

# Code of Practice for Professorial Appointments at the Albert Ludwig University of Freiburg Guidelines

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Albert-Ludwigs-Universität Freiburg



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Enclosure: Teaching Skills Portfolio

# Guidelines on implementing appointment procedures at the University of Freiburg

## Preamble

As competition between universities for the best academics becomes ever fiercer at both national and international level, the successful implementation of appointment procedures plays an exceptionally important role. This is not least due to the fact that decisions on appointing professors are inexorably linked to decisions surrounding the profile and development of research and teaching at the University of Freiburg. Determining who should fill professorships is the key means available to the faculties and Rectorate for implementing university policy and structural development, and as such should be given the greatest care and attention. At the same time, appointment procedures act as a business card for the university, and it is only right that our university's trademark should be one of treating applicants with respect, providing adequate information on the status of proceedings and giving comprehensive support to invited applicants and new appointees. 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 funding of professorships
- Legally-binding statements regarding pay
- Advice and support from the Dual Career Service
- Advice and support from the Family Service
- Management training for new appointees
- Reception for new appointees

These guidelines set down the sequence of events in appointments procedures for W3, W2 and W1 professorships (junior professorships). Their purpose is to facilitate quality assurance. Albert Ludwig University has voluntarily committed itself to abide by these guidelines, and deviations from them shall only be permitted in exceptional cases

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<sup>1</sup> In the case of appointment procedures within the Medical Faculty, this meeting will take place with the Dean.

# I. Professorship vacancy, job description, clearance to advertise post, appointments committee

1. The (re-)appointment procedure for a professorship within a specific faculty, i.e. one assigned within the faculty's structural and development plan, is based on the decision as to

- whether the position should be re-filled
- whether the position should be assigned to a different area of responsibility
- whether the professorship involves duties to provide patient treatment
- whether the position should be re-filled with an identical job description
- whether the position should be re-filled with a modified job description

Professorships from the central job pool are generally taken away from faculties upon becoming vacant, as they are allocated on a one-off basis to shape the structure and profile of specific subjects and faculties. Positions may only be renewed if they fall directly under the aegis of a faculty, and they must be embedded in long-term plans concerning the structure and development of that faculty when they are first allocated.

*Types of professorship*

The Medical Faculty has a separate schedule of positions for professorships under the State Budget and must therefore independently ensure that any professorship for which an appointment is made is vacant at the time this happens.

If professorships are to be funded by third parties, the Rectorate, or in the case of medical professorships the Office of the Dean, must be informed of this and involved in the process even before the funds are acquired or the application submitted.

If a professorship becomes vacant as a result of retirement, the professor being appointed elsewhere or for other reasons, or if it is newly created, the faculty – provided it wishes to appoint somebody to the post – must submit an application to the Rectorate for **approval of the position**.

If a professor takes scheduled retirement (consideration must be given to changing retirement ages), 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 (form can be accessed at: **[www.uni-freiburg.de/go/strukturfragebogen](http://www.uni-freiburg.de/go/strukturfragebogen)**), and advice on this should be sought beforehand from the Faculty Council. In the event that the professorship involves duties to provide patient treatment at Freiburg's University Hospital, the hospital's board of directors must give prior consent. The structural questionnaire contains statements from the faculty on:

*Structural questionnaire*

- academic specialisation (job description); the job description should be drafted in sufficiently broad terms so as not to deter any potential applications with an academic specialisation that is too narrow and thus reduce the number of applications.
- integration into both the faculty's and the university's plans on structure and development (taking into consideration the objectives of the faculty equality plan).
- planned teaching and research responsibilities
- the profile of requirements for the post with a summary of its content.
- the question as to whether the professorship will involve duties to provide patient treatment at Freiburg's University Hospital.
- professorship status (entry-level professorship [C3 equivalent], professorship with managerial duties [C4 equivalent] or leading professorship [C4+ equivalent]).
- funding and equipment as planned by the faculty (funding for the post, ongoing and one-off financial funding, any necessary investment, rooms/office space, notes on any necessary changes to the building structure).
- the extent to which the post can be financed by the faculty's existing funds and on integration into the faculty's overall funding strategy.
- an outlook on potential applicants.

In addition to deciding whether or not a professorship should be withdrawn or reallocated, in the event that reallocation is chosen, the Rectorate shall also have the final say on the **job description**.

The subject will be discussed by the **Senate Structure and Development Committee** in preparation for making these decisions. The meeting cycles of the Structure and Development Committee are coordinated with the processing periods required by the Senate and the University Council. It is therefore imperative that the procedural specifications and dates posted on the Structure and Development Committee's website ([www.uni-freiburg.de/go/struko](http://www.uni-freiburg.de/go/struko)) be observed. Following a hearing with the Dean and on the basis of the ideas set out in the structural questionnaire, the Structure and Development Committee will prepare a recommendation for the Rectorate, Senate and University Council.

