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Guidelines on Selection Procedures in Professorial Appointments

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1 Basis

Professorial appointments are one of the most important human resources policy instruments at higher education institutions. They are of strategic and political significance – both for a university as an institution and on the national and European level. In the scope of its professorial appointment procedures, the University of Zurich recruits outstanding academics and offers them first-rate conditions.

Quality assurance in professorial appointment procedures is a major area of reform in both Swiss and European academic policy-making. These guidelines on selection procedures in professorial appointments set out principles and criteria in the interest of securing open, transparent, and performance-based appointment procedures. They also provide the framework for faculty regulations and promote a coordinated, university-wide practice in appointment procedures at the University of Zurich. The guidelines serve to secure uniform criteria and establish consistent standards for good practice in the individual steps of the procedures:

- Composition of the professorial appointment committee
- Professorial job posting
- Proactive search
- Selection criteria and assessment of merit
- Selection procedure

The guidelines apply to appointments to professorial chairs and assistant professorships. Enclosed are various fact sheets to support work in the appointment committee; the appendix summarizes the legal foundations as well as guidelines of the Executive Board of the University.

1.1 General Principles

Transparency

The professorial appointment committee maintains a respectful correspondence with the candidates. The committee is responsible for informing candidates regularly and promptly about the receipt of their application materials, the status of the appointment process, and the individual status of their application. Selection criteria must be determined before applications are accepted and must be applied consistently in assessing merit throughout the appointment procedure. At the committee meetings, minutes must be taken to document decision-relevant procedures and discussions, opinion-making processes, voting, and results. Transparency also includes disclosing potential bias and conflicts of interest between members of the professorial appointment committee, the candidates, and the experts (cf. Guidelines on Recusal).

Confidentiality

The work of the professorial appointment committee is subject to duties of confidentiality and secrecy. The members of the professorial appointment committee must treat all information about candidates and the status of the procedures confidentially.

Objectivity

The members of the professorial appointment committee endeavor to attain the highest level of objectivity possible in order to conduct their business on the basis of a non-biased consideration of all relevant factors.

Equal opportunity and diversity

Members of the University of Zurich work decisively and creatively to ensure that men and women have equal rights and equal opportunity to develop their potential. In all interactions, the UZH community shows respect, appreciation, and open-mindedness – irrespective of age, gender, gender identity, heritage, impairment of any kind, language, religion, sexual orientation, social background, or professional position. The basic principles of the University's position are laid out in the Gender Policy Code of Conduct and Diversity Policy.

The current situation and goals regarding gender equality at the academic unit concerned must be defined already in the Statement on Professorial Position (Strukturbericht), as set out in the guidelines by the Executive Board of the University, which are based on the Gender Policy Code of Conduct (cf. 3.2 Legal Foundations). The University of Zurich aims to achieve a balanced representation of the genders across all university positions and bodies. In the case of equal qualifications for a position, preference is in principle given to the candidate of the underrepresented gender, as the case applies.

1.2 Bias and Duty to Recuse

The duty to recuse oneself from professorial appointment procedures is regulated by § 5a of the law on administrative procedures and jurisdiction (Verwaltungsrechtspflegegesetz, VRG), dated 24 May 1959, which states:

¹Persons who are to make an appointment, or who are to participate in or prepare the appointment, must recuse themselves if they appear to have personal bias in the matter, in particular:

- a. if they have a personal interest in the matter;
- b. if they are directly or indirectly related to a party up to the third degree by blood, marriage, betrothal, registered partnership, cohabitation, or adoption;
- c. if they represent a party or were active in the same matter for a party.

²If a recusal is disputed, the supervisory authority decides on the recusal; if the recusal of a member in a collegial authority is at issue, this authority decides in the absence of the member in question.

The Guidelines on Recusal in Professorial Appointments and Promotions (Guidelines on Recusal, cf. 3.2 Legal Foundations) must be sent to all members of the appointment committee before the first meeting. The guidelines aim to facilitate consistent practice concerning recusal in professorial appointment procedures. They do not exempt the responsible governing bodies of the faculties from assessing the question of a recusal in all cases on the basis of § 5a VRG. When applying this provision, it is important to consider that the duty to recuse was created to uphold principles of fairness, equal opportunity, and transparency in appointment procedures. The formulation “appear to have personal bias” does not refer to bias in the sense of an individual's personal feelings on a matter, but rather to whether a third party could interpret objective conditions as creating the appearance of bias.

