



HUMAN RESOURCES OFFICE

10 August 2020

Ref. no C 2020/490

# Supplementary Regulations

## for the Appointments Procedure at Karlstad University

### Purpose

These regulations supplement the approved Appointments Procedure at Karlstad University (Ref. no C2020/730) regarding the procedures for recruiting and promoting academic staff. The descriptions of the supplementary procedures are based on laws and agreements as well as the university's ambition to implement uniform and efficient processes for recruitment and promotion. The document was revised as a result of changed and more efficient recruitment procedures. The revision of procedures was processed by the Human Resources Office, after consultations with deans and recruitment committees.

General strategies, eligibility, assessment criteria and other information pertaining to specific appointment categories are available in Appointments Procedure at Karlstad University.

Decision	RB 71/20	Ref.no	C 2020/490	Replaces	Rb 71/17 Ref. no C2017/586
Effective from	10 August 2020		Until further notice	Officer	Katarina Lindström

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# **Procedures for recruiting and promoting academic staff: Summary**

These procedures supplement the approved Appointments Procedure at Karlstad University (Ref. no C2020/730) regarding the procedures for recruiting and promoting teaching and research staff and aims to ensure that the university's recruitment model is uniform, efficient and of high quality, thus contributing to minimising lead time in the recruitment process. The process should be designed to attract applicants, retain them during the process and facilitate selection on the basis the employment profile.

See Appointments Procedure at Karlstad University for general strategies, eligibility, assessment criteria and other information pertaining to specific appointment categories.

Below follows a general and brief description of procedures and distribution of responsibility in recruiting academic staff. Then there is a more detailed description of each section. The description below is applicable to all academic staff recruitment under normal circumstances. Delegation decisions can vary between faculties and over time. Always check the current delegation decisions and routines before initiating the recruitment process. Checklists for Note that promotion to 'docent' is not an employment, nor is promotion to excellent or merited lecturer. Information is available at the university website.

## **Recruitment team**

Head of department appoints a recruitment team before each recruitment. The recruitment team should be composed as widely as possible in terms of subject area, background and gender. A detailed recruitment and time plan is developed, specifying all important activities and distribution of responsibility. The plan should, for example, include recruitment channels, network dissemination, possible screening out of ineligible applicants before appointing experts, dates for interviews and meetings.

In case of recruitment in areas where there are few candidates it is recommended to find out who have applied for similar positions at other universities without success. Head of department or head's delegate informs the identified candidates about the vacancy at Karlstad University.

## **Recruitment profile**

Regardless of type of employment—fixed term or non-fixed term—a consideration is made to clarify the needs and conditions for the recruitment in question on the basis of the long-term recruitment plan, before the recruitment process is started.

A recruitment process starts when a recruitment profile is drawn up by the head of department and the HR specialist. Dean approves the recruitment and the HR specialist informs the employee union. The appointment profile is the basis of the job advertisement.

## **Advertising and application**

Dean decides on advertising channels and HR Office ensures that the advertisement is published.

Application documents are uploaded via the university's web-based recruitment tool to the HR Office where they are registered and kept in the registry. Physical copies of books and publications are mailed to the HR Office and kept in the registry. Applicants are informed about the experts appointed and procedures by the HR Office. The HR specialist ensures that the head and other persons concerned are given access to the recruitment matter in the web-based tool, where applications and digital documents can be viewed and read.

## **Experts**

The head or head's delegate discusses time frame with the experts and checks that there is no conflict of interest, and informs the HR specialist of the experts' names and contact details as well as the agreed time frame for delivering their respective review. Dean makes the final decision on expert appointments.

The HR specialist gives the experts access to the application documents and any other information, and the registrar distributes any physical documents.

Each expert uploads the signed review to the recruitment system or send it to the HR specialist who makes it available in the recruitment tool.

## **Appointment and promotion committee procedures**

Dean appoints the members of the appointment and promotion committee. The task of the committee is to prepare recruitment and promotion cases. Interviews, trial lectures and taking references are normally delegated to the head, who in turn informs the committee of his/her impressions. The considerations made in the recruitment shall be stated in the material presented to the appointment and promotion committee. A template for the presentation is available at the university website.

