



PROCEDURES WHEN APPOINTING TEACHERS

Type of document:	Procedures ¹
Date of approval:	28 June 2024
Reg. no.:	FS 1.1-1137-24
Approved by:	Vice-Chancellor
Validity:	1 November 2024 until further notice
Field:	Human resources, equal opportunities and work environment
Office in charge:	Human Resources Office
Replaces document:	Rule – Recruitment process when appointing teachers in the Appointments Procedure for teachers (FS 1.1-230-18) approved on 29 May 2018

¹ This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.

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1. Description

Umeå University's Appointments Procedure for teachers determines teacher categories, qualification criteria and assessment criteria in the recruitment and promotion of teachers, as well as the external expert procedure. The Procedures when appointing teachers contain the different parts of the procedure and state how the provisions are to be taken into account and how they are to be applied when appointing teachers.

2. Background

The Procedures when appointing teachers, formerly the Rule – Recruitment process when appointing teachers, were added as a supplement to the University's Appointments Procedure, and are based on legislation, ordinances, regulations, provisions and practice for employment, promotion, external expert procedure and the appointment process.

3. Fundamentals for the recruitment process

The recruitment of teachers at Umeå University must aim to identify the best possible expertise based on the needs of the organisation, and must be part of long-term talent acquisition. A talent acquisition strategy should be in place at each department or unit, and should be reviewed regularly.

The needs of the organisation, as expressed in an employment profile, must guide all recruitment work. The recruitment process is to be characterised by openness, transparency and legal security. The public authority must carry out an impartial assessment of the applicants' qualifications and must only consider objective factors in the assessment, i.e. service merits and expertise in accordance with the Instrument of Government (1974:152), of which expertise must be given priority.

The basic values of central government form the basis for the University's activities. An equal opportunities perspective must be taken into account throughout the recruitment process. This means that aspects included in the assessment of achievements in terms of education, research or artistic research must not disadvantage any person when consideration for existing grounds of discrimination has been taken. This also means that processing committees, external experts and appointment committees or equivalent² must all be gender balanced, unless special circumstances exist (Chapter 4, Section 5 of the Higher Education Ordinance).

All appointments are to be announced (advertised) in the appropriate manner unless special reasons pursuant to the Employment Ordinance (1994:373) suggest otherwise. When a professor is appointed by nomination, no such announcement needs to be made. All appointment decisions must be posted on the authority's official bulletin board and can be appealed within three weeks from when the formal decision is posted.

The basic principle for the appointment of teachers is that the appointment should normally be for an indefinite period. In addition, Chapter 4 of the Higher Education Ordinance determines fixed-term employment for adjunct professors, visiting professors, associate senior lecturers and teachers within artistic disciplines. However, the need for fixed-term employment may also arise in cases other than

² Hereafter, the term "appointment committee" is used in this text for the faculties' or equivalent units' preparatory bodies for appointments.

those regulated by the Higher Education Ordinance, and then by virtue of the Employment Protection Act (1982:80) or collective agreements.

Recruitment for fixed-term employment must be carried out with the same attention as recruitment for indefinite employment, in view of the fact that repeated fixed-term employment in accordance with the Employment Protection Act (1982:80) can be converted into indefinite employment.

The rules regarding disqualification in the Administrative Procedure Act (2017:900) must always be observed. Everyone participating in the processing of an appointment or promotion of a teacher at Umeå University, in such a way that the participant can conceivably affect the outcome of the appointment, is covered by the disqualification regulations. Consequently, this applies not only to the person making the formal decision, but also to anyone who participates in the assessment or preparation, such as committee members, external experts, presenters, heads of department or other managers. A person who is aware of a circumstance that can be assumed to disqualify them must report this immediately.

4. Recruitment process when appointing teachers

4.1. Needs analysis

The initiative to initiate an appointment procedure is taken by the department (head of department), faculty or equivalent (dean).³

Decisions to initiate recruitment to a teaching post must be preceded by information and collaboration in accordance with the University's local collective agreement on cooperation for development.

If a decision is made to initiate the recruitment of teachers, regardless of the position, a recruitment panel must be appointed. The department appoints members to the recruitment panel, which may consist of the head of department or equivalent, teachers, the HR function and, if necessary, other relevant expertise. The recruitment panel must have a balanced representation of women and men, unless there are exceptional reasons to the contrary, and conflicts of interest must always be taken into account. This means that the composition of the recruitment panel may need to be changed when it is known who the applicants are.

A recruitment request may need to be submitted to the dean before recruitment can begin. Each faculty decides which appointments are covered by the recruitment request, what it should contain and how it should be prepared.

