

## 1 Introduction

These guidelines are a supplement to *Appointments Procedure* (LiU-2016-01370), *General Instructions for Academic Appointments Boards* (LiU-2011-01983) and the university's *Procedures and Associated General Procedures* (LiU-2011-01353).

The Appointments Procedure regulates:

- categories of teacher, indefinite-term and fixed-term
- joint employment
- duties
- qualifications
- grounds of assessment
- appointment to employment as professor
- assessment of expertise for promotion
- education in teaching theory for higher education
- the work of the expert committee
- forms of employment, indefinite-term employment and fixed-term employment.

The general instructions for academic appointments boards regulate:

- creation
- tasks
- composition
- case management and forms of meeting.

The procedures and associated general procedures regulate:

- preparation of cases
- presentation of cases
- decisions
- delegation of authority
- conflicts of interest
- case management
- forms of meeting
- quorum regulations
- voting procedures
- minutes.

The future of the university depends on its ability to recruit people to leading positions as teachers and researchers. People employed in these posts are crucial for our ability to carry out education and research, for development and leadership, and for ensuring the financing of our operations. Sufficient resources in the form of time and money must be allocated to the recruitment process. The strategy and execution of recruitment to employment as teachers and researchers must be characterised by a high degree of professionalism. Each applicant is to be treated seriously and must be seen as a potential employee. All contact with an applicant is to maintain and strengthen the good reputation of the university as employer and workplace. One of the overall aims of the university is to achieve an even distribution between women and men in the teaching staff.

### **1.1 Equal opportunities**

Linköping University must continue to develop as an attractive and creative workplace characterised by equal opportunities.

In the operations of institutions of higher education, gender equality between women and men must always be considered and promoted.

Aspects of gender equality must always be considered to be an important factor in ensuring the quality of university recruitment. This is applicable when drawing up employment profiles, and by encouraging applications from people of an under-represented gender.

### **1.2 Recruitment objectives**

In the appropriation directions for the university, the government has set recruitment objectives for the fraction of women among newly recruited professors. For newly recruited associate professors, senior lecturers, research fellows and assistant lecturers, each faculty board or area board shall determine recruitment objectives. The university policy for equal opportunities is to form the basis for recruitment.

## 2 Working group/committee

To support the work of a department, a special working group may be appointed for each case. The members of this group are to be nominated by the dean, in consultation with the department involved. The working group/committee should have members that represent not only the department and university, but also external representatives.

The group/committee shall:

- carry out a strategic analysis of the field of study in question
- draw up a list of qualified applicants, both those in Sweden and those abroad
- play an active role in the recruitment before and during the application period
- aspire to a more even distribution of gender by actively seeking appropriate candidates of the under-represented gender
- draw up a list of possible members for the expert committee.

The result of the analysis is to be presented to the faculty board, when proposals concerning the post in question are presented. The analysis is to make it particularly clear which measures have been taken to identify appropriate candidates.

## 3 Employment profile

Before a position is advertised as open for application, the academic appointments board shall draw up an employment profile.

The following shall be specified in the employment profile:

- the field of study of the position (including, where relevant, a more detailed description of the subject and recruitment programme)
- qualifications
- the grounds of assessment and their relative weights
- the duties that are included in the position
- encouragement for representatives of the under-represented gender to apply for the post.

The employment profile shall form the basis of the announcement for the position, and is to serve as guidance and help, principally for the members of the expert committee in their assessment of the expertise of the applicants.

If a recruitment programme is used, the following four points must be included:

- a description of the department and other relevant environment
- a description of educational programmes within which the person appointed will principally act
- a description of the duties
- a description of the qualifications required for the position.

If a recruitment programme is not used, it is sufficient to describe the principal duties of the post.

### **3.1 Field of study of the position**

Every position as a teacher at Linköping University shall normally comprise both research and teaching.

An example from LiU that shows how the duties of a teacher can be described is given below, in this case a senior lecturer in political science:

“Employment as senior lecturer in political science involves duties such as teaching, supervision, examination, course development, research and administration. The employee must be able to work at all levels of first-cycle education, be prepared to collaborate with colleagues both with the field of study and in other fields, and contribute otherwise to a creative and dynamic environment in the field of study and in the department.

The present position principally involves teaching, supervision, examination and course development in those parts of the first-cycle education in political science that deal with Swedish and European politics and administration.

Research in the department is focussed on policy processes at various levels of politics.

