot<sup>6</sup>), result of the vote; any dissenting votes;  
  
if applicable: if severely disabled candidates are not considered in agreement with the representative for severely disabled persons, this decision needs to be justified in detail.

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<sup>6</sup> It is recommended to follow the procedure practiced in the Senate.

## C Statement of Grounds/Testimonial

- Introduction of the candidates on the shortlist: academic career (if applicable: statement on qualification equivalent to habilitation with reference to remarks on this matter made by the external experts), how they fit with the requirements of the advertised post, acknowledgement of their achievement with regard to the predefined selection criteria, impressions of their trial lecture and any trial course they held, analysis of their teaching skills portfolio, statements on their personal aptitude, impressions gained from an on-site visit (if applicable).
- Brief summary of the votes of the external experts.
- Statement concerning the grounds for the candidates' ranking on the shortlist in direct comparison and with regard to their suitability for the faculty and the university: inclusion and analysis of the votes of the experts (particularly important if the list submitted by the appointment committee differs from the predominant opinion of the experts).
- **Special Cases**  
If the list does not include three candidates (should be the normal case): explanation of why only two or why four candidates were included on the list.

In the case of a single-candidate list: detailed statement of the grounds for this decision with reference to the applicable passage in the guide and treatment of the specified points.

If there are problems concerning internal appointments in the case of one or more of the candidates on the shortlist: detailed statement on the grounds of this special case (see applicable passage in the guide).

In the case of dissenting votes: discussion/statement.

In the case of endowed professorships for which the donor must provide her or his consent on the shortlist, this fact has to be documented.

# Excerpt from the Law on Administrative Procedure for Baden-Württemberg (State Administrative Procedure Law – LVwVfG) in the Version from 12 April 2005

## **Section 20 Excluded Persons**

(1) The following persons are excluded from participating in an administrative procedure for a public authority:

1. those involved themselves;
2. those related to a person involved;
3. those representing a person involved, by law or by power of attorney, in general or in this administrative procedure;
4. those related to a person representing a person involved in this procedure;
5. those gainfully employed by a person involved or participating with her or him as a member of management, a supervisory board, or other equivalent authority; this does not apply to those whose employing entity is involved;
6. those who have submitted an expert opinion on the matter outside of their official capacity or have been active in it in any other respect.

Those who can gain a direct advantage or incur a direct disadvantage from the activity or from the decision are treated as persons involved. This does not apply if this advantage or disadvantage consists only in belonging to a professional group or segment of the population whose common interests are affected by the matter.

(2) Subsection (1) does not apply to appointments for an unsalaried position or for dismissals from an unsalaried position.

(3) Persons excluded under Subsection (1) may take urgent measures in exigent circumstances.

(4) If a member of a committee (Section 88) considers her or himself to be excluded or if there are doubts whether the conditions of Subsection (1) are met, the chair of the committee must be informed of this fact. The committee decides on whether to exclude the person in question. This person may not participate in this decision. The excluded member may not be present at further negotiations and the passing of resolutions.

(5) Relations for the purpose of Subsection (1) Nos. 2 and 4 are

1. fiancés or fiancées,
2. spouses,
3. relatives and persons directly related by marriage,
4. siblings,
5. children of siblings,
6. spouses of siblings and siblings of spouses,
7. siblings of parents,

8. persons connected due to having lived with one another for an extended period of time in a foster care relationship (foster parents and foster children).

Relations are the persons listed in Clause 1 even if

1. the relationship on which the marriage is based no longer exists in the case of Nos. 2, 3, and 6;
2. the relationship or relationship by marriage has ceased to exist due to adoption as a child;
3. the household no longer exists in the case of No. 8, provided that the persons still have a parent-child relationship.

### **Section 21 Suspicion of Bias**

(1) If there are reasonable grounds for suspicion that a person who is to participate in an administrative procedure for a public authority is not performing her or his duties in an unbiased manner or if a person involved claims such grounds exist, this person should inform the head of the public authority or the representative of the head of this fact and refrain from participating in the procedure by her or his order. If the head of the public authority is suspected of bias, this order is made by the supervisory body, provided that the head of the public authority her or himself does not refrain from participating in the procedure.

(2) Section 20 (4) applies mutatis mutandis for members of a committee (Section 88).

## List of Internet Addresses for Accessing Documents

Structural questionnaire:

<http://www.zuv.uni-freiburg.de/service/strukturfragebogen>

Commission on Strategic Planning And Development:

<http://www.uni-freiburg.de/universitaet/zentrale-universitaere-gremien/gremien/senatskommission-strukturundentwicklung>

Form for initiating an appointment procedure:

[www.zuv.uni-freiburg.de/formulare/berufungsverfahren/einleitungsvordruck.doc](http://www.zuv.uni-freiburg.de/formulare/berufungsverfahren/einleitungsvordruck.doc)

Teaching skills portfolio:

<http://www.zuv.uni-freiburg.de/formulare/lehrkompetenzportfolio-formblatt.doc>

Rules of procedure:

<http://www.zuv.uni-freiburg.de/service>

State Ministry of Science (MWK) form:

<http://www.zuv.uni-freiburg.de/service/berufungsverfahren/unterlagen>

Application form:

[www.zuv.uni-freiburg.de/formulare/bewerbungsbogen\\_deutsch.pdf](http://www.zuv.uni-freiburg.de/formulare/bewerbungsbogen_deutsch.pdf)

[www.zuv.uni-freiburg.de/formulare/bewerbungsbogen\\_englisch.pdf](http://www.zuv.uni-freiburg.de/formulare/bewerbungsbogen_englisch.pdf)

Guide on allocating resources:

[www.uni-freiburg.de/go/ressourcenzuweisung](http://www.uni-freiburg.de/go/ressourcenzuweisung)

Guide on evaluating tenure track junior professorships:

<http://www.zuv.uni-freiburg.de/service/tenure>

Application form for requesting gender equality incentives in appointment procedures:

<http://www.zuv.uni-freiburg.de/service/berufungsverfahren/gendergerecht>

Form for documenting the proactive search:

<http://www.zuv.uni-freiburg.de/formulare/proaktiv.pdf>