

**A Guide to Planning  
and Conducting Joint  
Appointments  
at Leibniz Institutions**

## Contents

<b>1</b>	<b>Introduction</b> .....	<b>3</b>
1.1	Quick guide .....	3
<b>2</b>	<b>Joint appointments</b> .....	<b>4</b>
2.1	Appointment models.....	5
2.2	Differences between appointment models.....	8
2.3	Outlook: Value added tax .....	10
<b>3</b>	<b>Procedures and responsibilities</b> .....	<b>12</b>
3.1	Preparatory phase of an appointment procedure.....	12
3.2	Start of the procedure.....	16
3.3	Meetings of the appointment committee .....	21
3.4	Application phase.....	21
3.5	Completion of the process.....	23
3.6	Procedure participants .....	23
3.7	Communication with applicants .....	26
3.8	Onboarding .....	26
3.9	Addendum: ad personam procedure .....	27
3.10	Checklist for appointment procedures .....	29
<b>4</b>	<b>Dos and Don'ts</b> .....	<b>31</b>
4.1	Measures that help.....	31
4.2	Measures that hinder.....	32
<b>5</b>	<b>Useful links</b> .....	<b>34</b>
<b>6</b>	<b>Appendices</b> .....	<b>37</b>
6.1	Candidate specifications and other guidelines in the Leibniz Association .....	37
6.2	Sample advertisement.....	37
<b>7</b>	<b>Index</b> .....	<b>40</b>

# 1 Introduction



Standards für die Besetzung von wissenschaftlichen  
Leitungspositionen in der Leibniz-Gemeinschaft  
Standards for the appointments to academic management  
positions within the Leibniz Association



Leibniz Appointments  
Standards

This guide contains advice and recommendations for conducting joint appointments in the Leibniz Association – something the Leibniz Association has committed to strengthening in the Joint Initiative for Research and Innovation III and IV. It is based on discussions held in a number of working and project groups, in the Sections, and at meetings of the Executive Board of the Leibniz Association, where it has been a permanent item on the agenda for the past three years, and it provides practical assistance for organising and conducting joint appointments at Leibniz institutions. It looks at the process and how it is structured from the point of view of the Leibniz institutions, on the understanding that the university in question will naturally be involved as a partner. It is aimed at institute directors and individuals in the Leibniz institutions who are entrusted with appointment procedures. Taking as its basis the *Standards for Appointments to Academic Management Positions within the Leibniz Association*<sup>1,2</sup> and GWK Book 37 of the Joint Science Conference (GWK) on joint appointments of senior researchers by universities and non-university research institutions (*‘Gemeinsame Berufungen von leitenden Wissenschaftlerinnen und Wissenschaftlern durch Hochschulen und außerhochschulische Forschungseinrichtungen’*),<sup>2</sup> it covers the topic of joint appointments in greater detail.

## 1.1 Quick guide

The following overviews are designed to give a quick understanding of the topic. Explanatory texts for the figures and tables can be found in the relevant chapters:

### Appointment models

- Table 1: Appointment models for joint appointments (p. 6)
- Table 3: Catalysts and obstacles (p. 9)

### Procedure

- Figure 1: The five phases of a joint appointment (p. 13)
- Defining the key points of the process (p. 16)
- Figure 2: Sample simplified timetable for procedures (p. 18)
- Table 4: Advantages and disadvantages of joint appt committees (p. 20)
- Composition of the appointment committee (p. 25)
- Checklist for the appointment procedures (pp. 29f)
- Dos and Don'ts (pp. 31f)

<sup>1</sup> These standards are the result of the Senate working group on Leibniz Appointments Standards and were agreed by the General Assembly of the Leibniz Association in 2016.

<sup>2</sup> Listed under 'Useful Links'.

## 2 Joint appointments

### Definition

A joint appointment is the simultaneous appointment of a researcher to a professorship at a university and a leadership or research position at a non-university institution. The appointee is consequently linked to both institutions, although the two relationships vary in terms of employment law and organisational arrangements, according to the appointment model used. Joint appointments are intended to strengthen the competitiveness of a location by creating synergies and reduce the structural divide between universities and non-university research institutions.

The aim of joint appointments is to intensify collaboration between the university and the Leibniz institution through staff connections and the joint recruitment of outstanding researchers. The Leibniz Association is ideally placed for inter-institutional collaboration, thanks to its decentralised structure and close links to the federal states in which its institutions are based, and its strong regional and (inter)national networks. The collaboration should be based on the shared interests and goals of the university and the Leibniz institution. The joint framework is generally set out in a cooperation agreement. Both partners should derive benefits from the collaboration, beyond the shared financial burden, for instance through:

### Benefits of joint appointments

- Developing a teaching and research focus at the universities
- Expanding the teaching on offer at the universities
- Joint training of emerging researchers
- Building regional focus areas for research with cross-regional significance, e.g. for Collaborative Research Centres or Clusters of Excellence
- Shared use of research infrastructure, even joint laboratories
- Successfully attracting external funding through joint proposals by pooling complementary competencies
- Recruitment of excellent researchers thanks to attractive research environment

More than 70% of scientific directors of Leibniz institutes are jointly appointed with universities. There are currently 382 joint appointments in total (see **Table 2**, correct at: 2019).

Besides the joint appointment procedures described here, unscheduled (*außerplanmäßige*) professorships and honorary professorships are also an option but are not covered by this guide.

## 2.1 Appointment models

Four appointment models have proved effective in meeting individual specifications, needs and local circumstances:

- The reimbursement model ('Berlin Model')
- The leave of absence model ('Jülich Model')
- The secondary employment model ('Karlsruhe Model')
- The full faculty member status model ('Thuringian Model')

These four appointment models are described, together with legal and administrative explanations, in GWK Book 37 *Gemeinsame Berufungen von leitenden Wissenschaftlerinnen und Wissenschaftlern durch Hochschulen und außerhochschulische Forschungseinrichtungen*.<sup>3</sup>

**Table 1** compares these four appointment models.

The four models are used in more than 96% of cases. In addition, as well as individual adaptations within the models, there are also well-known variations, like the Berlin Hybrid Model and the Stuttgart Model.

In the Berlin Hybrid Model, the appointee is provided with resources at the university and also takes on research work there. The reimbursement of personnel costs is reduced pro rata in line with the proportion of research work carried out for the university rather than the research institution, e.g. by 30%.<sup>4</sup>

The Stuttgart Model has been used in Baden-Württemberg in cases where the reimbursement of personnel costs under the Berlin Model and its impact on the university's 'assignment framework' (*Vergaberahmen*) leads to problems. The concept was described in 2008 in GWK Book 2 *Gemeinsame Berufungen von leitenden Wissenschaftlerinnen und Wissenschaftlern durch Hochschulen und außeruniversitäre Forschungseinrichtungen*.<sup>3</sup> There are currently no joint appointments in the Leibniz Association that are based on this model.

<sup>3</sup> Listed under 'Useful Links'.

<sup>4</sup> For details, see also GWK Book 37 under 'Useful Links'.

### Joint appointments

**Table 1:** Appointment models for joint appointments based on GWK Book 37. Abbreviations: University (U), Research institution (RI)

	Reimbursement model 'Berlin Model'	Leave of absence model 'Jülich Model'	Secondary employment model 'Karlsruhe Model'	Full faculty member status model 'Thuringian Model'
Individual	Close link to RI and U	Close link to RI	Close link to U	Close link to RI
Employed at	U	U and RI	U and RI	RI
Involvement in the RI	Assigned to the RI; duties at the U with reduced teaching load	Leave of absence from the U with no salary, employment contract with the RI under private law	Secondary employment	Full involvement
Remuneration	U pays salary in full; RI reimburses salary plus pension supplement	Paid by the RI directly, RI pays pension supplement to U	U pays negotiated salary; RI pays secondary employment	Paid by the RI directly,
Position at U	Reimbursed position	Empty position	Structural position	Not employed at the U
Contractual basis	RI reimburses U for salary and pension supplement; Contract sets out rights and obligations between RI and the individual	RI signs contract with appointee and applies the appropriate salary level for the professorship grade	U and individual have a secondary employment authorisation, where necessary; RI and individual have a contract and separate remuneration	Awarded full faculty member status at U; no civil service or employment law relationship with the U
Governing bodies of the U	Full involvement in governing bodies; takes on duties in academic self- government	Advisory role on governing bodies; active involvement is possible in principle (requires regulation)	Full involvement in governing bodies; takes on duties in academic self-government	Involvement as a member of the U possible
Teaching commitment	As a rule, from 2 semester periods per week to half of regular teaching load	As a rule, from 2 semester periods per week to half of regular teaching load	Full rights and obligations, so up to full regular teaching load	At least 2 semester periods per week

**Table 2:** Joint appointments in the Leibniz Association, data collected as part of the Joint Initiative monitoring programme 2015–2019 across all Leibniz institutions.