*Senate Structure and  
Development  
Committee*

The excerpt from the Structure and Development Committee's report containing the committee's discussion and recommendations on each specific professorship will be submitted to the Dean. The Medical Faculty has its own strategic committee that is responsible for decisions on professorships. Provided the job description remains unchanged with respect to the structural and development plan, the final decision will be taken by the Rectorate. Otherwise the Rectorate will give a recommendation on future specifications for the job description to the Senate and University Council.

**2. Once a job description that deviates from the structural and development plan has been decided on by the Rectorate, Senate and University Council, the Rector shall seek approval from the State Ministry of Science, Research and the Arts (MWK).** In the case of professorships in the Medical Faculty, approval must also be obtained from the science ministry if the description corresponds to the approved

*MWK*

structural and development plan. Applications for this purpose from the Rector will be prepared by the Medical Faculty Dean's office.

*Appointments  
Committee*

3. In parallel to the decision-making process concerning the approval of positions and job descriptions conducted in the Rectorate, it will be decided on the proposals made by each Faculty Council regarding who will sit on and who will chair the **Appointments Committee** or **Selection Committee (in the case of junior professorships)**, as well as those regarding how the position will be advertised (text of the announcement and where it will be published) (form can be accessed at: [www.zuv.uni-freiburg.de/formulare/einleitungsvordruck.doc](http://www.zuv.uni-freiburg.de/formulare/einleitungsvordruck.doc)). The involvement of the faculty's equal opportunities officer must be documented on the form (the Dean must confirm that contact has been established with the faculty's equal opportunities officer). The following specifications must be observed by the Rectorate when deciding on the composition of the Appointments or Selection Committee:

- For the purposes of ensuring that the procedure is completed swiftly, the Rectorate usually recommends that the number of members with voting rights on an Appointments or Selection Committee should not exceed 12 to 14. If this is not adhered to, reasons must be given. When making proposals as to the composition of the committee, the faculties must first ensure that the nominees will be available to attend virtually all meetings on a regular basis.
- It must be ensured that the committee members represent a balanced cross-section of the academic spectrum.
- The committee will be chaired by a member of the Faculty Board or the Rectorate.
- The professors have the voting majority.
- The faculty must nominate a minimum of two professors that do not belong to the faculty.
- The committee must also contain an expert from outside the university. This must be someone with a relevant academic background, usually the holder of a doctorate degree, who is not a member of the University of Freiburg. Where possible, this external member should 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 comprise a minimum of two women with expert knowledge of the field and a proven academic profile. They could be professors from the faculty in question or from a different faculty or may be members of the non-professorial teaching staff. If necessary they may also be drawn from outside the University of Freiburg (external female experts). The female academics that sit on the committee as experts with voting rights may not simultaneously perform the duties of equal opportunities officer.
- The committee must contain at least one, but no more than two, representatives from the non-professorial teaching staff (pursuant to section 17 of the Albert Ludwig University Institutional Constitution). Faculties that only nominate one member of the non-professorial teaching staff will be asked to name a second deputy member from this group who shall take part in meetings but shall not have the right to vote, except in the event that

the first member leaves the committee and the deputy succeeds to his or her position with voting rights. The Rectorate must be informed of this. It shall not be necessary for the Rectorate to vote on this matter again. The committee must comprise at least one student. Faculties that only nominate one student member will be asked to name a second deputy member from this group who shall take part in meetings but shall not have the right to vote, except in the event that the first member leaves the committee and the deputy succeeds to his or her position with voting rights. The Rectorate must be informed of this. It shall not be necessary for the Rectorate to vote on this matter again.

- The equal opportunities officer or one of his or her three representatives, or alternatively the faculty's equal opportunities officer, shall take part in meetings in an advisory capacity.
- The Dean of Studies, or one of the Deans of Study, must participate in the Appointments or Selection Committee either in an advisory capacity or as a member. If, by way of exception, the intention is to deviate from this requirement, the reasons for this must be given to the Rectorate in the application. Irrespective of this, the Dean of Studies must be provided with copies of all documentation, invitations to interview and reports connected with the procedure.
- If the professorship involves duties to provide patient treatment at Freiburg's University Hospital, a member of the hospital's board of directors and an expert specified by him or her are entitled to take part in the meetings of the Appointments Committee in an advisory capacity.

