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# GUIDELINES FOR HEADS OF DEPARTMENT - ASSOCIATE PROFESSOR APPOINTMENTS

AT HEALTH, AARHUS UNIVERSITY

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Prepared by the faculty management team, Health.  
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## Table of contents

1. General information on associate professor appointments .....	2
1.1 Delegation.....	2
1.2 Scope of the guidelines.....	2
1.3 Target group and legal framework.....	2
1.4 Recruitment norms .....	2
2. Appointment process for associate professorships .....	3
3. General information on job advertisements, assessment committees and appointments....	6
3.1. Job advertisements .....	6
3.1.1 Exemptions to the requirements for job advertisements.....	7
3.2 Search Committee.....	7
3.3 Appointment committee.....	7
3.3.1 Composition of the appointment committee for permanent associate professorships .....	8
3.3.1 Composition of the appointment committee for fixed-term associate professorships .....	8
3.4 Assessment Committee .....	8
3.4.1 Definition of an assessment committee .....	9
3.4.2 Eligibility requirements for assessment committees.....	9
3.4.3 Composition of the assessment committees.....	9
3.4.4 Recommendation of members to the assessment committee.....	9
3.4.5 Approval of assessment committees.....	10
3.4.6. Remuneration .....	10
3.4.7 Assessment .....	10
3.4.7.1 Requirements and content .....	10
3.4.7.2 Period of validity .....	10
3.4.8 Approval of assessments.....	11
4. Recommendation for interview and participation in interview .....	11
5. Recommendation and decision regarding appointment .....	11
6. General recruitment information .....	11
6.1 Expenses in connection with recruitment .....	11
6.2 Objections regarding assessment.....	11
6.3 Duty of disclosure upon request .....	12
7. Earmarked grants.....	12
8. Visiting associate professor.....	12
9. Use of shortlisting.....	12
9.1 Prerequisites for the use of shortlisting.....	12
9.2 Shortlisting process.....	12

## 1. General information on associate professor appointments

### 1.1 Delegation

The Dean is responsible for recruitment at Health and for ensuring that appointments take place in accordance with applicable laws, rules and guidelines. The Dean has delegated the recruitment authority to the Vice-dean for Research in accordance with these faculty guidelines.

### 1.2 Scope of the guidelines

These guidelines cover the appointment of associate professors at Aarhus University (AU), Health, regardless of geographical location.

The guidelines cover all associate professor appointments, regardless of whether the appointment is financed by ordinary or external funding or is exempted from the requirement for job advertisement in accordance with the Appointment Order's section 7 (appointment without advertisement), section 8 (earmarked grants) and section 9 (appointment and renewal for up to one year).

### 1.3 Target group and legal framework

The target group for these guidelines are Heads of Department at Health. The guidelines are based on the following applicable legislation and guidelines:

- The University Act:
- Aarhus University's By-laws: <http://www.au.dk/en/about/organisation/index/rules-regulations/01/01-02-aarhus-university-by-laws/> "The ministerial order on appointment of academic staff at universities" (The Appointment Order).
- Circular on the agreed minutes for certain terms of employment for academic staff at universities
- Memorandum of 2013 on the job structure for academic staff at universities
- Consolidation Act on Fixed-Term Employment
- The salary scale of the Danish Ministry of Finance

### 1.4 Recruitment norms

The field of applicants for scientific positions at associate professor level must reflect the recruitment norms. Both genders must thus as far as possible be represented among the applicants – while also taking academic considerations into account. These opportunities should be explored by a search committee before the position is advertised.

## 2. Appointment process for associate professorships

Below is a general checklist for the appointment process for associate professor positions.