Following the first assessment of applications, all possible bias and conflicts of interest must be communicated to the chairperson and noted as an agenda item in the first committee meeting. All related reviews and decisions are to be documented in the meeting minutes. Procedures to select external experts must be conducted with the same transparency, and potential bias and conflict of interest must be declared and documented.

2 Selection Procedure

2.1 Composition of the Professorial Appointment Committee

The faculty concerned establishes a committee, which is responsible for submitting the appointment recommendation to the Executive Board of the University. The Faculty Assembly nominates the members of the professorial appointment committee based on recommendations from the disciplines as well as the bodies represented in the Executive Board.

The University of Zurich is committed to fostering equal opportunity for women and men in actual practice and therefore endeavors to achieve balanced representation of the genders across all university positions and bodies. **Each gender must make up at least one third** of the members of a professorial appointment committee. Reasons for non-compliance with this rule must be detailed in the appointment recommendation. To ensure equal representation in committees, women professors may be required to assume a disproportionately high workload; in such cases, it is recommended that the faculties provide for such cases with compensation and other measures.

The **committee chairperson** should have experience in appointment procedures in the interest of securing consistency of knowledge and experience, thus ensuring smooth processes and good leadership in the committee. The Executive Board of the University recommends the faculties that the professorial appointment committee be headed by the Dean of the faculty concerned or by a member of the Faculty Council.

Upon application by the responsible Faculty Council, the Executive Board of the University establishes a professorial appointment committee. **At least two external experts** are members of the committee. Due to their proximity to UZH, professors at ETH Zurich are not considered external experts in the sense of this rule.

The regulations of the faculties define the standard composition of professorial appointment committees, which can differ depending on the faculty. It is important to ensure there is a balanced representation of disciplines among the committee members.

Members of the professorial appointment committee are obliged to disclose possible bias and conflicts of interest. Should existing conditions raise the appearance of bias, the person in question must withdraw from the committee.

The representatives of the teaching and research assistants and of the students must not be an employee at the professorial chair of a committee member; this also applies to employment at the vacant professorship for which the appointment is sought.

When selecting members of the professorial appointment committee, it is important to ensure that they can remain in the committee for the entire process. If a member leaves the committee or is at times unable to participate, the dean of the faculty concerned must apply to the Executive Board of the University for the selection of a replacement.

2.2 Job Posting

As a rule, public job advertisements must be issued for appointments to professorial chairs and for assistant professorships. Persons who have not submitted an application may be invited to take part in the appointment procedure.

The **text of the job posting** is based on the Statement on Professorial Position (Strukturbericht); it clarifies the professional duties and requirements of the position, and must not be tailored to a specific person. If the job description is too specific, it may prevent the best-qualified person from applying. It is therefore important that the professional duties and responsibilities are described in sufficiently broad terms, but nevertheless as concisely as possible. In the job posting, women may be explicitly invited to apply if there is an underrepresentation of women in the discipline concerned. In addition, the job posting may state that the University of Zurich fosters equal opportunity, the compatibility of family and career, and dual career couples.

The job posting should be published in a broad range of media. In addition to traditional media (NZZ, Die Zeit) and the UZH jobs portal, it should also be sent to relevant scholarly publications as well as academic societies, journals, or associations. To best reach a broad international audience, the job posting should also appear in international media, and in English (e.g. EURAXESS).

The job posting must contain the following information (below). In addition, it may also provide internet links to additional information (e.g. detailed job requirements, dual career services):

- Organizational unit (faculty, institute / department / clinic)
- Job title
- Starting date; possibility of part-time professorship, if relevant (cf. 3.2 Legal Foundations and Appendix 1)
- Specification of requirements (priorities in research and teaching, demands and weighting of teaching duties)
- Required application materials
- Application deadline
- Note on equal opportunity, compatibility of family and career, dual careers
- Address and contact details

When writing the job posting, it is important to use **gender-neutral language**. The University of Zurich community is required to observe the guideline on gender-neutral texts and images by the Office for Gender Equality (Geschlechtergerecht in Text und Bild). Tools such as “Gender Decoder” can be used to control English-language job postings for gender stereotyping.