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

- The previous holder of the professorship may not be a member of the committee and is not permitted to take part at its meetings. This also applies in the case of "advance" appointments procedures.
- Permanent guests are not permitted in appointments and selection committees.
- The representative of the non-professorial teaching staff should not be employed under the vacant professorship.
- The members of the Appointments or Selection Committee are obliged to disclose to the committee whether it is likely that any grounds for bias may exist. This must happen by the beginning of the Appointments or Selection Committee's first meeting at the latest. Causes for concern that **bias** may exist include:
  - family relations, personal relationships or conflicts
  - teacher-student relationship (or supervisor in the case of doctoral and professorial qualifications) unless the individuals have worked independently in academia for over six years
  - dependent employment relationship within the last three years

*Bias*

The chair of the Appointments or Selection Committee shall ensure that any committee members who may potentially be biased do not contribute to the assessment and decision processes concerning the relevant applicants in the first



meeting. In the event that applicants subject to bias are invited to give a public lecture at the university as part of the applications process (see below), the potentially biased committee member must leave the Appointments or Selection Committee. In this respect, both internal and external members of the committee may be replaced at any time throughout the procedure. The Rectorate will then name a replacement member as soon as possible on the recommendation of the Faculty Dean. It is also noted here that the relevant provisions of the Baden-Württemberg Administrative Procedures Act currently also apply with regard to bias.

4. In connection with the formation of the Appointments or Selection Committee, the Rectorate will decide which non-faculty committee member will be asked to assume the role of reporter to the Senate. The Senate reporter takes part in the meetings of the Appointments or Selection Committee and has voting rights. He or she shall inform the Rector, as the chairperson of the Rectorate and the Senate, in writing that the procedure has been duly conducted at faculty level. He or she must ensure that interdisciplinary perspectives are considered in the selection procedure and that the formal criteria of the appointments procedure are satisfied.

*Reporter to the Senate*

<b>Appointments or Selection Committee, standard composition</b>	
One chair	Member of the Faculty Board or the Rectorate  darunter mindestens zwei fachkundige Frauen mit ausgewiesenem wissenschaftlichem Profil
Two professors from other faculties at the University of Freiburg	
One or two representatives from the non-professorial teaching staff	
One external expert	
Five or six professors belonging to the faculty (including a Dean of Studies either with voting rights or in an advisory capacity)	
One student	
Equal opportunities officer	or one of the three deputies or faculty equal opportunities officers (participating in an advisory capacity)
In the case of professorships involving duties to provide patient treatment at Freiburg's University	a member of the hospital board of directors and an (advisory) expert specified by him or her.

**5. The text of the announcement** must correspond to the details previously provided in the structural questionnaire and must take into account the instructions given by the Structure and Development Committee or the Rectorate.

**In particular, the announcement must include the following information:**

- Job description and remuneration of the professorship
- In the case of entry-level professorships, it is mandatory to state that the professorship is a particularly suitable entry position for highly-qualified, early-stage researchers.
- Organisational assignment (faculty, institute, hospital or centre)
- Date the professorship is to be filled
- Research foci and teaching requirements
- Reference to the fact that the Albert Ludwig University of Freiburg is expressly committed to the objective of being a family-friendly university and women are explicitly encouraged to apply
- If necessary, reference to the fact that the professorship involves providing patient treatment and that appropriate qualification as a specialist physician will be a prerequisite for the post
- Reference to the special consideration given to applications from severely disabled people
- Application documents required
- Application deadline (usually six weeks)
- Address that the application should be sent to (usually the chair of the Appointments Committee)
- Reference, if applicable, to the intended status of the appointment as employment in the civil service with limited tenure, or as non-tenured employment.
- Reference to the tenure options for W1 professorships (restrictions, evaluatory requirements, transition options)
- All professorships must be advertised internationally.

**6.** Once decisions have been passed by the Rectorate (approval of position, job description, composition of Appointments or Selection Committee, announcement criteria and appointment of Senate reporter), the Rector will invite the faculty to advertise the position accordingly, conduct the selection procedure and submit a proposal for the appointment. The Rectorate expects a proposal for appointment within six months. Once six months have passed (from the submission deadline), the Rectorate will regularly enquire as to the status of proceedings. In the event that a job description has been modified or newly created, a decision from the Senate and the University Council, as well as approval from the MWK, must be obtained before the position may be announced. This will be arranged by the Rectorate. The faculty will be informed immediately as soon as approval from the MWK is obtained.

## II. Selection procedure, proposal for appointment, appointment

### General principles

The requirements of the vacant position alone shall be decisive when assessing suitability, capability and academic achievement. These can be taken from the job description, announcement text and selection criteria. The **selection criteria** and how they are weighted must be fixed and documented at the beginning of the selection procedure (first meeting of the Appointments or Selection Committee) in order to ensure the necessary transparency in all 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 proposal for the appointment can be clearly followed. They are to be included in the grounds given for the appointment proposal.