<b>CHECKLIST: APPOINTMENT TO ASSOCIATE PROFESSOR POSITIONS</b>	
The checklist also includes – with relevant modifications – positions that <u>are not advertised</u> in accordance with the Appointment Order's Sections 7 (appointment without advertisement <sup>1</sup> ), 8 (earmarked grants) and 9 (appointment and renewal for up to one year).	
<b>JOB ADVERTISEMENT</b>	
<b>Department management team</b>	Discusses the proposal for appointment within the given subject area based on the department's recruitment strategy, as well as proposals for appointment committee and search committee with the departments associate professors, senior researchers and professors or representatives of these groups.
<b>Head of Department</b>	<p>Consults with the Vice-dean for Research in connection with all associate professorships. As a basis for consultation and based on the department's recruitment strategy, the department describes the following recruitment package:</p> <ul style="list-style-type: none"> <li>• Ambitions for the position .</li> <li>• Job profile (including professional advertisement text with the desired qualification requirements in areas such as research and teaching assignments, external funding, etc.)</li> <li>• Financing.</li> <li>• The option of a "start package" for associate professors (salary, access to laboratories, facilities etc.).</li> <li>• Preliminary proposal for the assessment committee (in particular assessors from outside AU).</li> <li>• Proposal for a search committee.</li> <li>• Preliminary proposal for an appointment committee.</li> <li>• Preliminary process plan for current recruitment (supported by HR).</li> </ul>
<b>Head of Department</b>	Appoints search committee.
<b>Head of Department</b>	Sends the job advertisement text to HR.
<b>HR</b>	Assists with advice on the formal requirements of the advertisement text, choice of media, schedule for the whole appointment process etc. As a rule, Associate Professorships must be advertised internationally.
<b>HR</b>	Incorporates the text of the advertisement/academic text in the e-recruitment system.
<b>HR</b>	Sends the advertisement text via the e-recruitment system for approval by the Head of Department.
<b>Head of Department</b>	Approves the job advertisement and informs HR if others than the appointment committee, including the Head of Department and the Vice-dean for Research, should have access to the management portal and thereby the job advertisement and the applications. (For Sections 7, 8 & 9, approves the academic job description).
<b>HR</b>	Publishes the job advertisement in the selected media always including AU's website and jobnet.dk.

<sup>1</sup> Appointing internal candidates without prior advertisement is not possible.

HR	Gives the Head of Department and other relevant persons access to the management portal.
<b>APPLICATION</b>	
Applicant	Sends the application, along with supplementary material, electronically via a link in the job advertisement to HR via AU's website (the e-recruitment system).
HR	An automatic confirmation that the application has been received is sent to the applicant via the e-recruitment system.
<b>SELECTION OF APPOINTMENT COMMITTEE MEMBERS</b>	
HR	<p>After the expiry of the deadline for applications, sends the names of the applicants via the e recruitment system to the Head of Department and requests that the Head of Department submit a proposal for the appointment of an appointment committee<sup>2</sup>. The Head of Department is automatically chair and the Vice-dean for Research is a permanent member for permanent associate professorships.</p> <p>See section 3.3.1 for the composition of committees for permanent associate professors and section 3.3.2 of the composition of committees for fixed term associate professorships.</p>
<b>RE-ADVERTISEMENT</b>	
Head of Department	After the deadline, in the case of <b>permanent associate professorships</b> , the Head of Department assisted by the appointment committee and the chair of the assessment committee, must determine whether there has been a sufficient number of qualified applicants. The assessment includes factors such as qualifications, diversity and research field. If the assessment is that there has not been a sufficient number of qualified applicants, the position must be readvertised.
<b>SHORTLISTING</b>	
Head of Department	Decides - with the assistance of the appointment committee and the chair of the assessment committee - which applicants should receive an academic assessment in accordance with the job advertisement.
HR	Sends notification immediately after selection to those applicants whose applications are not being sent for assessment. Final rejections are sent at the conclusion of the recruitment process.
<b>ESTABLISHMENT OF THE ASSESSMENT COMMITTEE</b>	
HR	After the expiry of the deadline for applications, sends the names of the applicants via the e-recruitment system to the Head of Department and requests that the Head of Department submit a proposal for the appointment of the committee <sup>3</sup> , including the appointment of the chair of the committee. In addition, HR sends declaration of impartiality forms to the Head of Department. See Section 3.4.3 for composition of the committee.
Department management team	Sends the declaration of impartiality forms to the members of the committee for signing.
Head of Department	<p>Recommends the committee (via link in the e-recruitment system) by registering the names of members of the committee together with the following information:</p> <ul style="list-style-type: none"> <li>• Statement of the name, position, place of employment, country and email address of the proposed member of the assessment committee.</li> <li>• CVs must be submitted via a URL.</li> </ul>
Head of Department	Replies to the request from HR via the e-recruitment system for the appointment of a committee and attaches signed declarations of impartiality. The Head of Department has thereby registered the committee.