	Number <sup>5</sup>	Change since 2015 <sup>6</sup>
Joint appointments <sup>7</sup>	382	+ 89 [+ 30%]
<i>of whom women</i> <sup>8</sup>	99 (proportion: 26%)	+ 37 [+ 60%] (proportion: + 5 pp)
• Berlin Model	219 [57%] <sup>9</sup>	+ 33 [+ 18%]
• Berlin Hybrid Model	13 [3%] <sup>10</sup>	n.k. (+ 8 [+ 160%] <sup>10</sup> )
• Jülich Model	125 [33%] <sup>10</sup>	+ 29 [+ 30%]
• Karlsruhe Model	5 [1%] <sup>10</sup>	- 4 [- 44%]
• Thuringian Model	20 [5%] <sup>10</sup>	n.k. (+ 7 [+ 53%] <sup>11</sup> )
• Stuttgart Model	0 [0%] <sup>10</sup>	- 2 [- 100%]
Unscheduled ( <i>außerplanmäßige</i> ) and honorary professorships	88 (18)	+ 12 [+ 16%]
<i>of whom women</i>	18 (proportion: 21%)	+ 3 [+ 20%] (proportion: + 1 pp)
Pay grade <sup>12</sup>	Number <sup>6</sup>	Change since 2017 <sup>12</sup>
W3/C4	248 [64%]	+ 21 [+ 9%]
<i>of whom women</i>	45 (proportion: 18%)	+ 5 [+ 13%] (proportion: ± 0 pp)
W2/C3	111 [28%]	+ 7 [+ 7%]
<i>of whom women</i>	38 (proportion: 34%)	+6 [+ 19%] (proportion: + 3 pp)
W1	31 [8%]	+ 7 [+ 30%]
<i>of whom women</i>	18 (proportion: 58%)	+ 5 [+ 38%] (proportion: + 4 pp)

<sup>5</sup> Correct at 31 December 2019.<sup>6</sup> End of the Joint Initiative for Research and Innovation II.<sup>7</sup> Responses to Joint Initiative survey excluding professorships based on 'other models'.<sup>8</sup> In the interests of clarity, the number of women has not been broken down for each appointment model; there were no significant deviations (± 3% in terms of share).<sup>9</sup> Appointment model as proportion of all joint appointments.<sup>10</sup> Not known. Data only collected from 2018 onwards; the increase therefore relates to a shorter time period.<sup>11</sup> Not known. Data only collected from 2017 onwards; the increase therefore relates to a shorter time period.<sup>12</sup> Discrepancies between the total numbers by pay grade and the total number of joint appointments are due to non-tariff agreements and other model-related pay grade deviations.

## 2.2 Differences between appointment models

The models offer different features that can speed up or slow down the appointment procedure and should be weighed up on a case-by-case basis (see **Table 3**).

The choice of a suitable, preferred appointment model should be made as early as possible. The decision should take into account the cooperation model and the person specification for candidates, e.g. in terms of recruitment age limits.<sup>13</sup>

### Berlin and Jülich Models

The Berlin and Jülich Models are widespread in the Leibniz Association, accounting for 57% and 33% respectively of the total number of joint appointments, since they enable a lasting collaborative relationship with the university and also a significant amount of work for the Leibniz institution. There are regional differences, e.g. as a result of legislation at *Land* level<sup>13</sup> or provisions in cooperation agreements, and also differences resulting from individual adaptations made at appointment level. Provided the Higher Education Act of the *Land* in question stipulates that the appointee can retain their faculty member status and voting rights, even if they are granted leave of absence,<sup>14</sup> then even the Jülich Model offers an opportunity to strengthen the relationship with the university. This is particularly relevant in terms of the potential VAT problems associated with the Berlin Model.

### Karlsruhe Model

The Karlsruhe Model is used in only a small number of cases, e.g. in social research infrastructure facilities, because it very rarely makes sense for the role of director of a Leibniz institution to be performed as a secondary job.

### Thuringian Model

The Thuringian Model is also used in only a few cases, partly because of legislation at *Land* level and partly because it is less attractive, with limited scope in terms of pay, and no civil servant status. However, this model can sometimes be very attractive in some individual cases, e.g. when recruiting international researchers.

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<sup>13</sup> Listed under 'Useful Links'.

<sup>14</sup> See e.g. § 9 (5) and § 10 (1) of the Higher Education Act for North Rhine-Westphalia.

**Table 3:** Catalysts and obstacles of the different appointment models for joint appointment procedures and contractual arrangements from the point of view of a Leibniz institution and its appointees.

	Catalysts	Obstacles
Berlin Model	Full faculty member rights at the university	Contract drawn up by the university; in some <i>Länder</i> , the pay legislation does not allow for any function-related performance benefits
	Strong link and cooperation with the university	There is currently a risk that under § 2b of the German Value Added Tax Act (UStG), VAT might have to be paid (s. Section 0)
		No provision for resources at the university (see also Hybrid Model) Appointment could potentially revert to the university
Jülich Model	Flexibility in drawing up contracts at the non-university institution	Faculty member rights at the university need to be clarified
	The employer is the non-university institution, so the Leibniz institution is free to draw up contracts etc.	The payment of the pension supplement is currently not subject to VAT under § 2b UStG (see Section 0)
		No provision for resources at the university Appointment could potentially revert to the university Leave of absence cannot usually be open-ended
Karlsruhe Model	Contracts can be drawn up flexibly at the non-university institution	As a secondary employment, under civil service law, the amount of work is usually restricted to a maximum of 20%
	Resources at the university and full faculty member rights	
	The appointment cannot revert fully to the university ( <i>Rückfall</i> ), since it is a secondary employment	
Thuringian Model	Contracts can be drawn up flexibly at the non-university institution	Hardly any connection to the university
	Fixed-term cooperation possible	No civil servant status, so pay is usually in accordance with regional and national civil service pay agreements (TVL / TVöD)
	No possibility of appointment reverting to the university	Membership rights as a member of the university Cannot be used in all <i>Länder</i>

## 2.3 Outlook: Value added tax

The issue of whether cash flows between universities and Leibniz institutions in the context of joint appointments are taxable has been a controversial topic of discussion for some time. A change to the law a few years ago added to the uncertainties surrounding the tax status of joint appointments.

The Tax Amendment Act 2015 amended the VAT Act (UStG) in accordance with the rulings of the Federal Fiscal Court and brought the legislation into line with European Community law.

During this process, the regulations on the trader status of bodies governed by public law (including universities) were revised. Under the new regulations, bodies governed by public law are subject to VAT in certain situations, especially when providing services on a private-law basis. An exception is made for activities in which they engage as public authorities, provided this does not lead to significant distortions of competition. The details are set out in § 2b of the UStG.<sup>15</sup>

A letter from the Federal Ministry of Finance (BMF) sets out a transition period until 31 December 2020, which was extended to 31 December 2022 by the Covid Tax Relief Law (*Corona-Steuerhilfegesetz*) of 19 June 2020.<sup>16</sup> Until that time, the old regulations may be applied on request.

In the field of research, the change in the law primarily affects cooperation arrangements with public institutions that are performed on the basis of private-law transactions. In the case of joint appointments, it is irrelevant whether the Leibniz institution in question is a body governed by private law<sup>17</sup> or by public law.<sup>18</sup>

The Standing Conference of the Ministers of Education and Cultural Affairs (KMK) informed the BMF in 2019 of the need to expand on and supplement the application guidance for § 2b of the UStG to take account of academia and research. In its reply to the KMK of 26 November 2020, the BMF says that the VAT obligation for joint appointments should be assessed on a case-by-case basis. Joint appointments would only be subject to VAT if they led to an exchange of services, which would constitute trader status under § 2 (1) of the UStG. The Berlin Model would normally be liable to VAT, even if implementation was based on a cooperation agreement governed by public law as a condition for applying § 2b of the UStG, since there would be a potential competition situation

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<sup>15</sup> [https://www.gesetze-im-internet.de/ustg\\_1980/\\_2b.html](https://www.gesetze-im-internet.de/ustg_1980/_2b.html)

<sup>16</sup> See the Federal Law Gazette (*Bundesgesetzblatt*) Part I No. 30 of 29 June 2020 [www.bgbl.de/xaver/bgbl/start.xav](http://www.bgbl.de/xaver/bgbl/start.xav).

<sup>17</sup> Examples: association; foundation governed by private law; limited liability company; public limited company; registered cooperative.

<sup>18</sup> Examples: corporations, institutions and foundations governed by public law.

## Joint appointments

with private universities. To ensure the existence of a market, the legal framework would not rule out collaboration between research institutions and private universities.

The Leibniz Association and the Alliance of Science Organisations in Germany counter this argument primarily by pointing out that a joint appointment using the Berlin Model does not represent an exchange of services and that, in view of the aim to appoint a professor with civil service status, there is no competition with private universities. The discussion with the competent ministries will be continued in the coming months with the aim of making joint appointments future-proof – as an important form of research collaboration for Germany as a research location.

The same letter says that the pension supplement in the Jülich Model would not be taxable. Because of the leave-of-absence arrangement, there would be no exchange of services between the research institution and the university. Instead, the pension supplement is seen as a benefit paid by the research institution to the appointee, if agreed e.g. as part of an employment contract.

### 3 Procedures and responsibilities

The joint appointment procedures for a scientific director of a Leibniz institution can take several years, depending on the position to be filled, the local regulations and the partners involved. The process is based on the Leibniz Appointments Standards and is divided into five phases. An overview of the procedure is shown in **Figure 1**.