*Selection process*

In addition to advertising for extremely suitable candidates, it is expected that early-stage academics and colleagues in particular will be encouraged to apply. In this connection, **concrete proof of proactive searches** for suitable female candidates must be provided. Proactive searches must be documented. The Rectorate will give back any lists drawn up without documented proof of proactive searches for suitable female candidates. Relevant databases (AcademiaNet, FemConsult, femdat), for example, should be used to search proactively for suitable female candidates from Germany and abroad and approach them directly.

With respect to **publications, quality and originality** should be the deciding factors when making 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 Appointments or Selection Committee. The birth of children, parental leave and leave to look 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 advanced publications in order to take the burden off checking by the Appointments Committee and external experts. A complete bibliography must also be requested.

The Appointments or Selection Committee must ensure that, in addition to appropriate teaching experience, applicants above all have suitable **teaching capabilities**. A teaching concept (which must be provided) and proof of relevant training as well as the results of evaluation should be instructive in this. The Rectorate proposes that teaching capability should be ascertained by means of a **skills portfolio** (see Annexe). This should contain a representative portrayal of the applicant's teaching based on their own teaching biography and philosophy, central didactic principles, analysis of teaching evaluations and perspectives on teaching.

Where possible, the prerequisites for the **personal suitability** of candidates, such as willingness to collaborate academically, managerial qualities and academic integrity should be assessed and weighted appropriately.

The requirements of candidates' immediate private lives should not have a bearing on the decisions of the Appointments or Selection Committee. Questions of a personal nature should either be addressed to all or none of the candidates. If candidates have partners who also work, potential solutions for reconciling this work with the new position will actively be sought, together with the Rectorate and the Dual Career Service, as part of the appointment negotiations.

A formal prerequisite for appointment to a first W2 or W3 professorship is **proof of habilitation** (postdoctoral qualification for professorship) **or an equivalent qualification**.

Candidates who, to date, have not been appointed to a full professorship or an equivalent position, and/or cannot show proof of a habilitation thesis, may only be considered in the appointment procedure if they are able to demonstrate proof of qualifications which are equivalent to a habilitation thesis. The relevant Appointments or Selection Committee must decide upon such cases. In principle, 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 age of an applicant may not be used as a criterion in deciding whether or not that candidate is suitable for the appointment. Age is merely of consequence to the question regarding whether or not applicants can be appointed with or without permanent tenure. Binding information on this question is provided by the university personnel department.

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

### *Procedure*

1. The Appointments or Selection Committee convenes for the first time before or at the same time as the position is announced. In this first session, the procedure for proactive searches and ways to target suitable candidates are laid down.

2. The Office of the Dean or the chair of the Appointments or Selection Committee will draw up a list of **qualified applicants** once the application deadline has ended. A standardised **confirmation of submission**, including a web link with information on the status of the procedure and the names of relevant contacts in the Office of the Dean and the Department of Committees and Appointments, will be sent out directly upon receipt of each application. The list of qualified applicants will contain at least the following information: date of birth, date and result of PhD completion, date of habilitation, information on severe disabilities, current position. Where the relevant information is provided by candidates, details should be added of any childcare and other care commitments, and of any chronic illness.

3. Care must be taken to ensure that all members of the Appointments or Selection Committee have access to all the **documentation pertaining to each application**. In accordance with section 48(4) of the Federal State Higher Education Act (LHG) and the university's constitution, application documents may only be made available to those persons involved in the selection procedure. The consent of candidates is not required. Members of the committee should be made aware of their duty of confidentiality. Care must be taken to ensure compliance with data protection laws with regard to the sharing or storage of the documentation. In order to ensure that the process is conducted efficiently, it is suggested that, once the application deadline has passed, the Dean's Office draw up and send to the members of the Appointments or Selection Committee a summary list of all the applications received containing the personal details of candidates, relevant information about their research and teaching experience and a brief CV. As an alternative, candidates could be asked to provide an informative summary of their qualifications and experience. This would then be sent by e-mail to members of the Appointments or Selection Committee, who would also be advised that they can view the full set of application documents in the Dean's Office. After the meeting at which the shortlist of applications and the choice of experts have been determined, the full set of application documents provided by those candidates will be emailed in pdf format or sent in written form to the members of the committee and the designated experts.

4. If applications are received from candidates with **severe disabilities**, the chair of the Appointments or Selection Committee must immediately notify the Disability Officer. A disability officer must be invited to attend all meetings of the Appointments or Selection Committee in an advisory capacity. Any decision not to proceed further with applications from severely disabled candidates as part of the appointments or selection process (e.g. when inviting candidates to deliver an application lecture) must be taken in consultation with the Disability Officer. 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 views of the Disability Officer should be attached to the proposal (see below) when the latter is submitted to the Rectorate. Any failure to involve the Disability Officer constitutes a serious and irremediable breach of protocol in the appointments process. It is also a violation of the German Anti-Discrimination Act (Allgemeines Gleichbehandlungsgesetz/AGG) and can expose the university to a substantial claim for compensation.