The degree of English used for both first-cycle education and other education in the department is increasing.”

#### **4 Announcement**

The formulation of the announcement is to take place in close contact with the department involved. The official announcement constitutes the legal basis of the work of the academic appointments board. All preconditions and requirements (title of the field of study, duties, qualifications required, grounds of assessment) that apply to the position shall be specified in the announcement, and these must be followed during the assessment process. It is important also to make clear the requirements that apply for personal skills, such as, for example, leadership skills and personal characteristics. Since the qualifications of the applicants are to be compared with the title of the field of study and the duties that have been described, these are crucial in determining which applicants can be considered for the position. The information given in the announcement is paramount, and may not be altered in association with the work of the academic appointments board. Only those requirements stated in the announcement may be considered during the assessment.

Representatives for the under-represented gender shall be encouraged in the announcement to apply for the position. The announcement shall make it clear that applications received after the closing date for applications will not be considered.

#### **5 Advertising**

Information about situations vacant shall be distributed in such a manner that it efficiently reaches potential qualified applicants. Advertising should take place during term-time of the academic year.

A position as professor shall be advertised in a national daily newspaper or professional journal, and published on the LiU website ([www.liu.se/jobbdb](http://www.liu.se/jobbdb)).

Positions as associate professor, senior lecturer or research fellow should be advertised in a national daily newspaper or professional journal. These positions shall be published on the LiU website ([www.liu.se/jobbdb](http://www.liu.se/jobbdb)).

Announcements, advertisements, and electronic publication are to be managed by the departments in collaboration with the dean's office involved. Where appropriate, announcement and advertisement shall be made also in English.

Targeted measures, distribution to lists of persons or electronic publication in international fora are to be carried out by the department involved. Advertising shall take place in such a manner that persons of the under-represented gender are encouraged to apply for the position.

### 5.1 Period of application

The minimum period of application is five weeks for employment as professor, associate professor or senior lecturer. For other teaching positions, the minimum period of application is three weeks.

All documents, including one copy of each the published scholarly articles (maximum ten) that the applicant wishes to have considered shall have been received by the registrar before the end of the period of application. The application documents are to be sent in digital form (application, CV and list of publications). Three copies of published scholarly articles are to be sent, with the exception of monographs, three copies of which are to be submitted by mail.

The qualifications that are presented as support of the application shall be described and documented in the application form for the relevant position, <http://liu.se/jobba/lediga-jobb>. Appendices to the application are to be uploaded together with the application form. Scholarly articles that are not available in digital form are to be sent

to the registrar by mail. All documents that the applicant wishes to have considered shall have been received by the registrar before the end of the period of application.

An application or documents that are received after the period of application will not be considered.

## 6 The expert committee

Selection of members of the expert committee is to start as soon possible, preferably when the initiative to the process of employing a person is taken. The selection must be commenced before the position is announced. The final composition of the expert committee, however, cannot be determined until the list of applicants is known.

In order for the members of the expert committee to be able to carry out their duties, they must have access to the following information:

- the announcement
- list of applicants
- application documents from the applicants
- the scholarly articles published
- guidelines for academic appointments boards at Linköping University
- information about remuneration for members of the expert committee, including forms to arrange the payment of such.

The members of the expert committee shall be informed about the stipulations laid down for qualification and grounds of assessment, and the significance of the announcement in the assessment of the qualifications of the applicants.

It is the task of the expert committee to provide the academic appointments board with an assessment of the documented qualifications of the applicants and the relationship of these to the description of the field of study given in the announcement, the duties, qualifications, and

grounds of assessment.

## **7 Procedures for employment cases**

A suggested normal procedure for employment cases is given below for employment as professor, associate professor, senior lecturer or research fellow. It is, however, important to consider in each case whether a simplified procedure for employment is relevant. This may be so, for example, in cases in which the applicant has already been considered for corresponding employment, and in cases in which it is immediately obvious that the applicant satisfies the requirements for employment.

The academic appointments board is to plan its work for the particular employment case when it meets for the first time.

### **7.1 Conflicts of interest**

The provisions of the Administrative Procedure Act concerning conflicts of interest are applicable for any person who is to participate in a case. "Participate" here is used to denote that a person has such a position in the management of a case – either alone or in collaboration with others – that it is conceivable that he or she affects the decisions made in the case. This includes not only those who participate in taking the actual decision, such as members of a committee or board, but also those who are present during the final management of the case.