<sup>2</sup> Appointment committees are required for all advertised associate professorships, regardless of whether shortlisting is used or not.

<sup>3</sup> An emeritus cannot be a member of an assessment committee. The holder of an honorary title can be a member of an assessment committee.

<b>HR</b>	Sends the list of committee members to consultation in the academic council with a three-day consultation period. The Head of Department's recommendation and the job advertisement/academic text must be attached.
<b>The Academic Council</b>	Undertakes consultation on the committee.
<b>HR</b>	If HR does not receive any comments from the Academic Council within three days, HR sends the proposal for the composition of the committee to the Head of Department for final approval.
<b>Head of Department</b>	Approves and appoints the committee.
<b>HR</b>	Informs the applicants via the e-recruitment system of the composition of the committee and the deadline for completion of their assessment work.
<b>HR</b>	Sends an email to the members of the committee with access to the job advertisement and with the applicants' material via the e-recruitment system. The email also contains online access to the faculty's relevant guidelines and policies as well as current rules on assessment and appointments.
<b>ASSESSMENT</b>	
<b>Committee</b>	Assesses the applicants' academic level. For associate professor assessments, the committee has - depending on the number of applicants - 6-10 weeks to complete the assessment work, unless otherwise agreed.
<b>Committee</b>	Prepares a written assessment of each applicant.
<b>Chair of the committee</b>	Enters the committee's joint assessment of each applicant in an online form in the e-recruitment system.
<b>HR</b>	Sends all the assessments for validation by the committee with a deadline of two working days.
<b>Committee</b>	Validates the assessments.
<b>HR</b>	After two working days, HR sends the assessments for approval by the Head of Department.
<b>Head of Department</b>	Approves the assessments.
<b>HR</b>	Sends the individual assessment for each applicant.
<b>HR</b>	Ensures that the committee is reimbursed in accordance with current rules and guidelines.
<b>JOB INTERVIEWS AND RECOMMENDATION FOR APPOINTMENT</b>	
<b>Department management team/Vice-dean for Research</b>	<p>Selects applicants for interview on the basis of the committee's assessment.</p> <p>Between the first and second interview, a trial lecture may be held before recommendation for appointment and meetings may also be arranged with the relevant academic environments.</p> <p>The appointment committee (the Head of Department/Secretary) calls applicants and invites them to an interview.</p> <p>The Head of Department obtains relevant references after agreement with the candidate.</p> <p>The appointment committee advises the Head of Department on the recommendation for appointment. The Head of Department <u>can</u> now discuss the recommendation with the department management team, before the Head of Department takes a decision regarding which applicant is to be recommended for appointment.</p>

<b>Head of Department</b>	(Via HR) sends a recommendation to the Vice-dean for Research.
<b>Vice-dean for Research</b>	Determines whether the recommendation can be accepted and sends (via HR) a reply about appointment to the Head of Department.
<b>Head of Department</b>	Recommends the appointment via the employee registration system ( <i>medarbejderstamkort</i> ).
<b>OFFER OF EMPLOYMENT</b>	
<b>Head of Department</b>	Informs the chosen candidate of the offer of employment and that a salary offer will be prepared as soon as possible.
<b>Head of Department</b>	Discusses the pay level with HR prior to the salary negotiations.
<b>HR</b>	Prepares the salary offer and sends this to the selected candidate with a copy to the relevant union representative.
<b>HR</b>	Assists in salary negotiations.
<b>Head of Department</b>	Once the chosen candidate has accepted the salary offer, the Head of Department informs any internal applicants as well as applicants who were invited to an interview that their applications were rejected.
<b>Head of Department</b>	Provides HR with the names of those who have been to a job interview or were internal applicants and informs HR that rejections can be sent to all other applicants.
<b>HR</b>	Prepares an employment contract and sends it to the candidate in question.
<b>HR</b>	Sends rejection letters to the other applicants via the e-recruitment system and as agreed with the Head of Department.
<b>OTHER</b>	
<b>HR</b>	Undertakes the required registering in AUHRA, HR Payroll, researcher recruitment statistics and files the relevant personnel case documents in Workzone.

