

# Appointment Guidelines

## General Information on Appointment Procedures at the Karlsruhe University of Arts and Design (as of August 2022)

*(Please note the German original text version is the legally binding one)*

### Foreword

Dear members of the university,

The quality of research and teaching at the Karlsruhe University of Arts and Design is inextricably linked to the artistic and academic performance and expertise of its professors. To attract outstanding professors, it is essential to ensure that appointment procedures are conducted with a focus on quality assurance. Flexibility, a sense of responsibility for the academic community, and strategic considerations must guide our actions.

The complexity and significance of appointment procedures for the future viability of the Karlsruhe University of Arts and Design make it imperative to have quality-assured processes that adhere to guidelines and recommendations. This guide is intended to support those involved in appointment procedures in their work. It also aims to strengthen the trustful collaboration of all participants, identify potential conflicts of interest from the outset, and ensure the transparency and legality of the process. Through respectful and appreciative behavior and courteous interaction throughout the selection process, all participants shape the appointment procedure. Their constructive cooperation demonstrates openness toward the prospective colleagues and a willingness to provide them with favorable starting conditions.

The Appointment Guidelines outline the mandatory procedures based on legal foundations. Additionally, they offer recommendations derived from established practices that have proven effective in ensuring the quality of appointment procedures.

The Karlsruhe University of Arts and Design strives to continuously update the procedural steps described in the appointment process. It is therefore recommended to consult the latest version available on the university's website under the "Downloads" section.

I wish you and us all great foresight and success in filling our professorships.

Thomas Fröhlich

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## **1 General Principles**

The following regulations apply to all professorships at the Karlsruhe University of Arts and Design (HfG) that are filled through an appointment procedure.

The appointment procedure is a personnel selection process subject to specific legal requirements. Unlike other selection procedures, it involves HfG committees that deliberate and make decisions in formal sessions.

Transparency and binding criteria are key aspects of ensuring the quality of the procedure, which simultaneously supports the HfG's equality objectives. The HfG strives to increase the proportion of female professors in disciplines where women remain underrepresented. In this context, the provisions of the Baden-Württemberg State Higher Education Act (LHG), the Act on Realizing Equal Opportunities for Women and Men in Public Service in Baden-Württemberg (ChancenG), and the HfG Equality Plan must be observed.

The HfG's Committee Regulations (GreO) must also be adhered to. Regarding appointments, the following provisions of § 46 ff. LHG are particularly relevant:

Personnel matters are handled confidentially in non-public sessions. However, discussing the academic qualifications of applicants in appointment matters is not considered a personnel matter.

Excerpts from personnel evaluations provided by external reviewers may only be cited in public sessions with the reviewer's consent. Members of committees involved in appointment procedures must be given access to all relevant documents. However, these documents cannot be distributed to committee members outside of official sessions.

Decisions on appointment proposals can, upon request, be made by secret ballot. Senate resolutions are always made concerning a complete appointment proposal, not individual candidates listed in the proposal.

The appointment process is electronically supported through the use of a document management system. The personnel department provides a dedicated section within the system for forwarding, exchanging, and storing electronic documents.

## **2 Involvement of the Equal Opportunity Officer and Representative for Severely Disabled Persons**

### **2.1 Equal Opportunity Officer**

The HfG's Equal Opportunity Officer monitors the implementation of the LHG and ChancenG regarding the prohibition of gender-based discrimination and supports the university administration in enforcing these laws. This includes participation in relevant measures, particularly in job postings, selection processes, and interviews. The officer is involved from the outset of appointment procedures, and their participation must be documented in the appointment report. The Equal Opportunity Officer may delegate specific procedural steps to an appointed representative. In case of doubt, the officer must be consulted immediately. If there are valid reasons for concerns of bias, the Equal Opportunity Officer must refrain from participating in the appointment process. Additional details can be found under Section 4 of these guidelines.

Further information on promoting women and observing equal treatment and equality aspects is provided in these general notes, particularly in Section 5.2.

### **2.2 Representative for Severely Disabled Persons**

If applications are received from severely disabled individuals or those with equivalent status, the Representative for Severely Disabled Persons must be involved without delay (see Section 5.2 for details on the obligation to invite such applicants as per § 82 Sentence 2 SGB IX). The appointment committee must

promptly establish contact with the representative. Additional information regarding applications from this group can be found in these general notes, particularly in Section 5.2.