Every stage involves different actors from each of the partners (usually three: the university, the *Land* ministry or senate department and the Leibniz institution). Although the details of the phases can vary from one *Land* to another, much of the following advice is generally applicable.

#### 3.1 Preparatory phase of an appointment procedure

In the preparatory phase, it is possible to put in place the conditions for a fast, successful process. Ideally, this phase is embedded in a longer-term cooperation between the two organisations and comprises many 'small' measures that rely on trust and coordination between the partners. In the case of filling a retirement vacancy, for instance, the preparatory phase should be initiated about four years before the incumbent leaves. On average, a period of 18 to 24 months should be allowed for the main procedure itself after the preparatory phase.

#### Cooperation agreement

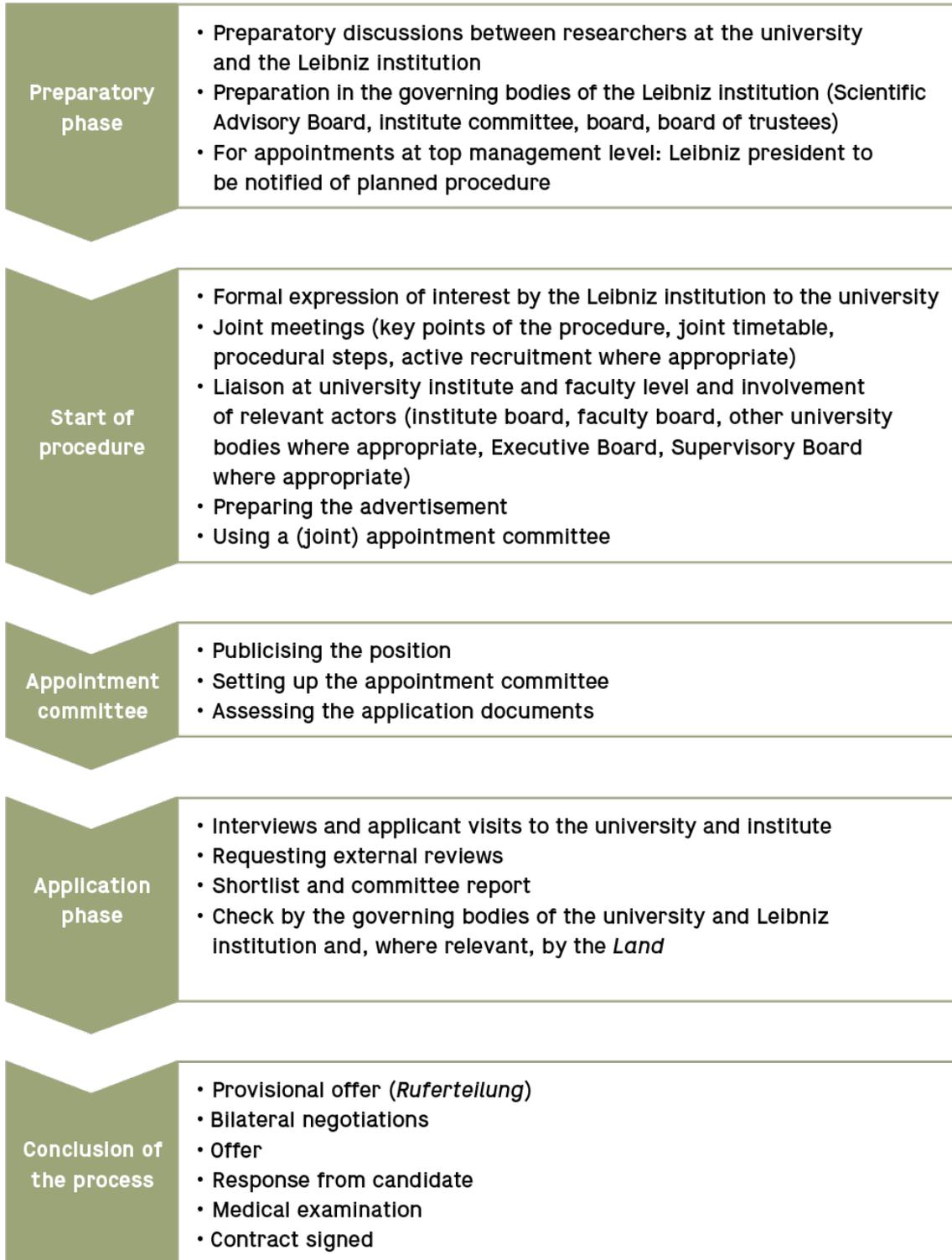
The cooperation agreement, for which a template is included in GWK Book 37<sup>19</sup> forms the basis and legal foundations of joint appointments. A cooperation agreement that takes the form of a contract governed by public law can open up options for applying § 2b of the UStG.<sup>20</sup> However, significant distortion of competition cannot be ruled out even in this case, according to the BMF, especially where private universities are concerned, which in turn can lead to a VAT liability. Joint appointments are bound by legislation concerning higher education, so the procedure and selection must comply with the legislation<sup>19</sup> and with civil service regulations. The collaborative relationship should be structured in such a way that the appointment committee and the university governing bodies retain their autonomy. Depending on how the procedure is arranged, the cooperation agreement can include e.g. stipulations regarding participation in the appointment committee and transparent selection, so as to prevent misunderstandings.

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<sup>19</sup> Listed under 'Useful Links'.

<sup>20</sup> See also Section 2.3.

Figure 1: The five phases of a joint appointment



In addition, the cooperation agreement can also set out rules about IP rights, e.g. who gets which rights, who is the employer within the meaning of the Employee Invention Act and who manages the IP rights?<sup>21</sup>

Guidance from the Leibniz Association

When it comes to appointment procedures at institute director level, the directors of the Leibniz institution usually have a conflict of interest. For this reason, it is advisable to consider consulting a Section spokesperson or scientific director of another institute within the Leibniz Association so that the process can take account of any Leibniz institution requirements from the point of view of a scientific director. The Leibniz institutions are therefore called on to **inform the Leibniz President of planned and ongoing appointment procedures** at this early stage, especially in the case of appointments at top management level, with an indication of whether they would like guidance from the Leibniz Association. This involvement can include initial strategic discussions in the Scientific Advisory Board and Supervisory Board and exploratory discussions with the university, as well as participation in appointment committees, in consultation with the university (see also 3.6 Procedure participants).<sup>22</sup>

Preparatory discussions between researchers at the university and the Leibniz institution

Strategic discussions, e.g. on the focus and specialist field designation (*Denomination*) of the professorship, can take place well in advance of a planned appointment procedure as part of the institutional collaboration. It is advisable to consider whether a professorial member of the university should be invited to take part in the institute's internal discussions at this stage, in an advisory capacity, to create transparency.

This member could subsequently present the processes and aims of the Leibniz institution to the university's internal governing bodies and prevent potential reservations.

A preliminary discussion should be planned even in cases where a vacancy has to be filled at relatively short notice following a departure, so as to synchronise the common interests and involve the university in the planning process of the Leibniz institution early on.

Procedures at top management level

Appointments at **top management level** always affect the general strategic focus of the Leibniz institution and can strengthen existing collaboration with a university. In many cases, these kinds of appointments are made to fill a vacancy following a departure, e.g. for retirement reasons. In these cases, starting the process in good time and sounding out the strategic interests of the partners is especially important. Something else to consider is strategically adapting the focus of the Leibniz institution and its competencies towards new areas in order to strengthen the location as a whole. Preparatory measures that can be considered in this phase are:

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<sup>21</sup> See also <https://kpmg-law.de/newsservice/wissenschaft-recht-ausgabe-31/> 'Gemeinsame Berufungen' (in German).

<sup>22</sup> See Leibniz Appointments Standards p. 10 under 'Useful Links'.

- Content strategic considerations about the subject orientation of the post, the profile of potential candidates and collaboration with the partners, as well as resolutions by the Supervisory and Advisory Boards of the Leibniz institution
- Defining the competencies that the individual should possess (see Section 6.2)
- Analysis of the current environment in terms of unique features and any areas of scientific competence that may be missing and in need of filling
- Strategic discussions with the universities (usually in the same region) at top management, faculty and/or institute level, in order to align the considerations and orientation of the two sides

Procedures at middle management level

As a rule, the incumbent should not be involved in the selection process.

Replacing someone at **middle management level** can further strengthen the profile of the Leibniz institution, intensify cooperation with a university or open up new subject areas. Even the procedures vary at this management level. As with the process at top management level, most appointments at this level are run as open processes but can also occasionally take the form of an ad personam procedure by the Leibniz institution. This special type of procedure is covered in Section 3.9.

Starting preliminary discussions (see above) in good time is helpful in this case too. The institute directors play a key role here, for instance in:

- Preliminary discussions at professorial level with chair-holders at university or institute level,
- Liaison with the decision-makers at the universities to intensify or enlarge existing cooperation arrangements,
- Checking whether other universities would be suitable as cooperation partners, e.g. to supplement the institution's own competencies.

Other appointments

As well as appointments at management level, joint appointments can be a way of promoting young talent or intensifying cooperation in specific disciplines. These procedures should be prepared by liaising closely with the cooperation partners at professorial level.