The term "conflict of interest" describes circumstances that make it possible to assume that the objectivity of a person taking a decision or making a presentation is deficient. A member of the academic appointments board may find his or her impartiality questioned when, for example, he or she has joint publications with an applicant. If applicants and potential members of the expert committee have collaborated with each other, or entered into public disagreement with each other, this may constitute conflict of interest. The minutes of meetings of the academic appointments board should, therefore, always include a point of business in which it is shown that the question of conflicts of interest has been examined. A person in a conflict of interest may not participate in the

management of a case. It is the responsibility of the individual member of the board, member of the expert committee, or person making a presentation to register that a conflict of interest may be present. The issue of conflict of interest must be carefully considered, particularly when members of the expert committee are appointed.

### **7.2 Letter of intent**

For employment as professor, associate professor, senior lecturer or research fellow, applicants whom the board has determined belong to a leading group and who are to be called for interview should be encouraged to submit a letter of intent that describes how the applicant intends to fulfil the employment should he or she be appointed.

The purpose of the letter of intent is to prepare the ground for a meaningful interview. The letter of intent shall be a description of the aspirations of the applicant if he or she is appointed to the position. It should cover not only research activity but also teaching activity and other grounds of assessment.

### **7.3 Interview**

When the academic appointments board and the members of the expert committee have obtained access to all written material, the principal applicants should be invited to an interview with the academic appointments board. Those invited should be encouraged to submit a letter of intent before the interview. The meeting with those invited may comprise, in addition to the interview, such elements as a trial lecture, a visit to the relevant department, and, in the case of a joint position, a meeting with the health authority.

### **7.4 References**

When references are to be taken, the academic appointments board determines which references are to be contacted, the principal aim of taking up references, and the person or persons

responsible for taking references. With respect to documentation, the same requirements apply as for an interview, i.e. material that it is assessed will be necessary to use must be documented with specification of the source, from whom the reference has been obtained. The person involved must expressly confirm that the information given has been correctly reported.

### **7.5 Expert committee assessment**

The members of the expert committee shall submit individual written assessments. These may, however, be based on a description of the qualifications of the applicants that is common for all members of the expert committee. The assessment shall include a description of the expertise of all applicants. They are to be ranked in order of priority, and the reasons for this given. It is necessary only to mention unqualified applicants and applicants who have submitted incomplete applications.

The assessment shall be based on the documents submitted by the applicants, interview and, where relevant, trial lecture. The assessment must consider all grounds for assessment. The research results on which the assessment principally rests should be explicitly stated when assessing the scholarly expertise of the applicants, and the significance that these results have had for development in the research field described. In the case of applicants whose scholarly activity has been principally carried out outside of the sphere of higher education, it is particularly important that the members of the expert committee state clearly the grounds on which scholarly expertise has been assessed. This is true also for other professional expertise obtained outside of higher education.

The assessment of the expert committee must always contain a description of how gender equality has been considered, unless it is obvious that this is unnecessary, given that applicants of only one gender have applied.

In that the assessment is submitted to the university, it immediately obtains the status of a public document.

## 7.6 Proposal from the academic appointments board

When the university is to appoint a teacher, the candidate who, after a comprehensive assessment, has the best preconditions for carrying out the relevant duties and contributing to a positive development of the operations shall be appointed.

The academic appointments board must reach a decision about who is to be proposed to be appointed to the position, or it must propose that the position is not filled. In special situations, the academic appointments board may list several applicants to be considered for the position, and specify their ranking.

The proposal must specify how the gender equality objectives of the university have been considered. If applications have been received from both genders, the board shall specify how it has taken aspects of gender equality into account. If, in this case, a female and a male applicant are assessed to be equally suitable, or nearly equally suitable, for the position, aspects of gender equality are to be taken into account, and the applicant who belongs to the under-represented gender is to be proposed.

## 7.7 Interruption of recruitment

The academic appointments board may suggest that a recruitment procedure be interrupted. A decision to interrupt recruitment must be taken only in very rare cases.

Acceptable reasons to interrupt a recruitment process are that none of the applicants is qualified, that an assessment is made that none of the of the applicants has the ability to carry out the requirements of the position even though formally qualified, lack of funding, and changes in organisation. It is important in the latter two cases that it was not possible to predict these situations when the recruitment process was initiated.

A decision to interrupt a recruitment process is to be taken by the same body that would have reached a decision about appointment to the

position.