5. Invitations to attend meetings of the Appointments or Selection Committee must be issued by the Chair of the committee in good time. Meetings of the Appointments or Selection Committee are not open to the public. All discussions should be regarded as confidential. Meetings should be conducted in accordance with the Rules of Procedure of the university ([www.zuv.uni-freiburg.de/service/verfahrensordnung](http://www.zuv.uni-freiburg.de/service/verfahrensordnung)).

6. Meetings of the Appointments or Selection Committee should generally be attended by all its voting members. At least half of the voting members must be present. A set of **minutes** should be kept of every meeting of the Appointments or Selection Committee. All processes and discussions relating to decisions must be documented, and all votes and the results of such votes must be recorded in the

minutes. A **record of attendance** must be kept for all members of the Appointments or Selection Committee at each of its meetings and at each candidate lecture. If members of the Appointments or Selection Committee are excluded from involvement in the evaluation of individual candidates 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 Appointments or Selection Committee. At the end of this meeting, the committee should produce a shortlist of candidates. If, on the basis of the candidate documentation available, it is still not possible to reach a decision as to **which candidates should be invited to the university**, it is recommended that the Appointments or Selection Committee designate which of its members should conduct a more thorough review of the applications and the publications of selected candidates. Before making any further selection, the members of the committee should report on those candidates whose applications they have reviewed in greater detail. A decision will then be taken on which candidates should be invited to deliver a lecture open to members of the university. As a general rule, no more than six candidates should be invited to deliver a lecture. Appropriate consideration should be given especially to female candidates.

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

9. Immediately following the lectures and the individual discussions with candidates, the Appointments 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 Appointments Committee will determine which external professors (full professor or equivalent) should be asked to provide a **comparative opinion report (at least 3)** on the remaining candidates. At least one of these should be a female expert. An explanation must be submitted to the Rectorate if this rule is not observed. The Committee must provide credible written evidence of its efforts to comply with the rule. The experts involved at this stage of the process should not be made aware of any provisional ranking by the committee of the candidates they have been asked to assess. The comparative opinion reports should be prepared by experts who are representative of the national or international orientation of the subject area in question.

10. The designated experts may not include persons who have mentored the candidates during the process of obtaining a doctorate or habilitation or who currently act as supervisor for any of the candidates. To exclude any potential bias, the members of this expert panel are subject to the same rules as those applying to the Appointments or Selection Committee (see I.3).

11. **Before** obtaining the **written opinions** of the designated external experts, the Appointments or Selection Committee must hold an individual meeting with each of the candidates in the final shortlist to clarify **whether their expectations of the available resources match the expectations and means available to the**

**University** as laid out in the structural questionnaire (entry-level professorship, professorship with managerial responsibilities or leading professorship) and in the job specifications when advertised. If substantial differences are likely in this respect, the Rector should be consulted to help ensure a positive outcome in the appointments procedure. Where appointments in the Faculty of Medicine involve managing a (clinical) department, the appointments process is often complemented by on-site visits. In such cases, a visit committee is formed from the members of the Appointments 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 Appointments or Selection Committee have a duty of confidentiality with respect to the expert opinions received. The chair of the Appointments or Selection Committee is responsible for ensuring that all 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 Appointments Committee will hold a further meeting at which members will have an opportunity for final deliberations before holding a secret written ballot to decide on their **proposal** for the professorship.

**14.** In the case of **W1** and **W2 professorships**, it is not necessary to obtain comparative external **opinion reports** providing that at least two outside experts (full professors or equivalent) have been involved in the meetings of the Selection Committee as voting members and submit a written statement of their own opinion. This rule does not apply in cases where tenure track options are being offered or a member of the university is named in the proposal (by way of exception to the prohibition on internal appointments).

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

*Proposal*

- The **proposal should contain three names**. In exceptional cases, the Appointments or Selection Committee may propose a list containing fewer or more candidates. In such cases, it must provide specific written grounds for doing so.
- The proposal should contain a **clear ranking** with no conditions applied to any of the candidates on the list
- Members of the University of Freiburg (for a definition see section 9(1) LHG) may only be considered in exceptional and justified cases and only if they switched university after receiving their doctorate or were engaged in academic or artistic activities for at least two years outside the University of Freiburg. Such cases are referred to as **internal appointments**.
- Junior professors at the University of Freiburg can only be considered if they switched university after receiving their doctorate or were engaged in academic or artistic activities for at least two years outside the University of Freiburg.