Preparation by the Leibniz institution boards

Before starting the process, the relevant decisions need to be made by the boards of the Leibniz institution. The Scientific Advisory Board can make recommendations for strategic development. The Supervisory Board is usually in charge of initiating the procedure for appointments at director level.

These preparations on the boards, and the professional discussions among researchers about the focus of the post should be synchronised as closely as possible.

### 3.2 Start of the procedure

Formal expression of interest by the Leibniz institution to the university

The actual procedure starts with the submission of an expression of interest to the university. On the university side, the faculties are generally responsible for managing the process, but it can be advisable to address the letter to the university board with a request to forward it to the relevant faculty.

Joint discussion to define key points

Ideally, a joint discussion can take place a few days or weeks after the expression of interest has been submitted. It should involve the head of faculty, the chairperson of the appointment committee and the head of the Leibniz institution. The purpose of the discussion is to clarify all procedural issues, in particular:

- key points of the procedure:
  - Which appointment model is to be used?
  - What will be the specialist field designation (*Denomination*) of the post?
  - What salary will be linked to the appointment?
  - What are the important points for advertising the post?
  - Which role models (top researchers) can serve as a benchmark?
  - List of potential candidates
  - Should one joint appointment committee or two separate appointment committees be set up?
  - Are there resources available at the university and, if so, on what scale?
  - Should candidates be actively recruited?
  - Should a search committee be set up?
  - In which media (specialist journals, online sites) should the advertisement be published?
- Who is the contact person for each side?
- Is there a central contact person for candidates?
- What is the desired joint timetable?
  - How should the procedure be structured?
  - When should the procedure end?
  - What foreseeable committees/boards and meeting dates incl. preparatory deadlines should be taken into account?
  - Which committee/board dates are being aimed for?
  - When should the interviews take place?

Joint timetable

When preparing the procedure, an initial timetable should be drawn up. It should contain critical deadlines, such as the desired date for completing the process, but also important committee/board dates. A sample timetable for an appointment procedure in Berlin is shown in **Figure 2**. A Gantt chart that can be adapted to the relevant procedure is available for download.

Liaison at university institute and faculty level and involvement of relevant actors

After the expression of interest has been sent to the relevant university and the joint discussion has taken place, consultations start on the university side. The Leibniz institution can provide supporting information and, where desired, draft the necessary advertisement documents, e.g. the text of the job advert, or provide an initial talent scout list of potential candidates – documents that are necessary to assess the viability of the process.

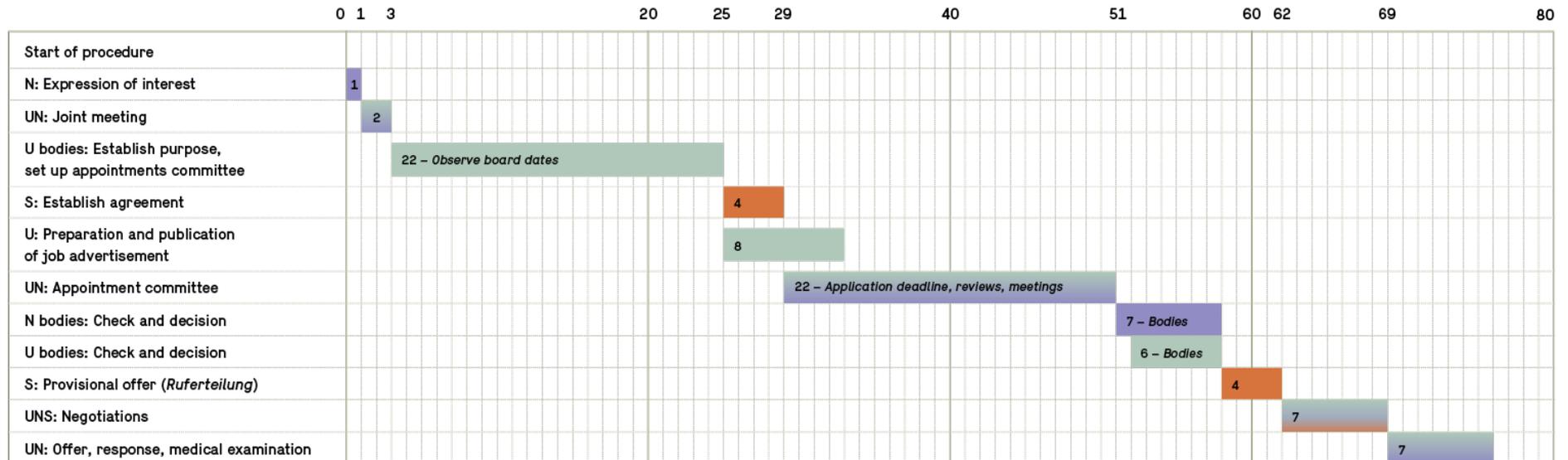
Preparing the advertisement

The university consultations take place initially at university institute level, on the **institute board**. The allocation applications and the job advertisement are drawn up and passed by resolution. It can make sense to offer to appoint a representative of the Leibniz institution to attend the university institute board meeting as a guest, to give the Leibniz institution's perspective, explain any requirements and standards that are necessary from the Leibniz institution's point of view, and to be available for questions and to provide further information. It could also be possible for a member of the university who is involved in the strategic considerations during the preparatory phase to present the procedure on behalf of the institute.

When preparing the job advertisement, a talent scout list should be drawn up with the help of the Leibniz institution. This list is used to assess the chances of success of the advertisement based on potential applicants.

**Figure 2:** Sample simplified timetable for procedures in the state of Berlin

**Explanation:** The procedural steps are shown on the vertical axis. Steps that can be carried out in parallel overlap. The colours indicate the institutions involved in each step. The numbers along the top indicate the week in which the step begins; the number in the bar indicates its approximate duration in weeks. The diagram does not take account of vacations or public holidays.



**Key**

Procedural step with duration in weeks

Responsible:

- N: non-university research institution
- U: university
- S: Berlin Senate
- UN: university together with non-university research institution
- UNS: university, non-university research institution and Senate

The partners should also clarify whether they want to use active recruitment methods to broaden the pool of applicants, including in terms of active recruitment of women.

This is a suitable way of attracting excellent candidates and can be carried out by a separate search committee, internal organisational structures, external partners or a recruitment consultancy. The *Report on implementation of the Leibniz Equality Standards in the institutions of the Leibniz Association 2017 as well as 2020*<sup>23</sup> covers active recruitment in Chapter 3. Active recruitment methods should be used especially in disciplines with a low proportion of women. This is a mandatory requirement in the recruitment guidelines of some universities. The following active recruitment methods are used at Leibniz institutions<sup>24</sup>

- Executive search consultancies (personnel consulting for executives)
- National and international databases<sup>25</sup>
- Networks
- Search symposium
- Personal approach
- Involvement of the chairperson of the Supervisory Board
- Ad personam procedure

In all active recruitment methods, care should be taken not to contravene the principle of selecting the best candidate (Art. 33 (2) of the German Basic Law) and to retain competitive elements.

The decision by the institute board is generally followed by a **faculty board** decision on the specialist field designation (*Denomination*), the intended purpose of the role and a proposal for the composition of the appointment committee (see Section 3.6). Shortly after this decision, a date should be set for the constitutive meeting of the appointment committee.

When using an appointment committee, the advantages and disadvantages of joint appointment committees must be weighed up (see **Table 4**). A joint committee is generally preferred because it makes consultation easier. However, it is easier to avoid conflicts of interest with two committees. On the university side, the appointment committee generally consists of at least seven people and can, in the case of a joint committee, be supplemented with an equal number from the Leibniz institution. The committee should have an even gender balance.



Leibniz Equality Report 2017 as well as 2020

Using a (joint) appointment committee

<sup>23</sup> Both listed under 'Useful Links'.

<sup>24</sup> Based on Table 13 of the Leibniz Equality Report 2017 p. 60, listed under 'Useful Links'.

<sup>25</sup> Examples are listed under 'Useful Links'.

**Table 4:** Advantages and disadvantages of joint appointment committees

	Advantages	Disadvantages
Joint appointment committee	A joint shortlist	Large committee, difficult to schedule meetings
	Joint procedure and discussion of candidates	Conflict of interest criteria can be difficult to comply with for Leibniz institutions
Separate appointment committees	Each committee can be assembled in accordance with the institution's/university's own requirements	Two lists, which must be identical
	Small committees, possible to schedule meetings independently	

Checking for conflicts of interest

The check for conflicts of interests can vary from one *Land* to another, depending on the university regulations and local law. In terms of the involvement of representatives from Leibniz institutions, there is in particular the issue of the involvement of the various management levels. As a rule, the individual who will be the new appointee's immediate superior cannot be involved because of the dependent employment relationship. In the same way, the middle management level cannot usually be involved in appointing an institute director. A possible solution in these cases is for people from the same management level at the Leibniz institution to be involved in the appointment committee. Another conflict of interest is joint publications in the past five years. Potential conflicts of interest should always be clarified early on to avoid delays or even a collapse of the process later.

Unconscious bias

It is worth considering making the members of the appointment committee aware of unconscious bias and offering training to avoid these structural and cultural barriers.

Following the faculty board decision, decisions are taken in the **other university governing bodies**. Depending on the *Land*, it may be necessary to obtain the agreement of the *Land* ministry or senate department. For certain appointment procedures, such as the ad personam procedure, other documents may be necessary at this stage, such as external reviews (see Section 3.4).