Certain audiences can be addressed through the use of a specific proactive language in the job postings. In addition, statements on diversity present a strong message to the outside world, as this practice allows the University of Zurich to communicate the significance it attaches to equal opportunity. The following standard sentences are recommended for use in the job posting:

Die Universität Zürich strebt eine Erhöhung des Frauenanteils in Forschung und Lehre an und bittet deshalb qualifizierte Wissenschaftlerinnen ausdrücklich um ihre Bewerbung.

The University of Zurich is an equal opportunities employer and in particular strives to increase the percentage of women in leading positions. Therefore, qualified female researchers are encouraged to apply.

Dual careers

In the context of the global mobility of highly qualified and internationally renowned academics, it is not only the professional setting that influences the decision to take on a position: the possibility that a partner or spouse can develop his or her career can be a major factor in choosing to work at UZH. As of August 2016, the University of Zurich has been a member in the network International Dual Career Network, IDCN. During the appointment negotiations, a viable solution will be actively sought for candidates whose partners are employed. The Professorships Department provides further information.

Part-time professorships

The University of Zurich promotes modern employment models. As an innovative employer, UZH supports professors who wish to work part time and is continually developing corresponding formats (e.g. job-sharing models). Such measures contribute to upholding the Gender Policy Code of Conduct (cf. 3.2 Legal Foundations). The option of a part-time professorship or other flexible leadership models must be considered when the faculties draft their professorial chair planning, which is based on the overall strategy of each faculty (Strategic Goals 2020). In the case of new appointments, professorial positions with a part-time option may be advertised and filled. Templates for the commission responsible for statements on professorial positions (Strukturkommission) and for the professorial appointment committee provide support in implementing these models (cf. 3.4 Enclosures). Part-time positions in assistant professorships should only be implemented with restraint.

The field of candidates as well as the professorial appointment committee benefit from clear agreements on the required **application materials**, which are structured as follows:

- Curriculum vitae
- List of publications
- Scholarly projects, acquisition of third-party funds
- Supervision of Bachelor's and Master's theses
- Stays abroad
- Honors, awards, and grants
- List of courses taught; teaching statement and portfolio, if available
- Continuing education in university-level teaching
- Evaluations of teaching performance
- Experience as an external expert
- Participation in academic self-administration and in scholarly associations
- In the case of an option for a part-time professorship or similar: an implementation strategy is submitted by the applicant

Neither a photo nor information on the candidate's civil status is requested, as such information leads to forming unconscious inferences and opinions about the applicant.

All candidates receive a standard e-mail confirming receipt of their applications. They are also given additional information about the appointment procedure, the next steps, and the schedule.

2.3 Proactive Search

In addition to the text of the job posting, highly qualified women academics are encouraged to apply. The gender-neutral recruitment of staff in the form of a proactive search and direct address of women academics during professorial appointment procedures is a measure to combat the underrepresentation of women among professors. To determine whether enough women have applied for an open position, it is useful to consider the percentage of women holding a doctorate in the discipline concerned. Another reference is the so-called cascade model, according to which the goals for the percentage of women at each level of an academic career are based on the percentage of women at the level directly below. Already at the early stages of planning the position, it is recommended that the committee identify qualified female candidates who are potential nominees for the professorship.

The members of the professorial appointment committee formalize measures for the proactive search, specifically, the professorial appointment committee decides who is responsible and how female candidates should be addressed and invited to apply. Contacting the candidates on behalf of the professorial appointment committee is the responsibility of the chairperson. In addition, all activities in the proactive search must be fully communicated and documented in the committee (e.g. in the meeting minutes).

The following steps have proven successful in proactive searches:

- Determining potential women candidates in discussion with members of the appointment committee
- Seeking and inquiring into experts in the discipline concerned
- Placing inquiries at academic associations
- Researching relevant (inter-)national databases (e.g. AcademiaNet, FemConsult)

In principle, only those women academics should be addressed who have the potential to advance to the second round of the appointment procedure. It is, however, important to ensure that directly addressing a candidate cannot be interpreted as an indication of a possible nomination.

2.4 Selection Criteria and Assessment of Merit

Candidates are selected on the basis of their academic qualifications in research and teaching, their social competence, and their leadership qualities.