### **3 Approval and Announcement of Professorships**

The definition of professorial positions and their alignment with the teaching and research priorities of the respective department are generally determined as part of HfG's five-year structural and development plan. When a professorship becomes vacant within this period, and its replacement and focus have already been established in the plan, the rectorate consults with the relevant department to decide whether the professorship will be advertised unchanged or with a modified denomination.

The rectorate reviews whether the denomination of the professorship should remain unchanged, be supplemented, or be revised (§ 46(3) LHG). If the denomination is unchanged, the position can be advertised. If changes are proposed, they must be submitted to the Senate for approval and subsequently presented to the chairperson of the University Council for acknowledgment. The chairperson decides whether the changes require further approval by the University Council or can be forwarded directly to the Ministry of Science, Research, and the Arts. If the denomination changes and is not already approved under the structural and development plan, the ministry determines the functional description based on the university's request.

The department submits a draft job announcement to the rectorate along with the following details:

- The academic focus of the professorship in teaching and research.
- Personnel and spatial resources allocated to the position.
- The expected investment framework associated with the appointment.
- The relevance of the position to gender equality and internationalization within the department, as well as evidence that qualified candidates are available in the field. This evidence should include a list of potentially suitable individuals, including highly qualified early-career researchers and professors at the national and international levels, categorized by gender. If no names can be provided, the department must justify this to the rectorate and outline efforts made to identify qualified female candidates nationally and internationally (§ 48 (3a) LHG).

The job posting is published nationally and usually internationally, in both German and English, once agreement is reached between the department and the rectorate. Alongside public announcements, the rectorate sends the job posting directly to individuals identified as potential candidates by the department. Additionally, the department is encouraged to personally contact suitable candidates within their academic networks. Active recruitment of women is particularly emphasized in fields where they are underrepresented. In legal terms, it is the German version of the job posting that is binding.

If the replacement or new establishment of a position is not included in the approved structural and development plan, separate approval must be requested from the rectorate. The request must include a concept for integrating the professorship into the department's overall profile in teaching and research and details on the personnel resources planned for the position.

### **4 Composition of the Hiring Committee**

To prepare the appointment proposal, the Rectorate forms a hiring committee in consultation with the department where the professorship is to be filled (§ 48 Paragraph 3 LHG, § 14 Paragraph 2 of the Statutes). The department has the right to propose members for the appointment committee.

#### **4.1 Appointment Committee**

The appointment committee is composed, pursuant to § 48 Paragraph 3 LHG, of at least the following voting members:

- A member of the Rectorate as the chair of the appointment committee (§ 48 Paragraph 3 Sentence 1 LHG, Clause 1).
- A majority of professors from the HfG (§ 48 Paragraph 3 Sentence 2, Clause 1 LHG).
- One external expert (§ 48 Paragraph 3 Sentence 2, Clause 2 LHG).
- The HfG Equal Opportunity Officer (§ 48 Paragraph 3 Sentence 2, Clause 2 LHG).
- One student (§ 48 Paragraph 3 Sentence 2, Clause 2 LHG).
- Two qualified women and two qualified men (§ 48 Paragraph 3 Sentence 3, Clause 1 LHG).

An expert in academic and university teaching methodologies may also participate in an advisory capacity (§ 48 Paragraph 3 Sentence 2, Clause 3 LHG). The committee should ideally have gender parity; groups with multiple representatives should include members of different genders (§ 48 Paragraph 3 Sentence 3, Clause 2 LHG). The Senate is informed of the composition of the appointment committee.

#### **4.2 Chairperson**

In accordance with § 48 Paragraph 3 Sentence 1, Clause 1 LHG, a member of the Rectorate chairs the appointment committee. The chairperson's vote is counted among those of the "other" members of the committee.

#### **4.3 Majority of Professors**

The composition of the hiring committee must ensure a majority of professors' votes. To maintain procedural integrity, the committee should generally include at least one professor beyond the required majority (see HfG Statutes). However, the physical majority presence of professors during meetings and votes is not necessary.

When determining whether the professoriate majority is achieved in a vote, the votes of the Equal Opportunity Officer and expert women (if they are professors) are included in the count. If a professor from the Rectorate serves as chairperson, their vote does not count towards the majority. However, a professor from the Rectorate can also serve as a "regular" member of the committee, in which case their vote is included in the professoriate majority.

The vote of the external expert counts towards the majority if the expert is a professor. Professorial substitutes, private lecturers, guest professors, and honorary professors do not have a professorial vote in the hiring committee.

#### **4.4 External Expert**

The external expert must be an academically qualified individual who is not affiliated with the HfG. It is recommended not to nominate someone who left the HfG less than one year ago to ensure an external perspective.