### 3. General information on job advertisements, assessment committees and appointments

Appointments of associate professors must take place on the basis of the applicable guidelines for recruitment and in accordance with AU's seven norms for the recruitment of academic staff. Appointments at Health must be based on the specific recruitment strategy which must in turn comply with the general guidelines at Health.

#### 3.1. Job advertisements

The department management team discusses the proposal for appointment within the given subject area based on the department's recruitment strategy, as well as proposals for appointment committee and search committee with the departments' associate professors, senior researchers and professors or representatives of these groups.

The Head of Department then describes/presents a recruitment package for the Vice-dean for Research:

- Ambitions for the position.
- Job profile (including professional advertisement text with the desired qualification requirements in areas such as research and teaching assignments, external funding, etc.).
- Financing.
- "Start package" for associate professors (salary, access to laboratories, facilities etc.).
- Preliminary proposal for the assessment committee (in particular assessors from outside AU).
- Proposal for a search committee.
- Preliminary proposal for an appointment committee.
- Preliminary plan for current recruitment (supported by HR).

All positions at associate professor level must be broadly formulated and advertised both nationally and internationally, unless special academic circumstances apply (see the Appointment Order, section 3). The Head of Department is authorised to decide how this requirement can be most appropriately complied with.

#### Shortlisting

If shortlisting is used, it must clearly be stated in the job advertisement in question that shortlisting is possible.

Shortlisting refers to a process in which a small number of applicants are selected for an academic assessment from the total pool of applicants. The applicants selected for this assessment are those who are - on the basis of an academic assessment - assessed as best able to meet the relevant qualifications, competences, experience and potential demanded in the job advertisement.

The qualification requirements in the job advertisement must provide the basis for shortlisting, assessment and final recommendation and must therefore be considered very carefully.

For further information see section 9 "Use of shortlisting".

### 3.1.1 Exemptions to the requirements for job advertisements

As a rule, all academic positions covered by the job structure must be advertised. However, the following exceptions<sup>4</sup> apply<sup>5</sup>:

- Pursuant to section 9 of the Appointment Order, appointments/extensions in all job categories can take place without prior advertisement for periods of employment of less than one year and subsequent extensions of one year (two years in total). Foreign Professors and Associate Professors may, however, be appointed for a period of up to two years and subsequent extensions of one year (three years in total).
- Appointments for fully externally financed earmarked<sup>6</sup> grants (see the Appointment Order, section 8).
- Appointments to Associate Professorship positions following appointment without advertisement (see section 7 of the Appointment Order), can only take place in very special cases and presuppose approval by the Vice-dean for Research. Appointment without advertisement may not take place with internal candidates.

### 3.2 Search Committee

A search committee is appointed when associate professorship positions are advertised. However, the faculty has decided that fully externally funded<sup>7</sup> associate professorships are exempt from the requirements for a search committee. This means that associate professorships which are not fully externally financed and earmarked a named person, must be advertised and a search committee must be appointed.

Search committees are a requirement in order to ensure a sufficiently large, diverse pool of high-quality applicants (external applicants, international applicants and applicants of both genders). A search committee is composed of at least three professors/associate professors from the research area in question. It is recommended that one of the members is international, e.g. in the form of an honorary professor.

The search committee examines the international market by using their network or similar within the field of research in question. Both genders must thus as far as possible be represented among the applicants, while also taking academic considerations into account. Potential candidates are invited for a site visit which includes giving lectures etc. Potential candidates are then encouraged to apply for the position when the position is advertised.

### 3.3 Appointment committee

The selection of the appointment committee's members takes place either concurrently with the preparation and finalisation of the job advertisement or immediately after the approval of the job advertisement.

<sup>4</sup> Following a specific individual assessment, the Vice-dean for Research has the authority to grant exemption from Health's local guidelines.

<sup>5</sup> For appointments and extensions in accordance with sections 8 and 9, the ordinary rules for the appointment of assessment committees are used.

<sup>6</sup> "Earmarked" funds are defined as those where one hundred per cent of the position is financed for a specific candidate.

<sup>7</sup> Full externally financed means that a position is 100 % financed by external grants. This means that there is a requirement for a search committee as soon as the financing sub-statement 1 funds.

### 3.3.1 Composition of the appointment committee for permanent associate professorships

An appointment committee is set up<sup>8</sup> which undertakes appointments to **permanent associate professorships**.