The **selection criteria** are decided at the start of the selection procedure; they are documented in writing to guarantee the requisite transparency and systematic decision-making in professorial appointment procedures. Before applications are reviewed, each professorial appointment committee sets out detailed evaluation criteria as well as the **relative weighting**, which must remain constant and serve as the basis throughout the appointment procedure. The criteria are based on the Statement on Professorial Position (Strukturbericht) and the job posting.

Depending on the job description, and with due consideration given to the evaluation standards common in a given discipline, the following interdisciplinary criteria serve as a reference for the evaluation of a candidate's merit:

- Research achievements (quality, quantity, and innovation of publications as well as honors and offers of professorships)
- Teaching skills and experience in supervising students
- Interdisciplinary aspects and compatibility with research profiles of UZH
- Internationalism, international visibility
- Ability to acquire third-party funds
- Innovation potential in research and teaching
- Social competence and leadership skills
- Transfer of knowledge and experience in outreach
- Experience in academic self-administration

Priority is given to the evaluation of past achievements and the assessment of a candidate's potential for success in the professorship. Depending on the career level, expectations regarding a candidate's achievements must be adjusted when applying these criteria.

Clear reasons for all evaluations must be given and documented in the committee minutes. In place of a general, global assessment of the candidates' merit, individual criteria for each candidate must be considered. The committee can use the assessment rubric for this **criteria-based evaluation** during the selection procedure as a template (cf. 3.4 Appendix).

The academic qualification providing the basis for the selection criteria must be described in sufficiently open and broad terms. The basis for proceeding is the **San Francisco Declaration on Research Assessment, DORA**, which was signed by the University of Zurich and contains the following general recommendation:

Do not use journal-based metrics, such as Journal Impact Factors, as a surrogate measure of the quality of individual research articles, to assess an individual scientist's contributions, or in hiring, promotion, or funding decisions.

In signing the DORA Declaration, the University has decided on a nuanced approach to interpreting the **impact factor** – which places a one-sided focus on publications in journals – when evaluating a candidate's merit. “The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered. This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities.”

The number of publications must be considered in relation to a candidate's academic career path. Key factors include the academic career level (“academic age”) as well as the candidate's life trajectory (e.g. previous part-time positions, parental leave, caring for family members); these aspects must be given due consideration and must not have a negative influence when assessing a candidate's merit. Instead of the biological age of the candidate, it is important to consider the **academic age**, which is

the time dedicated to productive scholarly work minus time spent caring for children or for others. Previous full-time or part-time positions are considered proportionally: After calculating how many “full-time years” an individual has been active in academia, it is possible to make a fair comparison of candidates.

Example: 10 years in a 50% position since earning PhD = 5 years in a full-time position

The professorial appointment committee must ensure that candidates on the shortlist have **teaching experience and teaching skills**. A candidate’s ability and qualifications to teach can be determined and assessed by considering various indicators:

- List of courses taught
- Teaching statement, teaching portfolio
- Certificates for continuing education courses on university-level teaching
- Evaluations of teaching performance
- Trial lecture

As far as the field of applicants permits, care must be taken to select at least two women and two men for the trial lecture, as the **solo status** significantly reduces the probability of recruitment (Johnson et al. 2016).

2.5 Selection Procedure

Categories

Transparent criteria and indicators for evaluating and weighting applications are determined before reviewing the applications. In a series of steps – depending on the number of applications – the documents are reviewed with regard to formal requirements and academic qualifications, teaching skills, leadership qualifications, and other criteria.

The professorial appointment committee reviews all applications and divides them into the following categories:

- A = Candidates who are qualified for the professorial chair / professorship
- B = Candidates who are possibly qualified for the professorial chair / professorship
- C = Candidates who are not qualified for the position

Informing candidates

A Candidates

As a rule, the chairperson communicates in writing. The following information is sent:

- Date for the trial lecture
- Time and duration of the lecture
- Type of lecture and requirements
- Target audience
- Note on online announcement of the lecture
- Information on location and time, meeting place
- Note on procedures (time and duration of interview with the committee)

- Information about technical equipment and a place to wait
- List of committee members
- Note on reserving a hotel room, if necessary, and covering travel expenses
- Directions
- Contact person

B Candidates are informed about the progress of the appointment procedure; individual letters may be appropriate.