4.2. Employment profile

Before a teacher recruitment, a decision on an employment profile must be made by the person who, in accordance with the current delegation of authority, is entitled to decide on the intended teaching post. The employment profile for the appointment of professors, including adjunct professors and visiting professors, is decided on by the Vice-Chancellor following a proposal from the dean.

The employment profile must form the basis of the advertisement, and must guide the ongoing recruitment work. A carefully prepared employment profile optimises and improves the recruitment process through clear qualification requirements and assessment criteria which facilitate the search and selection work. The Appointments Procedure for teachers states that the general assessment

³ The library director has delegated authority for the employment of teaching posts at the Centre for Educational Development. Hereafter, the term "dean" or "head of department" is used for the person who has the authority to make decisions in accordance with the delegation of authority, and the term "faculty" or "department" for the organisational unit.

criteria for all teacher categories are a good ability to cooperate and the expertise and suitability required in general to complete the work duties well. This means that significant personal suitability and skills should also be stated in the employment profile.

4.3. Advertising

The subject content and any subject description, qualification requirements and weighting between the assessment criteria that are formulated in the advertisement must correspond with the wording of the established employment profile. A vacancy must always be advertised in Swedish, in accordance with the Language Act (2009:600), and should also be made available in English. All appointments are to be announced (advertised) in the appropriate manner unless special reasons pursuant to the Employment Ordinance (1994:373) suggest otherwise.

The special reasons are:

- If there is an employee who needs redeployment and has sufficient qualifications for the vacant position in accordance with Section 7:2 of the Employment Protection Act (1982:80), the appointment must not be advertised.
- Extension of employment as a doctoral student in accordance with Chapter 5, Section 7 of the Higher Education Ordinance must not be advertised.
- Appointment of a professor through nomination in accordance with Chapter 4, Section 7 of the Higher Education Ordinance must not be advertised.
- If there are employees who have requested preferential rights to re-employment or an increase in employment rate in accordance with Section 25 of the Employment Protection Act (1982:80), and who have sufficient qualifications for the vacant position, the appointment does not need to be advertised.
- If there are individuals who are subject to the Job Security Foundation's measures in accordance with Section 6 of the Employment Ordinance, the appointment does not need to be advertised.

Umeå University announces vacancies on its official notice board, on the authority's official bulletin board and by notification to the Swedish Public Employment Service. Advertising can also be carried out nationally or internationally in various media to achieve good coverage of the target group. The application period should normally be at least three weeks, but can be extended if necessary.

4.3.1 Advertising for appointment as lecturer

The Vice-Chancellor's decision-making procedures and delegation of authority guide who is entitled to decide on advertising for appointment as lecturer. The procedure for advertising for appointment as lecturer describes the process for advertising a lectureship.

4.3.2 Advertising for appointment as assistant professor

A person who has been awarded a doctorate or has achieved equivalent research expertise is qualified for appointment as assistant professor. Priority should be given to candidates who have been awarded their doctorate or have achieved equivalent research expertise no more than five years or no more than seven years before the deadline for the application for appointment as assistant professor. However, a person who has been awarded a doctorate or has achieved equivalent competence earlier can also be considered if special reasons exist. Special reasons refer to leave of absence due to illness, parental leave or other similar circumstances (Chapter 4, Section 4a of the Higher Education Ordinance).

Decisions on which of the time limits in the first paragraph will apply within different subject areas are made by the dean on the basis of a strategic assessment of conditions and needs within the subject area.

4.4 Application

A complete application for appointment as a teacher includes:

- personal letter including contact details
- list of qualifications/CV
- publication list
- report on research or artistic activities
- report on educational activities
- report on development and management of activities and staff
- report on interaction with the wider community and popular science activities
- statement of intent/programme (research programme) regarding research activities (refers primarily to research-oriented appointments)
- copies of relevant degree certificates
- list of specifically cited research and educational works
- references including contact details.

Depending on the appointment, the content requirements for the application may need to be adjusted. The Vice-Chancellor or dean may decide on other instructions for the application. A late application or an addition to an application may be taken into consideration if there are special reasons.

5. Preparation of appointments

5.1 Responsibility and organisation

Every faculty must have at least one appointment committee for the preparation of teaching posts. The faculty board decides which teaching posts are to be prepared by the appointment committee, its powers, and the number of members and deputies.

The appointment committee must be composed of a chair, a vice chair and additional members, and must have a gender balance. The dean cannot be appointed as chair of an appointment committee within their own faculty. Students have the right to appoint at least one member. Teacher representatives are appointed for four years and student representatives for a minimum of one year and a maximum of three years. The appointment committee is entitled to make decisions when more than half of its members are present, including the chair or vice chair. Any potential conflict of interest must be investigated in each case, and the assessment must be reported on in each individual case.