### 3.3 Meetings of the appointment committee

Publishing the advertisement

Once the text of the advertisement is ready and the necessary decisions and agreements have been reached, the advertisement can be published. It can include the interview dates agreed with the appointment committee. As well as the job description and requirements, the advertisement should also include the wider tasks for the Leibniz institution and should present both partners equally. This is achieved by using the logos of the university and the Leibniz institution and, ideally, the logo of the Leibniz Association as well.<sup>26</sup> A Sample advertisement can be found on page 37.

Setting up the appointment committee

The constitutive session of the appointment committee can be held while the position is being publicised. At this session, criteria must be set for evaluating scientific quality when assessing incoming applications, and dates of future meetings should be set, in addition to the interview dates, which may already have been scheduled. General rules should also be set to reduce unconscious bias, such as how many people of the under-represented gender should be invited. If not enough people of the under-represented gender have applied, or if no international applications are received, active recruitment methods should be used. When checking the list of applicants, the talent scout list drawn up previously should be consulted. The date of the next meeting should be after the application deadline.

### 3.4 Application phase

Assessing the applications

At the second session of the appointment committee, the application documents are assessed and, if sufficient numbers of applications have been received, in line with the rules set previously, candidates are invited for interview. If the interview dates have already been communicated in the job advert, there is no need to find mutually agreeable dates at this stage. However, the documents must be assessed in good time.

Interviews and applicant visits to the university and institute

The applicant interviews are generally held at the university and include an interview with the appointment committee, as well as a presentation and, where relevant, a demonstration lecture, which will either be public or open to all university staff and students, depending on how the university is set up. In the case of a demonstration lecture that is open to all university staff and students, it should be clarified in advance whether individuals from Leibniz institutions who do not already hold jointly appointed positions can attend.

The interviews can also be combined with an assessment centre to test competencies in greater detail. An external recruitment consultancy can be brought in to do this. In this case, the process can be expected to take longer and cost more.

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<sup>26</sup> Listed under 'Useful Links'.

In order to identify suitable candidates and to give them an impression of their potential workplace, the interviews should be combined with a tour and presentation of the university and the Leibniz institution. A visit to both institutions highlights the cooperative character of the joint appointment and gives the applicants an insight into their potential new working environment.

Requesting external reviews

After the interviews, an **unranked longlist** of the selected applicants, now candidates, is drawn up, and reviews – usually external – are requested from academic colleagues. This provides an external view of the candidates. If external reviews are requested, there should usually be at least two per candidate. In view of the expected response rate, a list of four reviewers should be drawn up, taking into account any conflicts of interest, and any regulations on defining external individuals and on equality.

Shortlist and committee report

At the third meeting of the appointment committee, the external reviews that have been received are discussed and, taking into account the results of the interviews, the candidates are placed on a **ranked shortlist**, e.g. a list of the top three candidates. If separate appointment committees are being used, an agreement should be reached with the committee at the Leibniz institution. This shortlist is presented to the faculty board for guidance and approval. At the same time, a confidential committee report is drawn up containing essential information about the process, such as information about the appointment committee, important decisions, selection criteria and a justification for the selection and/or the ranking.

Check by the governing bodies of the university and the Leibniz institution and, where relevant, the *Land*

Once the ranked shortlist has been accepted by the faculty board, if not sooner, the documents relating to the procedure are formally checked by the university administration. In addition, there is usually a meeting between the head of faculty and the head of the university about the shortlist, including a discussion of the resources available for the professorship. This is usually followed by a final position statement on the appointment procedure by the relevant university governing body, e.g. the academic senate. Depending on the *Land*, and in accordance with the position statement, the shortlist is either forwarded to the *Land* ministry or senate department or, in the case of independent universities (current example: TU Darmstadt), to the university administration.

If no joint appointment committee was set up, the separate appointment committee set up by the Leibniz institution must also draw up a ranked list that must be identical with the list agreed by the university's appointment committee. This means that an agreement should be reached in good time; both committees should keep exchanging views during the process since, in the event of dissent, either partner could hold up the process. Contract negotiations with the successful candidate do not start until the provisional offer (*Ruferteilung*) has been made.

In many *Länder*, a procedure review is usually carried out by the *Land* ministry or senate department. The focus is on checking compliance with

existing regulations, e.g. the relevant university regulations. A joint appointment can fall through even at this point if e.g. conflicts of interest are discovered subsequently, or if the report by the appointment committee is incomplete.

### 3.5 Completion of the process

Provisional offer ( <i>Ruferteilung</i> )	In most universities, the provisional offer is made by the relevant <i>Land</i> ministry or senate department and goes to the top candidate, following the procedure review. At some universities, the provisional offer ( <i>Ruferteilung</i> ) is made by the competent university governing body.
Bilateral negotiations	The appointment negotiations begin immediately afterwards, and are usually conducted by the university, in consultation with the Leibniz institution. Negotiations are conducted with the top candidate.
Offer	A written offer should be made within two weeks of the negotiations. The Leibniz institution can kick off the process by drafting an initial offer, including functional duties and special duties and, where relevant, a time limit. The aim should be to make unconditional offers, provided this is possible within the timeframe, and depending on the negotiating autonomy of the Leibniz institution. The offer is then generally sent to the top candidate, with a deadline for response to ensure planning certainty for the partners.
Candidate response	If the offer, and the appointment, are accepted, the hiring process is set in motion – either at the university or at the Leibniz institution, depending on the appointment model. Additional consultations and contracts may be necessary, depending on the model. From this point, the other candidates can be informed of the outcome of the process.
Medical examination	As part of the hiring procedure for an appointment as a civil servant, the candidate should have an examination by a medical officer. This medical appointment should be arranged as soon as possible because of potential wait times of several weeks. The medical examination does not have to be booked in the new place of employment, but can be done in another part of the country.
Signing contracts	Following a successful medical examination, the contract is signed and the candidate is appointed to the professorship.

### 3.6 Procedure participants

#### Supervisory Board of the Leibniz institution

Supervisory Board	Particularly in cases where an appointment is replacing someone at top management level, the Supervisory Board of the Leibniz institution should manage, and potentially instigate, the procedure, since the institute directors should not be involved in appointing a replacement. The
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recommendations of the Leibniz Equality Report 2017<sup>27</sup> highlight the responsibility of the Supervisory Boards in structuring the process and attracting suitable applicants. In the case of scientific directors, once the expression of interest has been submitted, the process is in the hands of the university. The Supervisory Board should ensure that any consultations on the vacancy involve the appointment committee(s), as far as possible, so that a uniform shortlist can be drawn up that will be acceptable to the Supervisory Board.

Delegating advisory members  
to the appointment committee

To ensure that the Leibniz institution's point of view and the person specification for candidates can be represented on the appointment committee, it is worth considering co-opting a scientific director from a related Leibniz institution that does not have a conflict of interest as an (advisory) member. This person can be involved both in the initial strategic discussions on the Supervisory Board and on the Scientific Advisory Board, and in the exploratory discussions with the university, as well as in an advisory capacity on the appointment committee. The Executive Board has drawn up implementation recommendations for delegating committee members in the Leibniz Appointments Standards.<sup>28</sup>

The use of external advisers should be agreed before the process starts, both internally and with the faculty and the chairperson of the appointment committee. In line with the Leibniz Appointments Standards, it is also possible to ask the Executive Board of the Leibniz Association to delegate individuals to act as committee members in an advisory capacity.

### **Advisory boards of the Leibniz institutions**

Advisory boards of the Leibniz  
institution

The advisory boards can advise the institute on the strategic focus of the position in the preparatory phase. The tasks, structure and process of the Scientific Advisory Boards and, where relevant, the user advisory boards, have been described by the Leibniz Association Senate in its recommendations of 26 November 2015.<sup>28</sup>

### **Institute directors**

Institute directors

Depending on the management level, the institute directors and/or the Supervisory Board committee of the Leibniz institution prepare the appointment. Joint appointments at middle management level can be based on long-term strategic considerations regarding the specialist focus of the institute, in some cases on the basis of strategic expansions connected with the university. Heads of department, for instance, are increasingly appointed by means of the joint procedure.

Replacements, whether because of retirement or people leaving for other roles, can be used as an opportunity to reassess the focus in the subject areas and, where relevant, to change the specialist field designation

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<sup>27</sup> Listed under 'Useful Links', recommendation 9, p. 5.

<sup>28</sup> Listed under 'Useful Links'.

(*Denomination*) of a position. Existing good partnerships with universities provide the basis for a quick process.

### University governing bodies and committees

University governing bodies and committees

Depending on how the university is set up, a number of different governing bodies and committees are involved in a joint appointment. These are usually the institute board, the faculty board, the rector's office or board of management and the senate. The process is led by the relevant faculty, which sets up the appointment committee and decides on the specialist field designation (*Denomination*) of the position. The other necessary governing bodies and committees are involved via the university administration.

### The competent *Land* ministry or senate department

*Land* ministry or senate department

The competent *Land* ministry or senate department is more or less closely involved in joint appointment procedures, depending on the law of the *Land* in question. In its role as awarding authority both for the university and for the Leibniz institutions, the *Land* ministry is familiar with both institutions. Depending on the local legislation governing higher education and the set-up of the universities, the *Land* ministry or senate department may also be responsible for the legal procedure review, for approving the position and, in some cases, making the provisional offer (*Ruferteilung*).