#### **4.5 Equal Opportunity Officer**

According to § 4 Paragraph 4 Sentence 1, Clause 1 LHG, the Equal Opportunity Officer is an ex officio member of the HfG appointment committees. Their participation ensures that equality requirements are upheld throughout the process, with access to application documents, attendance at committee meetings, standard statements on appointment proposals, and involvement in final discussions.

The Equal Opportunity Officer must be invited to all meetings. They may delegate their participation to a designated representative or another university member (§ 4 Paragraph 4 Sentence 1, Clause 2 LHG).

#### **4.6 Qualified Women and Men**

Any qualified female committee member may simultaneously act as a qualified woman, and any qualified male committee member may simultaneously act as a qualified man. However, this does not apply to the Equal Opportunity Officer or student members of the committee.

The Senate is informed of the committee's composition.

#### **4.7 Gender Parity and Conflict of Interest**

The HfG aims to achieve gender parity in the composition of the hiring committee. In fields where women are underrepresented, at least one female specialist and one additional woman should be included in the committee. If this is not possible, the department must provide a written justification to the Rectorate.

The rules of the German Research Foundation (DFG)<sup>1</sup> regarding conflict of interest apply. The committee is responsible for identifying potential conflicts and making case-by-case decisions to ensure an objective process. Members must proactively disclose any conflicts of interest for discussion. In specific cases, these disclosures may be addressed directly to the chairperson.

Circumstances that may indicate a conflict of interest include, but are not limited to:

- First-degree family relations, marriage, civil partnership, or equivalent relationships (other relationships or conflicts are evaluated on a case-by-case basis).
- Current or planned close academic collaborations within the last three years (e.g., joint publications).
- Hierarchical relationships or supervisory roles within the last six years (e.g., teacher-student relationships up to the postdoc phase).

If a potential conflict of interest arises from an application, the chairperson must investigate this using publicly available information (e.g., online sources).

Members with conflicts of interest may not participate in decisions regarding candidates for hearings. If such a candidate is not invited to a personal presentation, the member may rejoin the process, provided no replacement member has been appointed. This must be documented in the committee's report.

#### **4.8 Replacement of Committee Members**

If a member leaves the committee during the process and must be replaced, the Rector replaces the member in consultation with the department following the established procedure.

If a member is unable to attend a meeting, this affects the committee's ability to make decisions only if fewer than half of the voting members are present.

### **5 Receipt of Applications and Initial Preselection**

#### **5.1 Receipt of Applications**

Before being forwarded to the hiring committee, all applicants must receive an acknowledgment of their application from the HR department. Since the appointment process generally extends over a longer period, the Rectorate should also issue a follow-up notification to inform applicants of the expected timeline for a decision in the procedure.

#### **5.2 Review of Applications and Decisions on Invitations to Presentations or Requests for Publications**

The hiring committee must establish in advance which criteria (and their respective weighting, if applicable) will be decisive when reviewing applications and making initial selections. These criteria must be based on the requirements outlined in the job posting and the prerequisites for professorial appointments under § 47 LHG. They must be uniformly applied to all applicants. Key selection criteria must be explicitly stated in the job posting and cannot be added or applied retroactively. Additional criteria beyond those outlined in the job posting and legal requirements (e.g., compatibility, scope of influence, development potential) may be used to differentiate between otherwise equally qualified candidates. The principle of selecting the best-qualified

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<sup>1</sup> Vgl. Deutsche Forschungsgemeinschaft, „Hinweise zu Fragen der Befangenheit“, DFG-Vordruck 10.201, unter: [https://www.dfg.de/formulare/10\\_201/10\\_201\\_de.pdf](https://www.dfg.de/formulare/10_201/10_201_de.pdf) (abgerufen am 29.082022)

candidate is determined by the content of the job posting and must be documented in the appointment report.

Criteria such as the number and quality of publications, international research or exhibition projects, teaching experience, and other discipline-specific requirements must be applied in a way that enables a potential-oriented selection. This means evaluating academic or artistic achievements while considering the individual trajectory of the applicant's career.

Special circumstances that may have caused unavoidable delays in an applicant's career (e.g., pregnancy, childcare, caregiving responsibilities, disability, chronic illness, military or civil service) must be taken into account<sup>2</sup> and documented in the report.