The appointment committee's task consists of preparing and submitting proposals for decisions on appointment. This includes considering the documentation that forms the basis for the appointment decision. The decision-making documentation consists of statements from external experts, and should also include of an interview, taking references and trial lecture or other teacher test, unless there are special reasons. The appointment committee decides which selection methods are to be used.

The relevant head of department, or some other person appointed by the head of department to represent the department, has the right to attend and speak at meetings of the appointment committee. In order to achieve as objective an assessment as possible, the head of department or the designated representative of the department does not have a reporting or decision-making role in the appointment committee.

Teaching posts that are not dealt with by appointment committees are prepared in accordance with the relevant faculty's delegation of authority.

5.2 External experts

For appointment of a professor (including adjunct professor), reports from at least two external experts regarding the skills of the candidate must be obtained, unless it is obvious that this is not needed for the assessment. There must be an equal distribution of female and male representatives among the external experts. However, this does not apply if exceptional reasons exist (Chapter 4, Sections 5–6 of the Higher Education Ordinance). The decision on appointing external experts must state whether or not it was possible to appoint external experts of both genders.

Umeå University must also apply the external expert procedure for appointments of associate professors, assistant professors and research fellows, for promotion, and for professors appointed by nomination. As much attention must be paid to the assessment of teaching expertise as to the assessment of research or artistic expertise. In special cases, the dean may deem assessment by external experts to be clearly unnecessary, for example if a candidate's expertise has recently been assessed in a different context.

5.2.2 The external experts' task

The external experts' task consists of examining and assessing the applicant's expertise within the areas specified in the assignment (assessing the research, educational, clinical or artistic expertise of eligible applicants). The external experts' statements provide valuable guidance in the decision-making process, but the external experts do not have decision-making responsibility. Based on the external experts' review, the external experts must present an assessment of the candidates who should primarily be considered for employment and a ranking of these candidates. External experts must be given the opportunity to attend and speak at recruitment interviews.

The preparation of the case is to be characterised by equal care in the assessment of research or artistic qualifications as of educational and clinical qualifications. External experts with special teaching expertise may be used to assess teaching expertise.

In order to carry out their task, the external experts must have access to the following information:

- Appointments Procedure for teachers at Umeå University
- advertisement/employment profile
- list of applicants
- the applicants' application documents
- faculty-specific documents and guidelines for the appointment
- proposed timetable
- compensation form for the external expert task.

The dean may decide on additional instructions for the external experts. The dean decides on the compensation for the task.

5.2.3 Simplified external expert procedure

Extract from the Appointments Procedure for teachers at Umeå University, FS 1.1-57-18:

An external expert procedure can take time, which may mean that situations arise when a need for competence must be met at short notice. To reduce negative consequences to the organisation in such cases, an external expert procedure may need to be simplified or ruled out. This applies when such a need for competence has arisen upon temporary absence, such as illness, leave of absence at short notice, or absence for other special reasons.

A simplified external expert procedure may not be applied in the appointment of a professor (including adjunct professor) (Chapter 4, Section 6 of the Higher Education Ordinance).

A simplified external expert procedure or deviation from the requirement for an external expert procedure may be applied in the following cases upon fixed-term appointment to avoid such negative consequences for the organisation.

- A simplified external expert procedure may be applied upon fixed-term appointment of teachers for up to 12 months. A simplified external expert procedure means that a docent or professor within or outside the department who is knowledgeable in the subject area is assigned to assess the applicant, and to propose a candidate to the dean for the fixed-term appointment. The risk of disqualification must be observed in particular when appointing this docent or professor with knowledge in the subject area. An appointment made using a simplified external expert procedure may not be extended beyond a total period of employment of 12 months.
- Exceptions from using an external expert procedure may be applied for appointments of teachers for a maximum of six months. An appointment made without an external expert procedure may not be extended.

An appointment in accordance with the above points, excluding or using a simplified external expert procedure, may be combined up to a maximum of 12 months.

5.3 Interview, taking references and trial lecture or other selection methods

The appointment committees are responsible for – and must lead – the selection work. In order to achieve good quality interviews and reference-taking, these must be well prepared, and must be conducted in a structured manner and documented. It may be appropriate to draw up a standardised template for interviews and reference-taking to make it easier to compare candidates.

Interviews should be conducted with those candidates who are assessed by the external experts to have the greatest expertise, unless there are special reasons. The interview provides an opportunity to obtain a clearer picture of each candidate's expertise and to carry out an assessment of the candidate's personal suitability and abilities.

In addition to the written documented qualification, a trial lecture or some other teaching test can add a significant contribution to the documentation for assessing teaching and research skills, and should be carried out unless there are special reasons. The external experts' right to attend and speak also applies to the trial lecture and interviews with the applicants.