In some *Länder*, the universities have a list of posts that has to be revised before a joint appointment can take place. Like the Supervisory Boards, the *Land* ministry or senate department has no influence on the science-based selection of candidates.

### The competent federal ministry

Federal ministries

The competent federal ministry is involved in the Supervisory Boards of the Leibniz institutions as an awarding authority. The Supervisory Board is involved when the procedure is launched and in cases involving the appointment of an institute director.

### Appointment committee

Appointment committee

The appointment committee is set up by the university and can take the form of a joint appointment committee or two separate committees, with the committee at the university dealing with the professorship appointment, and the committee at the institute dealing with filling the post. The advantages and disadvantages of joint appointment committees are laid out in **Table 4**.

A joint appointment committee generally consists of the following individuals and, as a general rule, it should be ensured that the professors control the majority of the votes:

- Four chair-holders,
  - The head of faculty or their deputy is generally represented as well
  - Where appropriate, a member from an unrelated faculty
- One member from each of the other three status groups: academic staff, other staff and students
- In the case of a joint appointment committee, the Leibniz institution can delegate an equal number of members in each status group
  - The Leibniz institution cannot usually delegate members in the student status group

The composition of the committee, which is decided by the university, should take account of diversity and equality.

The following additional members without voting rights are generally invited to the meetings of the appointment committee:

- A representative of the technical and administrative staff
- An equal opportunities officer
- A disabled employees representative
- Other advisory members where appropriate, e.g. a scientific director of a Leibniz institution

### **Separate Leibniz appointment committee**

Separate Leibniz appointment committee

If no joint appointment committee is to be set up, the Leibniz institution generally sets up a separate Leibniz appointment committee (*Besetzungskommission*). The difference in name in German reflects the fact that the universities alone have the right to make professorship appointments, and allows for a clear identification of the two committees. A separate Leibniz appointment committee should be guided by the composition of the university appointment committee and involve the same status groups, where possible, and the relevant officers.

### **3.7 Communication with applicants**

Communication with applicants should always take account of the risk of potential legal disputes and associated delays. If a central contact person has been identified during the procedure, communication should be arranged via this person, where appropriate in consultation with someone well versed in legal matters. In general, announcements about procedures should be made by the lead organisation, i.e. the university.

### **3.8 Onboarding**

Onboarding starts before the first day of work and its aim is to make it easier for the appointee to settle in to the new organisation. Onboarding includes holding preparatory meetings, sending central documents and, where appropriate, drawing up a plan for the first day, including the key steps and contact points.

A mentoring arrangement with Leibniz colleagues is also a good idea as part of the onboarding process. During this time, a welcoming visit to the president/rector of the university and to the president of the Leibniz Association should also be arranged.

In the case of an appointment at top management level, Leibniz Headquarters also sends central documents and information about contact persons and governing bodies at the Leibniz Association.

### 3.9 Addendum: ad personam procedure

Ad personam procedures provide an opportunity in individual cases to speed up processes and recruit or retain outstanding individuals. Higher Education Acts vary between *Länder* as to how much leeway there is to deviate from the usual appointment procedure. Even in ad personam procedures, the candidate must pass an international competition in line with the principle of selecting the best candidate (Art. 33 (2) of the German Basic Law), and there must be competitive elements. It should be clearly communicated from the start of the recruitment process that an ad personam procedure is being followed. Bogus processes (ad personam procedures disguised as normal appointment procedures) should be avoided.

Ad personam procedures can be considered in the following situations:

- Proactive identification of an excellent candidate in an international context who the institution wants to recruit in an accelerated process e.g. because of serious competition
- Appointment of a candidate to top management level who is already employed at the institution, e.g. as a provisional director
- Appointment of an excellent researcher from within the Leibniz institution to middle management level in order to retain them
- Targeted programme for promoting women, e.g. the Leibniz Programme for Women Professors<sup>29</sup>

A combination of a proactive search and an ad personam procedure can offer advantages in terms of clarity and speed when it comes to recruiting excellent external candidates at top management level. However, ad personam procedures should generally include a public advertisement of the post and international competition, as set out in the Leibniz Appointments Standards. In individual cases, this competition may – in agreement with the university – be replaced, either partially or entirely, by other quality-assurance elements, such as earlier selection processes (Heisenberg professorship, ERC grant, an offer of a professorship from another university) or high-ranking international prizes. An appointment to top management level should always take place via a normal appointment procedure. This applies even if the individual in question has already been appointed to the position on a provisional basis, since a provisional

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<sup>29</sup> Listed under 'Useful Links'.

appointment is usually made under time pressure, without a regular selection process and comparable quality-assurance mechanisms.

To uphold the principle of selecting the best candidate, an ad personam procedure must ensure that the requirements and criteria for the candidates (see Section 6.1) are checked in a transparent and quality-assured process. The Leibniz institution should involve the university in this process at an early stage. Elements for selecting the best candidate can include:

- Earlier selection by a committee comparable with an appointment procedure
  - in a competition and/or
  - an appraisal process
- Evidence of prestigious awards (Gottfried Wilhelm Leibniz Prize, etc.)

It should be ensured that any ad personam procedure also satisfies the goal of increasing the proportion of women in leadership positions within the Leibniz Association.

### 3.10 Checklist for appointment procedures

Procedural step	When <sup>30</sup>	Note	Lead	Considerations	
<b>Section 3.1</b>					
Preparation by the Leibniz institution boards	1–2 years in advance		Leibniz institution		<input type="checkbox"/> Board/committee decisions
For appointments at top management level: Notify Leibniz President of planned procedure	1–3 months in advance	With indication of whether advice is requested (see implementation recommendations)	Leibniz institution		<input type="checkbox"/> Notification sent
<b>Section 3.2</b>					
Expression of interest	0	Start of the procedure	Leibniz institution		<input type="checkbox"/> Sent
Joint meeting	Week 1–2	Establish key points	University and Leibniz institution	Schedule meeting early on	<input type="checkbox"/> Meeting scheduled <input type="checkbox"/> Meeting held
Define purpose, set up appointment committee (AC), agreement with <i>Land</i> ministry	Week 3–24	Offer support: drafts, scouting	University	Respect board/committee deadlines	<input type="checkbox"/> Scouting list <input type="checkbox"/> Drafts <input type="checkbox"/> Members of AC appointed <input type="checkbox"/> (Advisory members) <input type="checkbox"/> Draft advertisement
Advertisement and publication	Week 25–28	Offer support	University		<input type="checkbox"/> Advertisement <input type="checkbox"/> Publication
<b>Section 3.3</b>					
Constitutive and 1st meeting of the appointment committee	Week 29	Schedule similar dates regardless of whether joint or separate committees	University and Leibniz institution	Schedule meeting early on	<input type="checkbox"/> 1st AC meeting

<sup>30</sup> Based on Berlin procedure

Procedures and responsibilities

Procedural step	When <sup>30</sup>	Note	Lead	Considerations	
<b>Section 3.4</b>					
Assess application documents, interviews, external reviews, shortlist, report	Week 30–50	Comply with application deadline, request external reviews	University and Leibniz institution	Agree dates early on	<input type="checkbox"/> 2nd AC meeting <input type="checkbox"/> 3rd AC meeting <input type="checkbox"/> (Shortlist) <input type="checkbox"/> (Report)
Governing bodies of university and Leibniz institution	Week 51–57	Involve all relevant bodies	University and Leibniz institution	Respect board / committee deadlines	<input type="checkbox"/> Governing bodies informed
<b>Section 3.5</b>					
Provisional offer ( <i>Ruferteilung</i> )	Week 58–61		<i>Land</i> ministry or, in some cases, university		
Negotiations	Week 62–68	Negotiation with top candidate	Leibniz institution, university and <i>Land</i> ministry	Close consultation with partners	<input type="checkbox"/> Offer made
Offer, response, medical examination, contract	Week 69–76	Acceptance of offer, medical examination	Leibniz institution and university	Schedule early on	<input type="checkbox"/> Offer accepted <input type="checkbox"/> Medical appointment <input type="checkbox"/> Contract
<b>Section 3.7</b>					
Communication with applicants	Week 69–75	Following successful negotiations and at least 2 weeks before announcement	University (or Leibniz institution where applicable)	Observe legal requirements	<input type="checkbox"/> Applicants informed
<b>Section 3.8</b>					
Onboarding	Week 77–92	Onboarding at Leibniz institution and university	Leibniz institution and university	Agree dates	<input type="checkbox"/> Onboarding prepared <input type="checkbox"/> Date fixed at university

## 4 Dos and Don'ts

Certain elements can help or hinder a fast, positive appointment procedure. This section presents a non-exhaustive list of lessons learned by Leibniz institutions and partner organisations. Some of them have already been covered in the sections of Chapter 3.

