



UNIVERSITÄT ZU LÜBECK

Guidance for open, transparent and merit-based recruitment



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Preamble

In February 2019, the University of Lübeck (UzL) fully endorsed the principles of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers (Charter & Code). In terms of implementing the principles defined therein, the Executive Board has decided on systematic reflection and critical analysis of the existing conditions and processes as part of the implementation of the "Human Resources Strategy for Researchers" (HRS4R). One focus of the HRS4R implementation process is the creation of open, transparent and merit-based selection and recruitment practices (OTM-R), which are intended to ensure a high qualitative standard and equal opportunities. It is ensured for all applicants regardless of age, gender, ethnic origin, religion or belief, disability or sexual identity and is guaranteed by the involvement of the staff representatives, the equal opportunities officers and the representatives of the severely disabled in all procedures. This guidance outlines the recruitment and selection processes established at UzL and provides applicants with information on quality standards, job vacancies, selection procedures and development possibilities.

Announcement and application phase

In principle, all positions must be advertised publicly. If there is a deviation from this procedure, it has to be explicitly justified. First of all, the recruiting institute prepares a requirements profile in which the specific tasks, requirements and general conditions are described in detail. The requirements profile includes by default:

- Job title
- Name and description of the recruiting institute
- Scope of work (full-time/part-time)
- Classification according to TV-L or remuneration according to SH BesG
- If applicable, time limitation and extension option
- Job profile
- If applicable, qualification objectives (doctorate, habilitation, etc.)
- Required qualification profile
- Desirable additional qualifications
- Information on diversity, equality and severe disabilities
- Contact person for content-related questions
- Information on submitting the application (application deadline, form of application documents, transmission, addressee)

In order to keep the effort for applicants as low as possible, application documents can be submitted electronically. The application documents will be treated in accordance with data protection regulations. The acquisition and further processing of the application data is exclusively for the specific purpose of filling the vacancy. Application data is deleted automatically six months after completion of the application process.

Job announcements for academic positions are written in German and, if appropriate, in English and published by the Human Resources Department on the UzL website and in suitable online media (stepstone, ZEIT, etc.), taking into account the available budgetary resources. Furthermore, the hiring institutes use corresponding professional networks and journals to promote the announced position. Suitable offers are published by the institutes via the UzL's central access in the EU's EURAXESS portal. The respective access data can be requested from the department for EU research management. All applicants receive a confirmation of submission and are informed in time about their current application status and the further procedure during the application process. After evaluation of the applications received, a first pre-selection of the applicants is made who will be invited to an interview. The invitation is given timely before the interview in order to ensure sufficient time for preparation. Reasons for not considering applications are to be documented.

Selection phase

In general, the responsibility for selection procedures for academic positions lies with the professional or disciplinary superior in whose institute the position is located. If a position is financed by third-party funds (e.g. DFG, BMBF, EU), the guidelines of the third-party funders must be taken into consideration. The selection phase is divided into pre-selection on the basis of application documents and the conduction of selection interviews. The evaluation of applicants in the pre-selection as well as in the selection interviews should be based on pre-defined eligibility and merit criteria. All selection interviews are to be adequately structured before they begin. It is recommended to use a catalogue of questions, which should be created specifically for the offered position. A general criteria catalogue for personnel selection and questionnaires for selection interviews are currently being developed (see HRS4R Action Plan, Action No. 12) and will be provided to support the recruiting institutes. Selection interviews are usually carried out in face-to-face meetings on site, but may also take place in video conferences if necessary. The results gathered in selection interviews are documented. Following the selection interviews, the recruiting institutes take the selection decision and initiate the recruitment via the Human Resources Department.

After the decision has been made, the remaining applicants will be informed in time about not being considered in the selection procedure. On request, verbal feedback is possible via the Human Resources Department. Applicants are given the opportunity to submit a complaint via the personnel councils.

Recruitment phase

The Human Resources Department contacts the person to be engaged and is the unit responsible for drafting contracts and key issues of the employment relationship (e.g. holiday entitlement, work time).

Appointment procedures for professors

In the European Framework for Research Careers of the EU Commission, professors are classified as Leading Researchers (R4) who have successfully participated in an appointment procedure. Structured procedures for their appointment are regulated in the guideline for the implementation of appointment procedures at the University of Lübeck according to § 22 paragraph 2 sentence 1 in conjunction with § 5 paragraph 1 sentence 1 of the Higher Education Act (HSG). Vacant professorships are published via national and international medias, as a rule in German and English. The text of the announcement indicates the academic focus of the vacant professorship, the starting date and duration of the appointment, the responsibilities to be fulfilled in teaching, research and other fields of activity, and the recruitment requirements that applicants have to meet. Depending on the specific requirement, expected leadership qualifications are also outlined. As part of the selection process, an appointment commission decides on the basis of eligibility and merit which applicants will be invited to individual interviews and sample lectures. Different career paths are generally taken into consideration and will be appreciated. Leadership and social competencies are also measured in appointment procedures. This is carried out via external assessment centres for appointments involving the direction of large clinical divisions, as well as via an internally developed instrument for all other appointments.¹ A standard questionnaire is used to ensure equal opportunities in individual interviews during the appointment procedure. The results are to be documented. The appointment commission decides on the most suitable applicants, who are thereafter rated comparatively by external, partly international reviewers, who are themselves experts in the respective field, with regard to their scientific merit and eligibility. On the basis of these assessments, the didactic qualifications and other parameters, the appointment commission draws up a list of applicants who will be offered the vacant position (in the determined order). The respective Senate committee (SAM/SA-MINT) and the Senate then discuss the list of candidates. The call is finally made by the President. In general, the appointment commission consists of professors, research associates and student representatives, who have equal voting rights. It is aimed to ensure gender balance in the composition of the commission. The equal opportunities officer and, if necessary, the representative of the severely disabled are included as advisory members.

Conclusion

To optimize application management and to simplify the application procedure, UzL intends to introduce a human resources management system. In addition, the availability of the UzL website in English will be continuously improved. In perspective, a comprehensive appointment portal will provide information on ongoing appointment procedures in the sections of STEM and Medicine in an easily accessible and bundled form.

¹ Furthermore, leadership and social competencies are also systematically measured in evaluation proceedings of fixed-term professorships by means of a specially developed evaluation grid.

Guidelines, documents and responsible entities on OTM-R aspects

1. Ethical and Professional Aspects
 - Committee for Good Scientific Practice
 - Ethical Innovation Hub
 - Ethics committee
 - Good Scientific Practice Counsellors
 - Guideline for third-party funding
 - Guideline on the principles for ensuring good scientific practice
 - Open Access Policy
 - Property rights strategy
 - Research data management
 - Research information system (RIS)
 - Research portal
2. Recruitment and Selection
 - Appointment Guideline
 - Evaluation Statutes
 - Gender Equality Plan (GEP)
3. Working Conditions and Social Security
 - Agreement on alternating home office
 - Agreement on variable working time
 - Data protection agreement
 - Data protection declaration
 - Equal Opportunities & Family
 - Fixed-Term Employment Guideline
 - Human Resources Department
 - Inclusion agreement
 - Job offers
 - Job postings section of Medicine
 - Job postings section of STEM
 - New Employees Welcome (NEW)
 - Personnel Council for Technology and Administration
 - Scientific Personnel Council
 - Scientific Personnel Council UKSH
4. Training and Development
 - Center for Doctoral Studies Lübeck (CDSL)
 - Funding Programme Medicine
 - Internal center for further education
 - Karrierewege Lübeck - Code of Conduct for Good Employment Conditions
 - Mentoring programm com.ment IV
5. General
 - Structure and development plan