C Candidates receive a form letter stating that their applications will not be considered further and that the submitted documents will be returned and electronic documents deleted.

Trial lecture and interview with professorial appointment committee

This phase of the assessment process includes the following steps:

1. Trial lecture (open to the public)
2. Q and A session (open to the public)
3. Trial course, where applicable
4. Interview with the candidate on research and teaching (not open to the public)
5. Discussion with student representatives

The professorial appointment committee ensures that all candidates are given comparable conditions and that the formal aspects of the lectures and discussions are uniform (length of lecture, Q&A and interview with committee, technical equipment and support).

The assessment of the **trial lecture** is based on the following criteria:

Presentation

- Language, rhetorical skill
- Contact with audience
- Pedagogical skills, use of media
- Adherence to prescribed time limit

Content

- Introduction and structure of lecture
- Thesis, research question, theme
- Outcome
- Suitability for audience

Q and A session

- Ability to take questions
- Form and content of responses
- Communicative behavior and style of interaction

It is very important that interviews with candidates follow a structured guideline. This ensures that the same questions are asked in the same order. A fact sheet (cf. 3.4 Enclosures) names key thematic areas for the **interview with the committee** and sets out rules for preparing and conducting the **dis-**

ussion. To promote transparent procedures and overall assessments of candidates, a written record is kept of the interview between the candidate and the committee.

Considerations regarding the private life of the candidates must not influence the decisions of the committee. Personal questions (civil status, children, etc.) must be avoided in this phase of the appointment procedures to ensure that decisions are based solely on academic merit and potential. During the appointment negotiations, a viable solution will be actively sought for candidates whose partners are employed (cf. section 2.2)¹.

Obtaining external expert opinions

After the trial lectures have been held, the committee members decide which external professors to contact with a request to write an expert opinion on short-listed candidates². An opinion giving a comparison of candidates should be drafted if the committee members deem it useful for evaluating the candidates. When **selecting external experts**, the best practice is to base the search on the University's strategic partners and members of international associations in which the University of Zurich participates (e.g. LERU, Universitas 21). At least one woman expert must be selected.

Any possible bias on the part of the experts must be considered; the Guidelines on Recusal in Professorial Appointments and Promotions of the University of Zurich apply (cf. 3.2 Legal Foundations). The experts are briefed by the chairperson. The experts must confirm their non-bias in the form of a written statement and observe all rules of good scholarly practice.

External experts receive the following documents:

- Guidelines on Recusal
- Professorial job posting
- Application materials of candidates for whom an opinion is requested, including all writings submitted
- Selection criteria and weighting standards

The experts assess (in comparison) the following points:

- Quality, originality, and innovation of the scholarly work as well as assessment of the overall merit of the candidate's scholarship
- Assessment of the writings submitted
- Teaching experience and skills (teaching statement and portfolio, if available)
- Compatibility with job requirements and selection criteria in terms of content/research focus
- Written statement on bias (Guidelines on Recusal)

Experts must not be informed of considerations regarding the ranking of candidates. The committee members rank the candidates after receiving the expert opinions.

¹ The question of willingness to implement is a factual question and may be asked.

² External members of the professorial appointment committee may be asked to prepare an expert opinion.

Decision and list of nominees

On the basis of the committee findings and the expert opinions, the committee members agree on a list of nominees. One to three candidates may be recommended. As a rule, three candidates are nominated.

The professorial appointment committee is responsible for submitting the appointment recommendation. When drafting the appointment recommendation, the guidelines of the Executive Board of the University concerning formal structure and content must be consulted (c.f. 3.2 Legal Foundations). It is of particular importance that the submitted appointment recommendation be complete.

Communicating results

The Dean notifies the candidates who have been included on the list of nominees by the professorial appointment committee. They expressly point out that the notification has no legal implication, as the Executive Board of the University may choose to deviate from or reject the recommendation at its discretion.

The staff at the Professorships Department notifies the candidates who have been nominated for the list of nominees approved by the Executive Board of the University. Candidates not on the list of nominees are informed about the status of the selection procedure, if possible at the same time. After the selection procedure is completed, all documents must be returned to the candidates if this has not already been done. Electronic documents are deleted.