- The Head of Department is chair.
- The Vice-dean for Research is included as a permanent member.
- Relevant tenured (as a rule) members of scientific staff.

The Head of Department is responsible for ensuring that the composition of the appointment committee is also discussed by the department management team.

See the "Guidelines for appointment committees" for more information on the committee's tasks.

### 3.3.1 Composition of the appointment committee for fixed-term associate professorships

An appointment committee is set up<sup>9</sup> which undertakes appointments to **fixed-term associate professorships**.

- The Head of Department is chair.
- Relevant tenured (as a rule) members of scientific staff.

The Head of Department is responsible for ensuring that the composition of the appointment committee is also discussed by the department management team.

See the "Guidelines for appointment committees" for more information on the committee's tasks.

## 3.4 Assessment Committee

The Appointment Order lays down the general rules for the appointment of academic staff in accordance with section 4:

**Section 4.** *"The university determines the rules for the academic assessment of applicants for academic positions.*

*(2) The academic assessment committee must decide whether the applicants possess the required academic qualifications within research, teaching, communication, etc., as prescribed by the job structure, and whether they meet any other qualification requirements specified in the job advertisement. A non-prioritised, substantiated, written assessment of the applicants' qualifications must be submitted to the rector. If there are any differences of opinion between the members of the assessment committee, this must be stated in the assessment."*

The senior management team at AU has laid down the overall guidelines for the selection of members of assessment committees at AU in the spring of 2013. The guidelines should be seen as a framework. Each faculty has had the opportunity to add its input to and possibly narrow down this framework.<sup>10</sup>

Pursuant to the Ministerial Order on Appointment of Academic Staff at Universities and AU's general guidelines for academic assessment in connection with the appointment of academic staff (with/without advertisement) as well as extensions, the faculty management team at Health has adopted the following guidelines for the composition of assessment committees. (See Section 3.4.3).

The appointment of assessment committees should seek to ensure an equal distribution of men and women.

<sup>8</sup> Positions that are not advertised are exempt from the requirement for an appointment committee.

<sup>9</sup> Positions that are not advertised are exempt from the requirement for an appointment committee.

<sup>10</sup> See the memo on the composition of assessment committees at Health in accordance with AU's internally agreed framework of 9 August 2013, Section 1.

### 3.4.1 Definition of an assessment committee

#### Assessment committee:

An assessment committee prepares an assessment.

### 3.4.2 Eligibility requirements for assessment committees

To ensure that the assessment of applicants for scientific positions is not affected by irrelevant considerations, no member of the committee may be judged unqualified to serve or at risk of having a conflict of interest in relation to individual assessments. Health bases its decisions on the regulations in the Danish Public Administration Act concerning impartiality, which relates to e.g. family relations, friendships and special personal and financial interests.<sup>11</sup> This may, for example, include co-publication, supervisor relations or other types of cooperation, which cannot be considered compatible with the role as assessment committee member in relation to the advertised position.<sup>12</sup>

At Health, members of assessment committees may only to a very limited extent be involved in joint publications and projects with applicants, and **only in exceptional cases** may have been involved in any joint publications within the past five years<sup>13</sup> (see Declaration of impartiality).

Furthermore, Deans, Vice-deans and Heads of Department may not act as members of an assessment committee, as they are a part of the management and therefore have authority to make decisions regarding appointments.

### 3.4.3 Composition of the assessment committees

For the composition of committees for the appointment of associate professors, irrespective of the length of employment, an assessment committee must be established to prepare an associate professor assessment.

#### *Associate professor*

An **assessment committee** is appointed consisting of three to five members, preferably at professor level, no more than one of whom can be internal while the rest must be from outside AU and ideally from abroad. The assessment committee must thus have a majority of members<sup>14</sup> from outside AU.

### 3.4.4 Recommendation of members to the assessment committee

Internal members of the assessment committee may not be part of the managerial structure at the department in question, as they make decisions regarding appointment.

This is why it is only possible to participate in assessment committees for positions at the same level or higher than one's own, though as a minimum at associate professor level. For example, the proposed assessors for an assessment committee for a professorship must themselves be at professorial level.

Recommendations of members of the assessment committee for associate professorships **must** include the following:

- Statement of the name, position, place of employment, country and email address of the proposed assessor.
- CVs must be submitted via a URL.