*Internal appointment*

Exceptions to the rules on the prohibition of internal appointments are only admissible (in addition to the above formal stipulations) if the internal candidate is clearly the leading contender in the proposal list (once the 'best' candidates

have been duly selected in accordance with proper procedure) and that person is ideally in possession of an external provisional offer of professorship made around the same time as the appointment procedure. The Appointments Committee must provide specific grounds (e.g. in relation to an established group development scheme such as 'clusters of excellence') to justify making individual exceptions to the prohibition on internal appointments.

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

- Comparative expert opinions should be obtained and submitted in respect of the single-candidate proposal, i.e. relative to the other candidates and with particular regard for the area of research.
- The external members of the Appointments Committee should provide a written statement of opinion.
- The outcome of the vote taken in the Appointments Committee should generally be unanimous.
- The Faculty Board should be notified in advance.
- The Rectorate should be notified in advance.
- A memorandum of understanding must be agreed with the selected candidate in respect of the resources to be made available and the conditions of employment.
- The Faculty must provide a statement outlining the strategic grounds in terms of research and teaching. Single-candidate proposals constitute special cases and are subject to close consultation at an early stage between the faculty and the Rectorate.

## **Adoption of the proposal**

**1.** After adoption of the proposal by the Appointments or Selection Committee, it is discussed and adopted by the Faculty Council and the Faculty Board (or by the University Hospital Board in cases where the professorship involves responsibilities in the treatment of patients).

**2.** The proposal is then submitted by the Faculty Board to the Rectorate.

The submission from the faculty should contain the following documentation:

- application by the faculty (including details of the resolutions adopted at meetings of the various faculty bodies and the results of voting) and where applicable a statement of opinion by the Faculty Council in respect of the proposal (faculty covering letter)
- a complete report from the Appointments or Selection Committee detailing the procedures followed (dates of meetings, votes and results, exclusions for reasons of potential bias), a list of the candidates in the proposal, an explanation of the grounds underlying the selection (including an assessment of any dissenting votes and other deviating opinions expressed by those involved in the process) and an account of the votes received from the external panel of experts
- any dissenting votes cast by individual members of the Appointments or Selection Committee



- a completed MWK form to obtain approval (items 1 to 4 and 12 to 15 are filled in by the Rectorate)
- documentary evidence of the committee's proactive search for suitable female candidates from Germany and abroad for inclusion in the list
- a comparative list of all the applications received, detailing which candidates were invited to deliver a lecture and which applications were rejected without a consensus in the initial selection process
- a summary of the candidates invited to deliver a lecture containing the basic details of those candidates
- a statement by the designated reporter to the Senate
- a report by the Equal Opportunities Officer
- a statement by the Dean of Studies assessing the teaching skills and experience of the candidates on the list
- expert opinion reports obtained by the Appointments Committee (in the case of W3 professorships and professorships with a tenure-track option there should be at least three external comparative opinion reports from university professors)
- completed application forms (can be downloaded from [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))
- curriculum vitae, certificates of doctorate and habilitation and addresses of the candidates included in the list
- also where required: certificate of specialist physician status (Facharzt)
- application papers of the candidates included in the list with details of their academic career, teaching skills portfolio, a list of papers and lectures and a list of research projects
- in cases where a candidate included in the list for a W2 or W3 professorship has not yet been awarded the habilitation: evidence of comparable academic performance

**3.** The proposal will be discussed first of all by the Rectorate and then at the next possible meeting of the Senate. Proposed appointments are entered into the agenda for the next Senate meeting providing the necessary documentation has been submitted to the Department of Committees and Appointments no later than three weeks before the date of that meeting. The Rectorate is entitled to reject the proposal and return it to the Appointments or Selection Committee with an explanation of its reasons for doing so (e.g. lack of documentary evidence of a proactive search for qualified female candidates). It will also decide whether there are grounds for not forwarding the proposal to the Senate. If this is not the case and the proposal is forwarded to the Senate, the Rectorate will usually adopt the proposal subject to the approval of the Senate.

*Rectorate and Senate*

**4.** The Senate will then discuss the proposal and express its own view. It is entitled to reject the proposal and return it to the Appointments Committee with an explanation of its reasons for doing so.

**5.** Neither the Senate nor the Rectorate may change the proposal.

6. Once the proposal has been adopted by the Rectorate, the **MWK** will be asked to **approve** the entire proposal list (for W2 and W3 professorships only). On receipt of a decree from the MWK approving the list, the Rector will issue a **provisional offer** (German 'Ruf') to the first-placed candidate. At the same time as the provisional offer is made, the selected candidate (in the case of a W3 professorship and providing the candidate is willing in principle to accept the provisional offer) will be asked to submit a **position paper** within four weeks outlining his/her views on how the professorship should be structured in terms of research and teaching and on the level of resources and remuneration commensurate with the position. Within the Faculty of Medicine, these negotiations are conducted directly with the Dean. The Office of the Dean will ask candidates to submit a key issues paper containing their views on the structure of the professorship. The Medical Dean's Office will prepare a key issues paper for the planned appointment (resources and remuneration allowances) and send it to the candidates.