3 Appendix

3.1 References

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German Council of Science and Humanities (2005): *Empfehlungen zur Ausgestaltung von Berufungsverfahren*, available at: <https://www.wissenschaftsrat.de/download/archiv/6709-05.pdf> (21 January 2018).

3.2 Legal Foundations

- Act on administrative procedures and jurisdiction (Verwaltungsrechtspflegegesetz), dated 24 May 1959 (VRG, LS 175.2)
- University Act, dated 15 March 1998 (UniG, LS 415.11)
- University Statutes of the University of Zurich, dated 4 December 1998 (UniO, LS 415.111)
- Employment ordinance of the University of Zurich, dated 29 September 2014 (PVO-UZH, LS 415.21)
- Ordinance on research and teaching of the University in the health-care sector (Verordnung über die Forschung und Lehre der Universität im Gesundheitsbereich), dated 31 January 2018, (LS 415.16)

- Guidelines on Recusal in Professorial Appointments and Promotions, dated 20 March 2018 (Guidelines on Recusal)
- Gender Policy Code of Conduct, dated 11 August 2005
- Guidelines on Statement on Professorial Position, dated 20 March 2018
- Guidelines on Structure of Professorial Appointment Recommendations, dated 20 March 2018
- Provisions governing the Creation of and Appointments to Assistant Professorships and Externally Funded Assistant Professorships, dated 29 October 2015
- Fact Sheet: Part-Time Professorships at the University of Zurich (UZH) – Compatibility of Family and Career, dated 3 September 2015

3.3 Chart: Legal Foundations of Individual Steps in Appointment Procedures

| Action | Responsible Entity | Legal Foundation/Guidelines |
|---|---|--|
| Professorial chair planning | Faculty | § 10 para 1 University Statutes UZH ordinance on research and teaching in the health-care sector |
| Authorization of professorial chair planning | Board of the University on request of the Executive Board of the University | § 10 para 2 University Statutes |
| Statement on Professorial Position (Strukturbericht) | Commission responsible for statements on professorial positions (Strukturkommission)/professorial appointment committee | § 56 para 3 item 2 University Statutes Guidelines on Statement on Professorial Position (Strukturbericht) UZH ordinance on research and teaching in the health-care sector |
| Establishment of professorial appointment committee | Executive Board of the University on request of the Faculty Council | § 10 para 4 University Statutes UZH ordinance on research and teaching in the health-care sector |
| Composition of the Professorial Appointment Committee: - At least two external experts - Balanced representation of both genders in all university positions and bodies | Faculty Assembly (Faculty of Theology) Faculty Board Faculty Council Bodies represented in the Extended Executive Board of UZH | Regulation governing organization of the faculties § 26 University Statutes § 34a University Act § 20 para 2 University Act Gender Policy Code of Conduct |
| Job posting | Faculty | § 10 para 3 University Statutes |
| Selection of external experts | Professorial appointment committee | Guidelines on Recusal |
| Compiling list of nominees (one to three nominees) | Professorial appointment committee | § 10 para 5 University Statutes Guidelines on Recusal |
| Submission of appointment recommendation | Professorial appointment committee | § 34a University Act Guidelines on Structure of Professorial Appointment Recommendations |

| | | |
|---|--|---|
| | | Guidelines on Recusal UZH ordinance on research and teaching in the health-care sector |
| Final appointment request | Application of the Executive Board of the University to the Board of the University Vetsuisse Council | § 10 para 8 University Statutes |
| Review of request and begin of appointment negotiations | Executive Board of the University | § 10 para 7 University Statutes Guidelines on Recusal |

3.4 Enclosures

- Template for Part-Time Professorships and Flexible Employment Models in Professorial Appointment Procedures
- Template for Professorial Appointment Committees: Assessment Rubric
- Fact Sheet on Interviews with the Professorial Appointment Committee



Template for

Part-Time Professorships and Flexible Employment Models in Professorial Appointment Procedures

UZH supports part-time employment options for professors and develops innovative and flexible employment models for staff in leadership positions.

The current principles guiding practical implementation of part-time and flexible employment models are summarized in the fact sheet “Part-Time Professorships at the University of Zurich.”¹

Purpose of the Template

This template is designed for the members of commissions responsible for statements on professorial positions (*Strukturkommissionen*) and members of professorial appointment committees. On the basis of the relevant guidelines, it outlines specific recommendations for appointment procedures in which part-time professorships and other flexible employment models are considered an option.