<sup>11</sup> See the Danish Public Administration Act, Section 3 (1) (on disqualification).

<sup>12</sup> See the memo on the composition of assessment committees at Health in accordance with AU's internally agreed framework of 9 August 2013, section 3.

<sup>13</sup> See the memo on the composition of assessment committees at Health in accordance with AU's internally agreed framework of 9 August 2013, section 1.

<sup>14</sup> Members from outside AU are defined as members who are not employed at Aarhus University (AU).

### 3.4.5 Approval of assessment committees

The Head of Department approves committees for all associate professorships and ensures that the rules for the composition of committees have been complied with.

The proposed members of the committee must be consulted and have signed a declaration of impartiality before the proposal is sent to HR. For Associate Professor positions, once this acceptance and declaration is available, HR sends the proposal for the composition of the committee for consultation in the Academic Council. The council has a three-day deadline for objections. The Academic Council must receive the job advertisement/informative text so that the Academic Council can be heard on the committee's competences in relation to the position.

If the members of the Academic Council do not have any comments on the composition of the committee within three working days, the committee is considered to be heard by the Academic Council. The proposal is subsequently submitted to the Head of Department for approval.

### 3.4.6. Remuneration

Upon completion of the assessment process, the external members of the committee will receive an email with a form attached, which must be completed and returned, so that they can be remunerated for their participation.

### 3.4.7 Assessment

An assessment **must be** prepared for the appointment of an Associate Professor regardless of the period of employment.

#### 3.4.7.1 Requirements and content

The assessment must be prepared on the basis of the material submitted by the applicant, which is assessed in relation to the following:

- The qualification level of the position in question, as described in the job structure (see more at [au.dk/en/about/vacant-positions/rules-and-regulations/](http://au.dk/en/about/vacant-positions/rules-and-regulations/))
- "Criteria for appointment - associate professors" and "Template for assessment - associate professors".
- The position as described in the wording of the job advertisement/the academic description of the position.

It should be noted that the "Criteria for appointment - associate professor" supplement the qualification requirements in the job structure in the case of appointments to associate professorship. It is important to emphasise that the criteria are intended as a guide and that they are not rules. An assessment will always be based on an overall assessment of the applicant, just as all criteria must be viewed in the light of the individual applicant's active research time (including the length of any periods of leave), potential and the academic area in question.

Requirements for the content and design of an assessment are stated in the "Template for assessments - associate professor".

#### 3.4.7.2 Period of validity

Assessments carried out in accordance with these guidelines for fixed-term positions will remain valid as long as the appointment is within the same job category, if there are no significant changes to the position. Though in the case of fixed-term contracts, the assessment is for a maximum of five years.

A new assessment for fixed-term employment only takes place in the case of transition from one job category to another or if there is a change of position that entails significant changes to the position, or when the assessment is five years old.

In the case of permanent (tenured) positions, the assessment is valid throughout the period of employment.

### 3.4.8 Approval of assessments

The Head of Department ensures that the formal requirements for a position are met for associate professorships (see the checklist in section 2).

If the assessment does not constitute a sufficient basis for decision and/or does not meet the formal requirements, it must be returned to the committee for additions or revision.

If there is disagreement among the members of the assessment committee, the Vice-dean for Research has the final decision-making authority. Any differences of opinion between the assessors must be stated in the assessment, following which the Vice-dean for Research makes the final decision on whether the candidate is assessed as being qualified or not qualified.

Once the final assessment is available, the applicant will receive the committee's assessment of this. This is sent electronically by HR.

### 4. Recommendation for interview and participation in interview

The department management team and the appointment committee decides on the selection of candidates for job interviews and conducts these once the assessments have been received.

The applicant may also be asked to give a trial lecture before the appointment is recommended.

### 5. Recommendation and decision regarding appointment

After the job interviews have been held, the appointment committee advises the Head of Department regarding recommendation for appointment. The Head of Department can now discuss the recommendation with the department management team, before the Head of Department takes a decision regarding which applicant is to be recommended for appointment. The Head of Department sends a recommendation (via HR) to the Vice-dean for Research.

**The Vice-dean for Research decides whether to accept the recommendation.**

The Head of Department then recommends the appointment via the employee registration system (*medarbejderstamkort*).