No appeal is possible against a decision to interrupt a recruitment process.

### **7.8 Grounds for the decision**

The minutes shall state the decision taken and give the justification for it. The justification is to be related to the field of study, duties, qualifications and grounds of assessment stated in the announcement. It is to be brief, but it must present the reasoning concerning qualification and all grounds for assessment. It must state the factors that have been decisive in the proposal for who should be appointed to the post. It is important that the justification is formulated sufficiently clearly to give both the body making the decision and the applicants a correct picture of the grounds of the decision.

If both women and men have applied for the post, the way in which gender equality has been taken into consideration must also be stated.

If there is only one applicant, and it is proposed that he or she be appointed, it is sufficient that the academic appointments board expressly state that it has determined that the applicant is qualified.

### **7.9 Publication of information**

Material that is created under the auspices of the academic appointments board during a recruitment procedure is to be considered as internal working material. Members of the academic appointments board are to be discouraged from providing people who are not members of the board with any of the said working material, not only during the management of the case but also after its conclusion.

Documents submitted by the applicants, letters of intent, supplementary attestations and certificates, statements by the members of the expert committee and other material that has been provided to the board by various external persons or bodies are all public documents. They shall be registered and stored in the file.

Only when the minutes from the academic appointments board have

been confirmed are such contents to be regarded as public documents. The academic appointments board should distribute the decision immediately, such that all applicants receive the information at the same time.

## **8 Qualification for promotion**

Applications for assessment of qualifications for promotion to professor, associate professor or senior lecturer are to be addressed to the vice-chancellor and submitted to the registrar.

An application for assessment of qualifications for promotion is to be handled by the academic appointments board in the same way (in the parts that are appropriate) as an external application for employment. The documents that support the stated requirements for assessment of qualifications for promotion to the relevant position are to be included with the application.

Denial of an application for promotion is to be passed down through a special decision. Such a denial shall contain the reasons for the decision. The reasons for the decision should be stated also as an aid for the applicant when considering possible reapplication.

## **9 Adjunct teachers**

Employment as adjunct teacher shall be announced and obtained in competition. The procedure for employment as adjunct professor, adjunct associate professor, adjunct senior lecturer or adjunct assistant lecturer is to be carried out by the academic appointments board in the same way (in the parts that are appropriate) as is the case for external recruitment.

The initiative to a recruitment as adjunct teacher is normally taken within the department to which the position in question is considered to be associated. Before the recruitment process is initiated, informal contact should be made with the dean concerning the proposed position, appointment of an expert committee, etc.

If the necessary preconditions are satisfied, the question shall be discussed by the departmental board. If the board approves the recruitment, a suggested employment profile as adjunct teacher shall be submitted to the academic appointments board.

The employment profile is to have the same contents as that of a conventional recruitment (as described above in Section 3 ff.) with the addition that the degree of employment (in per cent) is to be specified together with its duration (date from-date to), and information is to be given about the possibility of extending the employment. The said information shall be present also in the announcement.

The application shall include written consent from the ordinary employer of the applicant, with a commitment to financing that corresponds to the degree of employment as adjunct teacher.

The members of the expert committee also work in the same manner as during the conventional appointment of a teacher. It is not necessary to obtain a statement from the expert committee if it is obvious that this is unnecessary. This is to be determined by the academic appointments board. As an example of a situation in which it is not necessary to obtain a statement from the expert committee, it may, for example, be the case that an applicant has recently been subject to assessment by the expert committee in another context for similar employment within the same field of study.

Representatives for the department shall then discuss with the proposed appointee his or her duties, the extent and duration of the employment, need for premises, equipment and other fundamental resources, financing, qualifications, financing, the perspective of the appointee's employer, etc.

The salary of an adjunct teacher and other costs associated with the activity at the university of the person appointed may be covered by the university's funds obtained from government grants or by external funds. Salary and other expenses are normally to be paid by the university. If it is intended that the ordinary employer of the adjunct teacher fully or partially cover the expenses of the university for salary, etc., for the adjunct teacher, an agreement about this shall be reached

before a decision is taken about the recruitment. Thus, the ordinary employer of the adjunct teacher is to undertake in this agreement to transfer, on presentation of an invoice or in another manner agreed by the parties, the necessary funds to the university.

In the event that the duration of adjunct employment is extended, the proposal from the department shall contain the same documents as those of the initial appointment, together with information demonstrating the achievements of the person during the preceding adjunct period. If the initial announcement made it clear that extension of the duration was possible, it is not necessary that such an appointment be announced.