The template thus aims to help members of the commission or committee to adopt and discuss unified criteria and standards for each step of the procedure; the processes and approaches recommended herein are based on proven University practice.

The template aims to systematically address key issues regarding part-time positions for professors and to reduce uncertainties in the selection procedure regarding flexible working models.

General Provision

As a basic principle, UZH allows professorial job postings with a part-time option; the agreement of the relevant division and Head of Faculty is required. This applies equally to the consideration of other flexible working models, e.g. co-head models, job sharing and temporary adjustments to the employment level; the relevant provisions of employment law also apply.

For departments, institutes and faculties, the option to allow flexible employment models requires consideration of the specific situation, willingness to be flexible and additional planning. At the same time, alternative and individual employment models have the advantage of increasing the appeal of the position, e.g. in regard to compatibility of career and family duties, particularly for highly qualified candidates. Among other advantages, job-sharing models provide for full coverage of office hours, complementary expertise and more thorough decisions.

Part-Time Professorships and Flexible Employment Models in Professorial Appointment Procedures

The following aspects are to be addressed by the professorial appointment committee when part-time professorships and flexible employment models are considered in the appointment procedure. These pertain to the following steps:

¹ Cf. fact sheet “Part-Time Professorships at the University of Zurich (UZH) – Compatibility of Family and Career” https://www.prof.uzh.ch/en/your_professorship/parttime_professorships.html as well as the project “New Organization Models for Part-Time Management Positions at the University of Zurich”, approved by the Executive Board of the University as part of the Gender Equality Action Plan 2017–20. Led by CHESS – Center for Higher Education and Science Studies, the project implements the priorities of the Gender Policy Code of Conduct (GPCC) as per resolution of the Executive Board of the University of 23 June 2016.



Professorial job posting

- Any flexible employment options for the position, e.g. part-time or job-sharing options, should be clearly and transparently stated in the job posting.
- Specific requirements for such job applications are determined internally by the professorial position statement committee (*Strukturkommission*) or the professorial appointment committee (*Berufungskommission*) and are likewise detailed in the job posting (e.g. for job sharing or a part-time professorship, candidates may be required to submit with their application a concept outlining the organization of work under the employment model).
- The committee must consider the related framework conditions provided by employment law and check these in cases of doubt.

Appointment procedure

The submission of additional documents can prove a sensible requirement for job applications with the options of job-sharing, flexible working conditions or part-time employment. Such requirements must be clearly stated in the job posting and the relevant scope provided for by employment law is to be clarified in advance. In all cases, the formal requirements of the advertised job posting must be fulfilled.

The following possibilities should be considered:

- For appointments with a job-sharing option, allow candidates to submit a joint application and require them to include a cooperation concept.
- Allow persons submitting a joint application to also submit an individual application.
- Require persons requesting a part-time appointment to submit a corresponding concept for the organization the position.

When evaluating candidates for a full-time position, it is important to consider whether the candidate was previously employed part time or full time and to set this in relation to other candidates who were previously employed in full-time positions (i.e. calculation of academic age vs. biographical age).

Trial lecture and job interview

As a rule, candidates requesting a job-sharing option are required to give the trial lecture together, but are interviewed separately.

Before the interview, the committee should determine specific questions relevant for the employment model and include these in the interview guide. For example, for part-time or job-sharing models, questions may be included regarding allocation of working time for the employment level, organization of work and division of tasks and responsibilities, specific requirements for the formation of the team and its leadership, decision-making processes in the event of conflict, termination of the employment relationship, or a change in the level of employment.

Employment negotiations and terms of the job offer and employment decision (Anstellungsverfügung)

For flexible forms of employment, it is advisable to set out the related terms in a supplementary agreement that is appended to the job offer and employment decision (*Anstellungsverfügung*). The supplementary agreement must complement the legal document on which it is based.

Job-sharing work agreements are, as a rule, treated in the same way as part-time positions from an employment law perspective. In such cases, employment negotiations are held with both applicants jointly; individual points regarding the employment relationship, however, are discussed individually.

Closing Remarks

The recommendations in this document are based on proven practice. They are to be understood as suggestions for handling the various steps of the appointment procedure.