7. The faculty will be notified when approval is granted by the MWK and the provisional offer is made to the successful candidate. It will then immediately notify all candidates not included in the proposal. Once the appointment process is complete (i.e. the successful candidate has accepted the provisional offer), the faculty will return all the application papers submitted by unsuccessful candidates. Those candidates included in the proposal list will be kept informed about the status of the appointment process by the Department of Committees and Appointments (or in the case of professorships in the Faculty of Medicine by the Medical Dean's Office).

### III. Negotiations (W3 professorships), Appointment

1. The content of the position paper is to be determined in consultation with the faculty. Once the paper has been received from the successful candidate (expected within four weeks of the provisional offer), an assessment will be made of the views of the successful candidate on the structure of the professorship in terms of teaching and research, resources and remuneration. In order to produce this assessment, a response will be sought from the relevant administrative bodies of the university, in particular the Finance, Personnel and Buildings departments, the University Computing Services Centre and the University Library. At the same time, the faculty will prepare a written statement outlining its own response to the requests made in the position paper and what faculty contribution it would approve in respect of staffing, one-off and ongoing funds, premises and other matters. Following receipt of the position paper and the preparation of a response by the faculty, the Secretary's Office to the Rector will arrange a **date for the negotiations**. As a general rule, the negotiations are held within the following four weeks. Within the Faculty of Medicine, the negotiations are led by either the Dean alone (in the case of pre-clinical professorships) or together with the Senior Medical Officer and the Commercial Director (in the case of professorships in clinical and clinical theory departments).

*Negotiations*

2. In addition to the successful candidate, the negotiations will involve the Rector, the Chancellor, the Dean and (if requested by the faculty) a representative of the corresponding institute, and representatives of the Personnel, Finance, Buildings and the Committees and Appointments departments. Negotiations on the resources to be made available are followed by negotiations on the level of remuneration. These involve the successful candidate, the Rector, the Chancellor, representatives of the Personnel and Finance departments and a representative of the Committees and Appointments department. Other persons may be involved at the request of the selected candidate.

The results of the negotiations are documented in a **formal record** which is then submitted to the faculty for approval before making a decision to issue a formal offer of employment (German 'Berufungsangebot').

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

**Any commitments made in respect of resources** for the professorship must be **limited** to a period of five years in accordance with section 48(5) LHG (cf. [www.uni-freiburg.de/go/ressourcenzuweisung](http://www.uni-freiburg.de/go/ressourcenzuweisung))

**Appointment allowances** related to the basic W-level salary as per section 38(1) of the Federal State Employees Salaries Act (LBesG) may be granted for a limited or unlimited period. In the case of allowances granted for a limited period, a decision should be taken in good time before expiry on whether to grant the allowance for a further period. The rules of procedure governing this matter can be found in the guidelines published by the Rectorate (cf. [www.uni-freiburg.de/go/ressourcenzuweisung](http://www.uni-freiburg.de/go/ressourcenzuweisung)).

3. Once the negotiations have been concluded, the **Rectorate** will take a decision on the matter at the next possible meeting. A **formal written offer** of employment is then sent to the selected candidate. The **deadline** for accepting the offer is six weeks. Details of the resources included in the offer are sent to the faculty. Within the Faculty of Medicine, the details of the research and teaching resources to be included in the offer are decided by the Faculty Board. Decisions on any additional allowances are taken by the Personnel Committee of the Faculty Board. The Dean's Office is responsible for drawing up the formal offer of employment from the Albert Ludwig University of Freiburg, which is then signed by the Rector and the Dean of the Faculty of Medicine. The selected candidate must accept the formal offer within six weeks.

4. If the provisional offer has not been accepted (following a reasonable extension period), a decision will be taken on its withdrawal.

5. Once the formal offer of employment has been accepted in writing, the Personnel Department (or the University Hospital Personnel department) will initiate the **appointment procedure**. This includes submitting a request to the MWK for an admission decree and official certificate and submitting the certificate of appointment with details of the salary to the Federal State Salaries and Benefits Office (LBV) (or, in the case of professorships without civil servant (Beamte) status, a transcript of the employment contract).

6. If the selected candidate rejects the offer or fails to indicate a decision within the stipulated deadline, after due consultation with the faculty the offer will generally be withdrawn 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 will be taken in consultation with the faculty on whether to re-advertise the post.

8. The faculty, the MWK and the central university administration departments involved in the process will be informed of the selected candidate's decision to accept or reject the offer. The candidates not shortlisted in the final proposal will be informed by the Committees and Appointments Department. The faculty will return their application papers.