## **10 Guest teachers**

Employment as guest teacher shall be announced and obtained in competition. The procedure for employment as guest professor, guest lecturer or guest assistant lecturer is to be carried out by the academic appointments board in the same way (in the parts that are appropriate) as is the case for external recruitment.

The initiative to a recruitment as guest teacher is normally taken within the department to which the position in question is considered to be associated. Before the recruitment process is initiated, informal contact should be made with the dean concerning the proposed position, appointment of an expert committee, etc. If the necessary preconditions are satisfied, the question shall be discussed by the departmental board. If the board approves the recruitment, a suggested employment profile as guest teacher shall be submitted to the academic appointments board.

The employment profile shall have the same contents as that of a conventional recruitment (as described above in Section 3 ff.) with the addition that the degree of employment (in per cent) is to be specified together with its duration (date from-date to), and information is to be given about the possibility of extending the employment. The said information shall be present also in the announcement.

The application shall include written consent from the ordinary employer of the applicant, with a commitment to financing that corresponds to the degree of employment as guest teacher.

The members of the expert committee also work in the same manner as during the conventional appointment of a teacher. It is not necessary to obtain a statement from the expert committee if it is obvious that this is unnecessary. This is to be determined by the academic appointments board. As an example of a situation in which it may not be necessary to obtain a statement from the expert committee, it may, for example, be the case that an applicant has recently been subject to assessment by expert committee in another context for employment as professor or senior lecturer within the same field of study, or the applicant may already be employed within the same field of study at his or her ordinary institution of higher education.

Representatives for the department shall then discuss with the proposed appointee his or her duties, the extent and duration of the employment, need for premises, equipment and other fundamental resources.

In the event that the duration of employment as guest teacher is extended, the proposal from the department shall contain the same documents as those of the initial appointment, together with information demonstrating the achievements of the person during the preceding period. If the initial announcement made it clear that extension of the duration was possible, it is not necessary that such an appointment be announced.

## **11 Employment/promotion of teachers, appeals procedure and return of application documents**

### **11.1 Employment/decision concerning promotion**

Decisions about employment and promotion of teachers are to be made in accordance with currently valid delegation procedures.

Once conventional information has been passed to the local employee

associations, the formal decision of employment is made, and posted on the university's official noticeboard. At the same time, the decision is passed to the other applicants, and a three-week period in which it is possible to file an appeal begins.

### **11.2 Appeals against an appointment**

Chapter 12 Section 2 of the Higher Education Ordinance states that appeals may be filed to the Higher Education Appeals Board for the following decisions:

- a decision relating to employment at a higher education institution, with the exception of appointment to a doctoral studentship.

Appeals against a decision must be presented in writing. The applicant shall state the decision against which an appeal is being made, and the reasons for the appeal. A request for reassessment must be received by the university registrar within three weeks of the date of the decision.

The university is to send the appeal to the Higher Education Appeals Board as soon as possible. A copy of the announcement is to be sent with the appeal, together with the application documents for the person who was appointed and those of the person filing the appeal, minutes with the statement from the expert committee, the appointment document and the original documents of the appeal.

The Higher Education Appeals Board will assess the case and normally request a statement from the university. The academic appointments board presents its statement to the vice-chancellor after consultation with the members of the expert committee. The case is subsequently passed to the vice-chancellor, who makes a statement to the Higher Education Appeals Board.

The Higher Education Appeals Board gives the person who has been appointed to the position the opportunity to make a statement in response to the appeal.

The Higher Education Appeals Board then reaches its decision, against which an appeal cannot be filed.

### **11.3 Return of application documents**

The regulations of the Swedish National Archives state that applications for employment and the associated documents (application documents) may be sorted for possible discarding two years after the appointment has come into force. If the applicant requests it, application documents shall be returned. On the condition that the applicant has provided a complete list of the appendices that have been submitted in support of the application, the appendices in printed form and those in other published form shall be returned as soon as possible after the deadline for filing an appeal.

After conclusion of the process, therefore, the members of the expert committee shall return as soon as possible all application documents, including scholarly publications, to the academic appointments board of the faculty, which will then return the documents to the applicants, in collaboration with the registrar.

**Entry into force**

These guidelines entered into force on 1 May 2017 and replaced the then valid guidelines dated 24 November 2014 (LiU-2014-02034).