If the employment model for the position requires different appointment procedures, it is recommended that the committee record in writing all discussions and decisions on the matter and communicate the relevant processes transparently to all applicants.



Template for Professorial Appointment Committees: Assessment Rubric

Research shows that both men and women evaluate women candidates as a whole less favorably than men candidates (e.g. Van den Brink/Benschop 2011). This can be counteracted by successively evaluating individual criteria in order to reach an overall evaluation. This list of criteria serves as a general guideline and can be amended according to need.

To apply these criteria, you must fulfill the following conditions: You ...

- ... have read the Curriculum Vitae of the candidate
- ... are familiar with the academic activities of the candidate
- ... have read the letters of recommendation of the candidate
- ... have attended the trial lecture given by the candidate
- ... have gotten to know the candidate personally
- ... have met the candidate at a lunch or dinner
- Other (please specify): _____

Please evaluate the candidate in regard to the following aspects:

| | 6 | 5 | 4 | 3 | 2 | 1 |
|--|---|---|---|---|---|---|
| Potential for (proof of) academic successes | | | | | | |
| Potential for (proof of) research productivity | | | | | | |
| Potential for (proof of) acquisition of third-party funds | | | | | | |
| Potential for (proof of) academic collaboration | | | | | | |
| Potential for (proof of) academic career development | | | | | | |
| Suitability/ match as regards the priorities of the department/institute | | | | | | |
| Ability to contribute positively to the environment of the department/institute | | | | | | |
| Potential (proven ability) to attract and supervise a diverse range of students at the Master's level and higher | | | | | | |
| Potential (proven ability) to teach and supervise a diverse range of students at the Bachelor's level | | | | | | |
| | | | | | | |
| | | | | | | |



Fact Sheet on Interviews with the Professorial Appointment Committee

- Use a structured interview guide that defines the content and order of the questions and is based on the requirements profile and selection criteria.
 - The interview guide is made available to all members of the professorial appointment committee.
 - Take minutes on the entire interview of each candidate with the committee.
 - Make written notes of your impression throughout the interview as well as noting information about the person. Ensure that these notes contain observations only and not an evaluation of the person.
 - Keep the questions as short and specific as possible. Avoid leading questions that suggest a particular response.
 - Be aware of the University's policy on gender-neutral language and apply it consciously throughout the discussion.
 - Personal questions (civil status, children, etc.) must be avoided in this phase of the appointment procedure to ensure that decisions are based solely on the academic merit and potential of the candidates.
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Process and Topics

1. Welcome the candidate and introduce the committee
2. Explain the interview purpose and process
3. Topics:
 - General interest
 - Motivation for application
 - Current research priorities
 - Potential research projects and third-party funds
 - Teaching
 - Teaching statement, teaching philosophy
 - Innovative teaching methods, use of digital teaching materials
 - Subject xy
 - Particular strengths, added value for the faculty/clinic
 - Interdisciplinarity
 - Internationalism and international visibility
 - Contribution to international network of the faculty/clinic
 - Junior scholars
 - Supervision of doctoral candidates, and teaching and research assistants
 - Concepts/ideas for academic career development
 - For part-time employment options/flexible work arrangements (co-leadership, job sharing, etc.)
 - Clarify details of working format/explain relevant employment conditions
 - Ask about the candidate's specific concept for organization of work and division of tasks and responsibilities in regard to teaching/research/university self-administration/management of staff and availability
 - Final questions
 - Any further applications pending
 - Place of residence, relocation to Zurich
4. Information for the candidate (further procedure, equipment provision, and salary range)
5. Questions of the candidate to the professorial appointment committee

Sources

University of Bern, Office for Gender Equality: Chancengleichheit in Anstellungsverfahren – ein Leitfaden, Bern, available at: (http://www.unibe.ch/unibe/portal/content/e152701/e332576/e332600/e357754/afg_leitfaden_chancengleichheit_anstellungsverfahren_ger.pdf) (08 January 2018).
Technical University of Munich: Gendergerechte Personalauswahl und -beförderung. Handreichung für EntscheidungsträgerInnen in Wirtschaft und Wissenschaft, available at: https://www.abf.wi.tum.de/fileadmin/w00bjr/www/Dokumente/Gendergerechte_Personalauswahl_und_Befoerderung_AuBeFuehr.pdf (21 January 2018).