Within the Faculty of Medicine, responsibility for providing the above information and returning the application papers lies with the Dean's Office.

## IV. Appointments to W2 and W1 professorships

### **W1 professorships**

### *W1 professorship*

The Rectorate is not **involved in negotiations** with selected candidates for W1 professorships. Candidates selected for W1 professorships are not expected to submit a position paper. It is the responsibility of the faculty to discuss their expectations and wishes with them, to find appropriate solutions and where required to make equipment and resources available. Relocation costs of up to EUR 1500 may be 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 (subject to the corresponding guidelines), to provide basic IT equipment and for any refurbishment work required (painting). The Rector will hold a meeting with candidates selected for W1 junior professorships when they are formally appointed (usually when the new professor receives the certificate of appointment). This meeting may also be attended by the Dean.

The Rector will hold a meeting with all new W2 professors **at the time of their appointment**. Prior to this meeting, agreement must be reached between the new professor and the faculty (Dean) on the resources to be made available by the faculty for the professorship in question. The faculty must adopt a clear position in this respect and provide the Rector with written details of the agreed resources 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 faculties themselves. A limited financial contribution may be 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 furnishing, refurbishment and a computer work station. Relocation costs may be available from central funds subject to evidence of expenditure in accordance with the statutory guidelines. It is also possible to negotiate limited help towards appointment allowances, 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 within a department.

## V. Retention negotiations procedure

If the Rectorate is informed of an offer of a professorship made by another university or research institute to a person currently holding a position at the University of Freiburg, the **Rector will decide in consultation with the Faculty Board whether to conduct retention negotiations**. If the faculty is in favour of retaining the selected candidate at the University of Freiburg, the Rector (or the Dean in the case of the Faculty of Medicine) will generally offer to conduct negotiations with that person.

As a prerequisite for the setting of a date for such negotiations, the selected candidate must produce a written submission before the meeting outlining the circumstances under which he/she would consider staying at the University of Freiburg. This should be accompanied by the written salary offer made by the recruiting institution detailing whether the remuneration offered covers an unlimited or limited period and which pension entitlement rules are to be applied.

The procedures laid out above under III, 1-3 should be applied *mutatis mutandis* to the preparation and conduct of contract renewal negotiations. As a general rule, the University of Freiburg will not enter into any **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 the appointment process

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

Composition of the Appointments Committee

If the external member of the Appointments Committee proposed by the faculty is female, the faculty will receive EUR 5000 for its own use<sup>2</sup>.

### **2. External and comparative opinion reports**

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

### **3. Invitations to deliver application lectures**

If women make up 50% of the shortlist of (usually no more than six) candidates invited to deliver an open lecture at the University, the faculty will receive EUR 5000 for its own use.

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<sup>2</sup> This sum is only granted if the external member attends all meetings of the Appointments Committee.

# The skills portfolio as an integral part of the appointments procedure for professors

The Albert Ludwig University of Freiburg imposes strict requirements on the quality of teaching, teaching 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 the purposes of assuring quality (personnel recruitment) and developing quality (tenure track, further training) in the field of university teaching. Teaching portfolios are now an integral part of appointments 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 suitability to teach**

Skills portfolios are useful tools in that they allow you to shape your portfolio in a highly personal manner, enabling the Appointments 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 appointments 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, didactic principles and personal reflections on teaching**

Part A 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. It is intended to clarify the basis on which you teach, the variety of courses you teach and why you teach the way you do. The following aspects are relevant to this:

- A.1 Your teaching philosophy including fundamental reflections on teaching and characteristics thereof (didactic principles, teaching objectives, understanding of students as learners and teaching methods).
- A.2 Your teaching biography (teaching experience, scope of teaching, requirements, type of courses taught, diversity of students and phases of study).
- A.3 Instruments you have used to further develop teaching quality (feedback procedures, dealing with and integrating findings into development of teaching).

## **Part B – Case studies from your teaching experience**

Based on 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, and elaborate on 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 the following obligatory practical examples to be included:

- B.1 Examples of teaching and learning materials which have been used in classes or for self-study.
- B.2 Examples of different forms of exams.
- B.3 Teaching evaluations of different teaching formats from the previous three years.
  - You may include further examples from your teaching experience in addition to these obligatory elements.

## **Part C – Teaching, further training and teaching awards**

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

- C.1 Courses taught
- C.2 Supervision of Bachelor's and Master's dissertations, PhD and habilitation theses
- C.3 Further training in higher education didactics
- 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 context is provided for your practical examples, your portfolio will be evaluated according to the following criteria:

- Links between research and teaching
- Focus on learners
- Skill orientation
- Use of (new) media
- Teaching and examination formats
- Supervision and advising
- Promotion of lifelong learning
- Development of teaching and curricula
- Professional understanding of self
- Teaching innovations

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



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