It is particularly emphasized that under § 82 of the German Social Code (SGB IX), applicants with severe disabilities must be invited to interviews or trial lectures unless they are clearly unqualified. The Representative for Severely Disabled Persons must always be informed in such cases. If the requirements of the job posting are even partially met by a severely disabled applicant, an invitation is mandatory. Mere doubts about qualifications are insufficient grounds to deny an invitation.

If a severely disabled applicant is to be excluded from further consideration, this must be explicitly coordinated in advance with the Representative for Severely Disabled Persons. The absence of the representative at a meeting does not imply their agreement to exclude the applicant.

Any exclusion must be thoroughly justified in the appointment report, and the agreement of the Representative for Severely Disabled Persons must be documented.

Each committee member must document the reasons for their decision to either include or exclude each applicant from further consideration. A few sentences or bullet points are usually sufficient but must be specific (e.g., "no teaching experience" if a minimum of three years was required).

### **5.3 Internal Applications**

According to § 48 Paragraph 2 Sentences 4 and 6 LHG, junior professors and lecturers may only be considered in exceptional cases and if they have changed institutions after earning their doctorate or have worked in a scientific or artistic capacity outside the appointing institution for at least two years. Members of the appointing university may only be considered in justified exceptions and when they meet the requirements of § 48 Paragraph 2 Sentence 4 LHG, unless the constitutional principle of selecting the best-qualified candidate (§ 33 Paragraph 2 of the Basic Law) mandates their selection.

### **5.4 Trial Lectures / Hearings**

Applicants who are to be considered further after the initial pre-selection must be invited to be invited to trial lectures/hearings. These are usually held in public at the university.

The hiring committee determines the content and formal framework within which the mock lectures and hearings and informs the applicants of this in the invitation. This is documented in the appointment report.

In addition, applicants should be asked to provide the hiring committee with a concept paper in advance of their presentation, in particular on the planned focal points and teaching in the subject area; for theoretical subjects, a concept paper for the focal points in research must also be submitted.

In exceptional, and strictly limited cases – for example if it is not possible to appear in person, applicants may be given the opportunity to give a trial presentation via video conference. This must not result in any advantages or disadvantages in the selection process.

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<sup>2</sup> Vgl. Deutsche Forschungsgemeinschaft, „Chancengleichheit und Diversity“, unter: [https://www.dfg.de/foerderung/grundlagen\\_rahmenbedingungen/chancengleichheit/index.html](https://www.dfg.de/foerderung/grundlagen_rahmenbedingungen/chancengleichheit/index.html) (abgerufen am 06.09.2022)

In addition, the criteria for evaluating the lectures and presentations must be defined in advance by the hiring committee. This also applies to the questions that are to be asked uniformly for all applicants at the end of the presentation/lecture or in an additional interview. This must also be outlined in the appointment report.

After the presentations, lectures and interviews have been held, the hiring committee decides, based on the criteria defined in advance, which applicants are deemed worthy of assessment and presumably eligible for listing at this stage of the procedure and for whom expert opinions should be requested. The decision for each applicant who has undergone a trial lecture etc. must be presented in the appointment report. Please refer to the explanations under 5.2. At this stage of the procedure, it is recommended that a more detailed justification than that required under 5.2 is provided.

## **5.5 External Assessments**

External professional assessments are obtained for the shortlisted candidates. For this purpose, the Rectorate, at the suggestion of the Hiring Committee, requests external experts, preferably of different genders, with whom a deadline for the submission of the external report is agreed. At least one of the reviewers should be a woman. If this cannot be adhered to in an appointment procedure, a separate justification is required in the appointment report. In particular, the Equal Opportunities Officer or the representative appointed by her must be informed in such cases.

When selecting reviewers, care must be taken to ensure that they are as free as possible from personal ties to the applicants. The DFG's rules on bias must be observed in particular (see point 4). If there are any indications of suspected bias, the Rectorate must be contacted at an early stage, also in order to prevent possible procedural errors or to be able to rectify these in due time.

The reviewers must be sent the text of the call for applications, copies of the CVs, lists of courses and publications, exhibition lists, etc. as well as a list of the selection criteria defined by the appointment committee with the request to prepare a comparative review to be drawn up. The external report should contain statements on qualifications and explicitly on eligibility for listing. Persons should only be explicitly included in a ranking if they are considered eligible for listing or appointment. Publications and artistic creative work should be assessed according to their scientific or subject-related significance, topicality and publication medium (e.g. internationally renowned journals, museums, galleries, etc.). In the case of publications and exhibitions with several authors, only the applicant's contribution should be included in the assessment. Each reviewer must be asked to rank the reviewers on this basis. It is not permitted to inform the reviewers of the hiring committee's assessment of a possible ranking. The reviewers must be explicitly instructed to observe the criteria for potential-oriented selection (see point 5.2).