### 4.1 Measures that help

Some of the following helpful measures are generally applicable and some relate to particular stages of the joint appointment procedure:

#### Choice of partner

- Existing (close) cooperation with the university as a basis for expanding cooperation
- Shared strategic goals, now or in the future

#### Generally applicable

- Good, transparent communication between partners
- Open, trusting collaboration before and during the procedure
- Flexibility regarding the choice of model, depending on the requirements for the position in question. This could already be integrated in the cooperation agreement
- Understanding for the other partner's requirements, especially for the differences between the job specification for a director of a Leibniz institution and that of a university professor

#### Before the procedure starts

- Preliminary discussions with the university about the strategic considerations and aims of both institutions and the planned joint appointment
- Involvement of a university professor from the university faculty or institute in the internal discussions at the Leibniz institution to create transparency
- A joint appointment committee is generally thought to be more effective
- Identifying a contact person on both sides to support the procedure
- Establishing a central contact person for the applicants, preferably at the lead institution, usually the university
- Active recruitment to enlarge the pool of applicants, and securing acceptance for this early on. In the interests of equality, if not enough female candidates apply, active recruitment should be carried out

During the procedure

- Clear procedural steps

#### 4.2 Measures that hinder

Aspects that hinder the procedure should be avoided as far as possible, or resolved before the procedure starts:

Choice of partner

- If the university is not interested in joint appointments, the reasons for this should be explored. It could be that the university does not have any experience of them, or that it already has a large number of joint appointments and, as a result, the university professors fear losing control to external forces. This argument could be countered by referring to the shared strategic advantages for the location, where relevant with reference to joint projects with external funding, or excellence strategies and collaborative activities.
- In the case of divergent strategic visions, it may be possible to reconcile these in discussions or, if not, to consider another partner for this project. Partners in the same region should be the first choice. Joint appointments across regional boundaries are not uncommon but they are associated with additional implementation challenges. Differences in *Land* and university regulations make implementation more difficult.

Generally applicable

- Check which procedural steps are necessary and could be revised, where appropriate. The greater the number of procedural steps, the longer the procedure is likely to take. Some appointment regulations contain experimentation or escape clauses that allow the procedure to be shortened under certain conditions.
- Setting a fixed term for the management position at the Leibniz institution, an understandable provision when appointing someone at top management level, sometimes fuels fears that the appointment might revert to the university, since professorships are usually either permanent roles or can only have a time limit set once before being made permanent. Existing long-term partnerships and a good joint procedure on equal terms have the potential to alleviate these fears, which are usually unfounded. Although the risk of a joint appointment reverting to the university is extremely small at Leibniz institutions, it is usually not possible to rule out the risk completely through contractual provisions.
- The reversion option has frequently slowed down or completely halted procedures in recent times. In the interests of a good, lasting partnership, if an appointment does revert to the university, a solution should be found that does justice to both parties. This should be possible, particularly in view of the fact that supervisory boards of Leibniz institutions are usually chaired by representatives of the *Land* ministry or senate department, which

also funds the university in the case of joint appointments within the same region. See also the clause in the sample cooperation agreement in *GWK Book 37*<sup>31</sup>, which provides for sharing the burden – bearing in mind the original interests of the parties and in whose sphere the reversion was caused.

- The administrative effort for supporting joint appointees is higher for both sides than for direct employees. This should be taken into account and appropriate resources put in place.

Before the procedure starts

- The size of the committee should be clarified in advance. The bigger the committee, the harder it is to schedule meetings. This could be a disadvantage of a joint appointment committee.
- Different requirements for applicants on the part of the university and the Leibniz institution should be clarified at the start of the process. A director position in a Leibniz institution requires a greater focus e.g. on management skills.

During the procedure

- The decision-making power of the Leibniz institutions regarding salary negotiations is sometimes very limited and only possible in consultation with the *Land* ministry or senate department. Only a few institutions have the ability to act relatively freely, let alone to facilitate contracts similar to civil service contracts.

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<sup>31</sup> Listed under 'Useful Links'.

## 5 Useful links

Leibniz Appointments  
Standards

<https://www.leibniz-gemeinschaft.de/en/about-us/whats-new/media-centre/publications/standards-for-the-appointments-to-academic-management-positions-within-the-leibniz-association.html#c3747>

**Key words:** *procedural standards in the Leibniz Association; equality; active recruitment*

Implementation  
recommendations for Leibniz  
Appointments Standards (in  
German only)

<https://www.leibniz-gemeinschaft.de/umsetzungsempfehlungen-besetzungsstandards>

**Key words:** *procedural standards in the Leibniz Association*

Joint appointments GWK Book  
37 (in German only)

<https://www.gwk-bonn.de/fileadmin/Redaktion/Dokumente/Papers/GWK-Heft-37-Gemeinsame-Berufungen.pdf>

**Key words:** *appointment models: Berlin, Berlin Hybrid, Jülich, Karlsruhe and Thuringian Model; sample cooperation agreement; legal basis*

Joint appointments GWK Book  
2 (in German only)

<https://www.gwk-bonn.de/fileadmin/Redaktion/Dokumente/Papers/GWK-Heft-02-Gemeinsame-Berufungen.pdf>

**Key words:** *Stuttgart Model; legal basis*

Higher Education Acts of the  
Länder (in German only)

<https://www.hochschulverband.de/hochschulgesetzsammlung.html>

**Key words:** *Higher Education Acts of the Länder; legal basis*

Binnendifferenzierung der  
Professur - Interdisziplinäre  
Analysen zu Hochschulrecht  
und hochschulischer Praxis (in  
German only)

[https://www.repo.uni-hannover.de/bitstream/handle/123456789/9813/Binnendifferenzierung\\_der\\_Professur.pdf](https://www.repo.uni-hannover.de/bitstream/handle/123456789/9813/Binnendifferenzierung_der_Professur.pdf)

**Key words:** *appointment models, Open Topic Call for proposals, legal analysis of the Higher Education Acts of the Länder; legal basis, case studies*

Comparison of recruitment age  
limits by Land (in German only)

[https://www.hochschulverband.de/fileadmin/redaktion/download/pdf/info\\_blaetter/Einstellungsaltersgrenzen.pdf](https://www.hochschulverband.de/fileadmin/redaktion/download/pdf/info_blaetter/Einstellungsaltersgrenzen.pdf)

**Key words:** *Comparison of recruitment age limits by Land; legal basis*

Leibniz Programme for Women  
Professors

<https://www.leibniz-gemeinschaft.de/en/research/leibniz-competition/leibniz-programme-for-women-professors.html>

**Key words:** *Leibniz Programme for Women Professors; equality; career support*

Examples of appointment  
guidelines (in German only)

University of Freiburg: <http://www.zuv.uni-freiburg.de/formulare/berufungsleitfaden.pdf>

Friedrich-Alexander University Erlangen-Nuremberg:

[https://www.verwaltung.zuv.fau.de/files/2020/03/Berufungsleitfaden\\_FA\\_U.pdf](https://www.verwaltung.zuv.fau.de/files/2020/03/Berufungsleitfaden_FA_U.pdf)

Technische Universität Berlin: [https://www.tu-](https://www.tu-berlin.de/fileadmin/ref24/wc/uploads/Handreichung_Berufungsverfahren_Dez_2019.pdf)

[berlin.de/fileadmin/ref24/wc/uploads/Handreichung\\_Berufungsverfahren\\_Dez\\_2019.pdf](https://www.tu-berlin.de/fileadmin/ref24/wc/uploads/Handreichung_Berufungsverfahren_Dez_2019.pdf)

University of Bremen: [https://www.uni-bremen.de/fileadmin/user\\_upload/sites/referate/referat06/3.1.3.1.Berufungsleitfaden\\_2020\\_15.pdf](https://www.uni-bremen.de/fileadmin/user_upload/sites/referate/referat06/3.1.3.1.Berufungsleitfaden_2020_15.pdf)

University of Duisburg Essen: [https://www.uni-](https://www.uni-due.de/imperia/md/content/zentralverwaltung/berufungsmanagement/berufungsleitfaden.pdf)

[due.de/imperia/md/content/zentralverwaltung/berufungsmanagement/berufungsleitfaden.pdf](https://www.uni-due.de/imperia/md/content/zentralverwaltung/berufungsmanagement/berufungsleitfaden.pdf)

Leipzig University: [https://www.uni-](https://www.uni-leipzig.de/fileadmin/ul/Dokumente/140721_gendersensibler-Berufungsleitfaden.pdf)

[leipzig.de/fileadmin/ul/Dokumente/140721\\_gendersensibler-Berufungsleitfaden.pdf](https://www.uni-leipzig.de/fileadmin/ul/Dokumente/140721_gendersensibler-Berufungsleitfaden.pdf)

**Key words:** *procedure examples; composition of appointment committees; equality; transparency; legal basis*

<https://www.leibniz-gemeinschaft.de/gantt-chart-verfahrensverlauf> (Excel table)

Gantt chart for joint appointment procedures (in German only)

**Key words:** *examples of procedures; planning appointment procedures*

<https://www.leibniz-gemeinschaft.de/leitsaetze-unseres-handelns>

Guiding Principles for our Actions in the Leibniz Association (in German only)

**Key words:** *integrity; transparency; equality; career support*

<https://www.leibniz-gemeinschaft.de/karriereleitlinie>

Leibniz guidelines on career development

**Key words:** *equality; career support; transparency*

<https://www.leibniz-gemeinschaft.de/gleichstellungsstandards>

Leibniz Equality Standards (in German only)