### 6. General recruitment information

#### 6.1 Expenses in connection with recruitment

Expenses (advertising, fees and official travel expenses) are paid by the department.

#### 6.2 Objections regarding assessment

*If HR receives objections from applicants regarding the committee's composition:*

HR refers the objection to the Head of Department and the Vice-dean for Research. Objections may be made according to the Danish Public Administration Act, as the appointment process is an administrative act. HR assists with the case processing.

*If the Head of Department receives objections regarding the committee's composition:*

The Head of Department immediately forwards the objection to HR who will take further action, including involving the Vice-dean for Research.

*If HR receives objections from applicants concerning the assessment:*

HR requests a statement from the committee. The objection is sent to the chair of the committee, who coordinates the committee's statement and sends its response return to HR as soon as possible and within eight days. The Head of Department and the Vice-dean for Research are notified and agree on the procedure to be followed.

*If the Head of Department receives objections, including in regard to the committee's assessment of the complainant's qualifications:*

The Head of Department immediately forwards the objection to HR who will take further action, including involving the Vice-dean for Research.

### 6.3 Duty of disclosure upon request

Applicants to all scientific positions have a right (upon request) to be informed of the names of the persons (Head of Department and Vice-dean for Research/Dean) who have participated in the decision regarding the appointment. Applicants also have the right to information on the names of persons who have had a consultancy role in the appointment process.

## 7. Earmarked grants

In the case of earmarked grants, the specific position is not advertised. Associate professorships positions **which are 100 % externally financed and earmarked a named person**, are exempt from the requirement to advertise. Instead, the desired candidate is requested to upload an application including CV, list of publications etc. via a specific application link.

The appointment process is subsequently followed, as described above (see the checklist in section 2).

## 8. Visiting associate professor

The visiting associate professor group consists of two types of visiting associate professor: visiting associate professors with employment at AU or visiting associate professors without actual employment at AU, but with an invitation to hold one or more lectures. In the case of the latter, the visiting associate professor must also be an associate professor at his or her own home university.

- Visiting associate professors **may be employed for a specific project for a limited period**. The assessment is made on the same terms and conditions as for other associate professor appointments.
- Visiting associate professors who are invited to give a specific lecture or series of lectures or *mentoring* **are not employed** at AU and **are not assessed**, but are instead invited to visit the university. The associate professor is referred to as a *visiting associate professor* in everyday speech. A speaking fee and any travel and accommodation expenses may be paid.

## 9. Use of shortlisting

The objective of shortlisting is to shorten the recruitment process and to reduce the workload of members of the assessment committee, so they can focus their efforts on the most relevant and qualified applicants.

### 9.1 Prerequisites for the use of shortlisting

It must clearly be stated in the job advertisement in question that shortlisting may be utilised.

Shortlisting refers to a process in which a small number of applicants are selected for an academic assessment from the total pool of applicants. The applicants selected for this assessment are those who are - in accordance with an initial academic review - assessed as best able to meet the relevant qualifications, competences, experience and potential demanded in the job advertisement.

### 9.2 Shortlisting process

The Head of Department has decision-making authority to select applicants for an assessment of their academic qualifications by the assessment committee. With the assistance of the appointment committee and the chair of the assessment committee, the Head of Department selects those applicants who will receive an assessment of their academic qualifications on the background of an evaluation of which applicants (as documented in the applications submitted) best match the department's and the faculty's recruitment needs and who possess the qualifications, competences, experience and potential described in the job advertisement, including the faculty's criteria for appointments.

The role of the appointment committee in the shortlisting process is solely to advise the Head of Department regarding which applicants the committee considers to be relevant to recommend for further assessment. This means that the appointment committee neither decides which applicants are to be assessed by the assessment committee nor considers whether individual applicants are qualified or not qualified.

A minimum of five applicants are selected for an academic assessment, unless there are fewer applicants or fewer applicants than this after obviously unqualified applicants have been left out of consideration. HR will immediately notify the applicants who do not proceed to the assessment immediately after the shortlisting. HR also informs the applicants who proceed to the academic assessment. At the same time, these applicants will be informed of the composition of the assessment committee. Final rejections are sent to the applicants who have been selected for assessment after the recruitment process is completed.