The purpose of taking references is to supplement what has emerged to date, and to obtain additional information for assessing the applicant. The referee should be made aware that the information provided may need to be confirmed and that their name may be documented. The documentation requirement is the same as for interviews and trial lectures, i.e. all information on which the decision is based must be documented and added to the case.

6. Decision on appointment

After having prepared an appointment case, the appointment committee must propose a decision on the candidate or candidates to be offered the appointment. The documentation for this consists of the appointment committee's weighing up of statements from external experts, reference-taking reports and, where appropriate, documents from conducted interviews and assessments of trial lectures or other teaching tests.

Decisions on appointment and terms of employment for teachers are made in accordance with the Vice-Chancellor's and dean's decision-making procedures and delegation of authority. The appointment must be coordinated within the faculty collaborative group and then announced. The decision, including information about how to appeal, must be notified to all applicants.

7. Nomination

A higher education institution may, in accordance with Chapter 4, Section 7 of the Higher Education Ordinance, nominate an individual for an appointment as professor if the appointment of the individual is of exceptional importance for a specific activity at the institution. The nomination procedure is to be used very restrictively. If a higher education institution nominates an individual for a post, the grounds on which the appointment is of exceptional importance for the institution must be noted in the official record. Only professors may be appointed through nomination, and this must be decided on by the Vice-Chancellor. When an appointment is made by nomination, no information of the kind laid down in Section 6, Paragraph 1 of the Employment Ordinance (1994:373) need be submitted. The relevant faculty office or equivalent deals with the nomination process in consultation with the Human Resources Office.

7.1 Trade union collaboration prior to the Vice-Chancellor's decision to initiate a nomination procedure

Employee organisations are informed early on that there will be a nomination procedure. The head of department is responsible for collaboration within the faculty collaborative group.

7.2 The Vice-Chancellor decides to initiate a nomination procedure

The decision to initiate a nomination procedure is made by the Vice-Chancellor following a presentation of reports by the dean. If the initiative is taken by the department, the head of department must consult the dean before submitting the request to the Vice-Chancellor. This request describes the need, the strategic significance to the organisation and preliminary financing. The request must include documentation in accordance with the current instructions for appointments at the Vice-Chancellor's Executive Meeting.

7.3 Dialogue with the candidate

The head of department or dean is responsible for contact with the candidate throughout the process. The University's view of the strategic significance of the appointment to the organisation, the work duties and expectations placed on the candidate are initially clarified. Dialogue on employment conditions should begin at an early stage, and should be completed before the Vice-Chancellor's decision on appointment.

7.4 External expert assessment

When nominating a professor, an external expert assessment must be obtained unless this is clearly unnecessary for the assessment of expertise. If there is a need for external expert assessment, the regulations for the appointment of professors must be applied.

7.5 Collaboration within the faculty collaborative group and the Vice-Chancellor's decision on appointment

The case is discussed within the faculty collaborative group before the Vice-Chancellor's decision on appointment. The documentation submitted to the faculty collaborative group must contain

the same documents as the request to the Vice-Chancellor to initiate a nomination procedure, as well as the candidate's CV and salary information.

After the collaboration has been completed, the Vice-Chancellor makes a decision on the appointment of a professor via a nomination procedure. The decision-making documents must consist of documentation in accordance with the current instructions for appointments at the Vice-Chancellor's Executive Meeting. To conclude the case, the Registry announces the decision together with information about appealing.

8. Appeals

An appointment decision may be appealed by the candidate or candidates whom the decision goes against. An appeal is made to the Higher Education Appeals Board and is sent to Umeå University, which examines whether the case was received within the set period of time, three weeks after the decision was announced. The University must not carry out any assessment of the facts of the appeal, but must promptly refer the case to the Higher Education Appeals Board if the appeal is received in time. In order to obtain the necessary information for its decision, the Higher Education Appeals Board may request a statement from Umeå University. Such a statement is given by the Vice-Chancellor.

Decisions for appointment at a higher education institution, and decisions in accordance with Chapter 4, Section 13 of the Higher Education Ordinance to reject an application for promotion, may be appealed to the Higher Education Appeals Board in the cases stated in Chapter 12, Section 2 of the Higher Education Ordinance.

A decision to appoint an associate professor, when promoting an assistant professor to associate professor, cannot be appealed.

9. Discontinuing an appointment procedure

A decision to discontinue an appointment procedure is made in accordance with the applicable delegation of authority. Such a decision may not be appealed – see Section 21 of the Employment Ordinance (1994:373).

A decision to discontinue an appointment procedure must be made objectively, but does not require justification. Objective reasons for discontinuing an appointment procedure may be the strive to recruit candidates with the best possible competence and the applicants failing to fulfil such a requirement. A lack of funds or organisational changes that could not have been foreseen when initiating the appointment procedure may further constitute objective reasons. Applicants must be informed promptly that the recruitment has been discontinued.