**Key words:** *equality*

<https://www.leibniz-gemeinschaft.de/gleichstellungsbericht17>

Leibniz Equality Report 2017

**Key words:** *equality; active recruitment; procedures at Leibniz institutions*

<https://www.leibniz-gemeinschaft.de/gleichstellungsbericht20>

Leibniz Equality Report 2020

**Key words:** *equality; active recruitment; procedures at Leibniz institutions*

## Useful links

The DFG's Research-Oriented Standards on Gender Equality (in German only)

[https://www.dfg.de/download/pdf/foerderung/grundlagen\\_dfg\\_foerderung/chancengleichheit/forschungsorientierte\\_gleichstellungsstandards\\_2017.pdf](https://www.dfg.de/download/pdf/foerderung/grundlagen_dfg_foerderung/chancengleichheit/forschungsorientierte_gleichstellungsstandards_2017.pdf)

[https://www.dfg.de/download/pdf/foerderung/grundlagen\\_dfg\\_foerderung/chancengleichheit/fog\\_empfehlungen\\_2020.pdf](https://www.dfg.de/download/pdf/foerderung/grundlagen_dfg_foerderung/chancengleichheit/fog_empfehlungen_2020.pdf)

**Key words:** *equality; active recruitment*

Platforms and databases for active recruitment

[www.academia-net.org](http://www.academia-net.org)

**Key words:** *equality; active recruitment; database*

<https://www.gesis.org/femconsult/home>

**Key words:** *equality; active recruitment; database*

Organisation and Tasks of the Leibniz Institutes' Scientific Advisory Boards

<https://www.leibniz-gemeinschaft.de/en/about-us/evaluation/quality-assurance-by-scientific-advisory-boards-at-leibniz-institutions.html>

**Key words:** *tasks and composition of advisory boards*

Leibniz Association budgets (in German only)

<https://www.gwk-bonn.de/fileadmin/Redaktion/Dokumente/Papers/Handreichung-Haushalte-Leibniz.pdf>

**Key words:** *legal basis; background knowledge about Leibniz institutions*

Leibniz Association logos (webpage in German only)

<https://www.leibniz-gemeinschaft.de/ueber-uns/neues/presse/logos.html>

## 6 Appendices

### 6.1 Candidate specifications and other guidelines in the Leibniz Association

Competencies that a candidate should have in order to lead a Leibniz institution, and person specification for candidates:<sup>32</sup>

- Excellence in research
- Future potential of the applicant and/or of the research field
- Experience in setting up and running research infrastructure, where relevant
- Leadership skills
- Teaching and supervision skills
- Relevant experience in industry or the private sector, where relevant
- Good track record in technology and knowledge transfer
- Good track record in science communication
- Active support for the Leibniz Association/academic community/society

In addition, the Leibniz Association has produced several guidelines that form the framework for managing a Leibniz institution. Particularly noteworthy are the *Guiding Principles for our Actions in the Leibniz Association*, the *Leibniz Guidelines on Career Development* and the *Leibniz Equality Standards*<sup>33</sup>.

### 6.2 Sample advertisement

The sample advertisement provides a framework for advertising a joint position. Many universities have their own guidelines for job advertisements that should be taken into account. The aim of the joint advertisement is to present the future role and the partners.

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<sup>32</sup> See also Leibniz Appointments Standards p. 9, listed under 'Useful Links'.

<sup>33</sup> All of these can be found under 'Useful Links'.

University logo

Leibniz institution logo

Applications are invited for the following position at *[university name and/or faculty]* and the *[Leibniz institution]* by *[application deadline]* to be appointed in a joint procedure:

**W1/2/3 Professor of *'[specialist field]'***

with simultaneous appointment as

**Head of the *'[name] institute / department / programme area'***

The appointment will follow the *[model]* *[and is initially for a fixed term of X years]*. *[The appointment as head of the institute is for X years, in accordance with the statutes/contract. [The intention is to [convert the position to a permanent contract and] re-appoint the same individual at the end of the fixed term.]*

*[Reference number, where applicable]*

*[Short paragraph about the university]*

*[Short paragraph about the Leibniz institution]*

***[Job description]***

We are searching for an individual with a proven international track record *[other abilities, where relevant]* in *[specialist area]*. The focus of your research should be in *[research areas, specialist fields, methods]*. The professorship entails teaching 2 semester periods per week at *[university]* in the area of *[subject area/courses]*.

***[Expected qualifications]*** *[the mandatory and 'nice to have' criteria should be clearly mentioned.]*

The successful candidate is expected to demonstrate outstanding academic qualifications and teaching abilities. An excellent track record in *[one/several]* of the following specialist areas is essential: *[list specialist areas]*. *[A willingness to work with / Very good links to] [other research areas / other faculties / other professorships / other institutes / industry / society / at international level]* is/are a requirement. Experience of successfully managing *[large]* research groups *[managing staff, managing research]* and in applying for third-party funding *[is a key requirement / is desirable]*.

*[Where relevant, refer to the requirements for recruitment under the Higher Education Act of the Land in question]*

*[Give contact details of central contact person and subject specialist contact person]*

*[Mention the interview dates at this stage, where applicable]*

The *[university]* and the *[Leibniz institution]* want to increase the proportion of women in research and teaching and explicitly encourage qualified female researchers to apply. *[Where candidates are equally qualified for the role, women will be given preference within the bounds of legal possibility.]* We value diversity and therefore welcome all applications – regardless of gender, nationality, social background, religion or age. Where applicants are otherwise equally qualified, people with disabilities will be given preference. *[The university and the Leibniz institution offer couples and families support through a dual career service.]* *[We explicitly refrain from asking for photos, and request that you do not send any.]*

Your application with the usual documents *[CV, copies of certificates and documents, lists of publications and courses taught, teaching portfolio, experience of acquiring and running projects with third-party funding, etc.]* should be submitted *[preferably in electronic form]* *[mentioning the reference number]* by *[date]* to *[email address, website, postal address]*.

Additional logos, e.g.  
Total E-Quality

Additional logos, e.g.  
audit

Leibniz Association  
logo, where appropriate

## 7 Index

- ad personam procedure . 15, 20, 27–28
- advisory boards ..... 24
- applicants..... 21, 22
- appointment committee 16, 19–22, 24, 25
- appointment models ..... 5, 8, 9, 34
- appointment negotiations ..... 23
  
- Berlin Hybrid Model..... 5, 7, 34
- Berlin Model ..... 5, 6, 7, 8, 9, 34
  
- candidates ..... 21, 22, 24, 37
- conflict of interest ..... 19
- cooperation agreement.... 8, 12, 31, 34
  
- delegating advisory members ..... 24
- dos and don'ts ..... 31
  
- equality ..... 34, 35
- expression of interest ..... 16
  
- faculty board..... 19, 22
- federal ministry..... 25
  
- Guiding Principles for our Actions ... 35, 37
- GWK Book 2 ..... 5, 34
- GWK Book 37 ..... 5, 33, 34
  
- Higher Education Act ..... 34
  
- institute board ..... 17
- institute directors ..... 24
- interview ..... 21
  
- job advertisement..... 17, 20
- joint discussion ..... 16
- Jülich Model..... 5, 6, 7, 8, 9, 34
  
- Karlsruhe Model ..... 5, 6, 7, 8, 9, 34
  
- Land* ministry ..... 22, 23, 25
  
- Leibniz Appointments Standards .3, 24, 34
- Leibniz Equality Report.....19, 23, 35
- Leibniz Equality Standards ..... 35, 37
- Leibniz Programme for Women  
Professors ..... 27, 34
- length of procedure ..... 12
  
- middle management level..... 15
  
- onboarding ..... 26
  
- provisional offer (*Ruferteilung*) ..... 23
  
- recruitment age limit .....8, 34
- recruitment consultancy ..... 19, 21
- retirement vacancy ..... 12
- reversion ..... 32
- reversion (*Rückfall*) .....9, 32
  
- Scientific Advisory Board...*see* advisory boards
- separate Leibniz appointment  
committee..... 22, 26
- shortlist ..... 22
- specialist field designation  
(*Denomination*)..... 16, 19
- strategic discussions..... 14
- Stuttgart Model.....5, 7, 34
- Supervisory Board ..... 15, 23
  
- talent scout list..... 17
- Thuringian Model..... 5, 6, 7, 8, 9, 34
- timetable .....3, 17, 18
- top management level ..... 14
- transparency .....14, 28, 31
  
- unconscious bias ..... 20, 21
- university administration ..... 22
- university governing bodies ..20, 22, 25
  
- value added tax ..... 10

# A Guide to Planning and Carrying out Joint Appointments at Leibniz institutions

## Published by

President of the Leibniz Association

Matthias Kleiner

Chausseestrasse 111

10115 Berlin, Germany

[info@leibniz-gemeinschaft.de](mailto:info@leibniz-gemeinschaft.de)

[www.leibniz-gemeinschaft.de](http://www.leibniz-gemeinschaft.de)

## Editors

Felix Kießling, Leibniz Headquarters

Bettina Böhm, Secretary General of the Leibniz Association

## Design

Natalia Göllner, Leibniz Headquarters

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The Leibniz Association will review this guide at regular intervals to check whether it needs updating and develop it further.