The reviewers must express any concerns about bias. Reviewers and applicants should not be working at the same university at the time of the review.

## **5.6 Decision on Appointment List Placement**

After receiving the external reports, the hiring committee draws up a ranking from the group of applicants. The comparative reviews provide a decision-making aid for the hiring committee. However, a mere reference to the external reports and the placements proposed therein is not sufficient, even if the hiring committee wishes to follow the recommendations of the external reports. In the appointment report to be drawn up, the opinion within the committee and the substantive discussion of the external reports as well as the arguments in favor of or against an applicant must be made clear and also comprehensible to outsiders.

It is possible to deviate from the comparative expert assessments obtained; this must be clearly justified. If the hiring committee wishes to place applicants on the list who are not eligible for the list according to one or more external reports, this always requires specific and detailed justification. This also applies to cases in which applicants are not to be placed on the list although the external assessments confirm their eligibility for



the list and they have been included in the proposed list. Obtaining further external professional assessments is permissible and may be particularly advisable if the expert opinions contradict each other or have little content, e.g. are very short.

The appointment report must also contain information on the targeted approach to women in the advertisement text, the publication media of the advertisement and the measures taken to actively recruit primarily female applicants while providing information on the general applicant situation.

#### **5.7 Hiring Committee Decision**

The committee votes on the appointment proposal, typically listing three ranked candidates. The vote (showing the breakdown of yes, no, and abstentions) is recorded in the appointment report, which is finalized by the chairperson.

### **6 Completion of the Appointment Process**

Once the appointment proposal has been received, the Rector decides on its submission to the Senate. In accordance with the HfG's Basic Regulations, the appointment proposal requires the approval of the Senate by a majority of those present. It thus adopts an appointment list. According to § 10 Abs. 4 LHG, the decision must be made by secret ballot.

The draft resolution for the Senate shall include a statement by the Chair of the Hiring Committee on the proper advertisement including the description of the scope of duties of the position (Section 48 (1) LHG) and the applications received.

If all three places on the list are not awarded, the reasons for rejecting the applicants who were not considered must also be explained and the consistency of the information in the advertisement text with the academic or artistic orientation of the applicants considered must be presented.

If the appointment proposal is rejected by the Senate, a joint meeting of the hiring committee and the Senate will take place in order to reach a consensual appointment proposal. If no agreement is reached, the professorship must be re-advertised. (Section 14 (6) of the HfG Basic Regulations).

### **7 Submission to the Ministry**

The Rectorate prepares an application with the appointment proposal and the procedure description and submits this to the Ministry of Science with a request for approval. This regulation is intended to strengthen the autonomy of the university, but at the same time take into account the legal position of the Minister as the superior of the professors

### **8 Issuance of the Appointment Offer**

Once the Ministry of Science has given its approval, the Rector issues the appointment to the first-placed candidate. In the letter of appointment, the appointee is asked to prepare a concept for the appointment interview, in which the content-related ideas for the development of the subject area in teaching, research/artistic development, promotion of young scientists/artists and in knowledge transfer as well as the necessary personnel, equipment and spatial requirements are to be set out. The Rector will inform the listed applicants about the further course of the procedure. The call addressee will be given a deadline by which the university will be bound to award the professorship. Once the concept has been submitted, the appointment interview will be held between the appointee and the Rector to discuss the subject area and personal references. Following the appointment interview, a decision is made by the Rectorate on the outcome, on the basis of which the person to be appointed is sent an agreement on the equipment of the department and a salary offer. Once

the appointment has been accepted, the Rector appoints or hires the candidate. The Rector issues letters of rejection for the applicants subsequently placed on the appointment list. The rejection letters for applicants not placed on the list are sent by the Human Resources Department. The Senate and University Council will be informed of the rejection at their next meeting.

If the call recipient does not accept the call or lets this deadline pass, the next ranked candidate will be appointed. If no appointment and nomination is made in this way, the procedure must be formally closed and a new procedure with a public advertisement must be initiated.

The Rector may deviate from the appointment proposal in justified cases (Section 48 (2) LHG). The Rector must inform the Senate of this decision in a Senate meeting before submitting the list to the Ministry. In this case, the Ministry's prior consent must be obtained for the appointment, stating the relevant reasons.

The appointment of persons who have not applied is permissible in accordance with 48 para. 2 sentence 7 LHG.