In case candidates are not already well known to the university, interviews and possibly trial lectures shall be conducted and references taken. In support of reference taking there is a routine description and a checklist on the university intranet.

The appointment and promotion committee prepares the recruitment and proposes the candidate who should be considered for the appointment to the dean, who makes the decision. Decision on appointment as professor is made by the Vice-Chancellor.

## **Decision and verification of employment**

The head or dean is responsible for contacting the person who is to be offered the position. Agreements on date of employment, salary and other employment terms are entered in compliance with the university's Order of Delegation. The unions are informed of the proposed terms of employment by the HR specialist.

Dean makes the decision on appointments of academic staff based on the recommendations of the appointment and promotion committee, except for appointment as professor, which is made by the Vice-Chancellor.

Appointment decisions are announced on the noticeboard and the other applicants are informed of the decision by the HR Office. The decision may be appealed within three weeks and is effective from the end of the period of appeal provided no appeal has been launched. It is important that the successful candidate is informed of this. The HR specialist issues the contract of employment. If there is no appeal within three weeks, the HR Office will return the application documents to the applicants.

## **Special procedure for appointment of professor by nomination**

Nomination of professor is initiated at faculty level. The dean submits a proposal to nominate a professor to the Vice-Chancellor. The proposal must include:

- Needs analysis, presenting the grounds for considering that the appointment is of special importance to the institution,
- Financial plan
- Recruitment profile

- Account of existing research expertise in the field in relation to the qualifications the proposed professor has in the field concerned,
- Considerations made from a gender equality perspective,
- Verification of completed eligibility assessment, and CV and documents supporting eligibility, e.g. degree certificates, employment certificates,
- Verification that any conflict of interest has been considered before processing the matter, and
- Minutes enclosed if there has been a reason to address the issue of conflict of interest.

For appointment by nomination, no advertising is required. The appointment should be reviewed by external experts unless this is clearly unnecessary. Appointment by nomination may only be used restrictively.

### **Special procedure for appointment of adjunct professor**

An adjunct professor at Karlstad University is primarily externally funded. The forms of cooperation are regulated by agreement between Karlstad University, the adjunct professor, his/her main employer and any other financiers. The employment of an adjunct professor shall be based on the needs of Karlstad University, and therefore the decision to recruit an adjunct professor and the scope and area of duties rests with Karlstad University.

Adjunct professors normally contribute to degree programmes, research and doctoral studies, to the development in their field of expertise and to exchange of knowledge between Karlstad University and the wider world. Adjunct professors are also expected to participate in overriding university issues.

1. Before contacting the potential nominee for a position as adjunct professor, the dean and the Vice-Chancellor meet and confer on the needs of the university, the qualifications of the potential nominee and the financing of the appointment. If it is decided to proceed with the matter after the contact with the nominee and her/his employer, the head prepares a written document containing the following:
  - The discipline and duties of the appointment and a description of the nominee's background, present duties and expertise qualifications.
  - The nominee's CV and list of publications.
  - A proposal for agreement between Karlstad University and the nominee's employer covering the nominee's opportunities to set aside sufficient time for duties at Karlstad University and a description of how the adjunct professor's activities at Karlstad University should be financed.
  - Proposal for two experts to review the nominee's eligibility.
2. The HR specialist requests complete documentation from the nominee, which is then forwarded to the experts.
3. The experts submit their reviews to the HR specialist.
4. The matter is processed in the recruitment and promotion committee concerned.
5. The Vice Chancellor makes the decision on appointing adjunct professors.

### **Special procedure for the appointment of adjunct teaching staff**

Before making a decision on appointing adjunct teaching staff, an estimation of the scope of future adjunct teaching staff must be made by the employer. The HR Office reports the estimation to the employee unions concerned.

An adjunct teacher at Karlstad University is primarily externally funded. The terms of the appointment are normally regulated in an agreement between the adjunct teacher, the main employer and any other financiers. The reason for an adjunct position is to add a competence normally unavailable among the staff and necessary for high quality education. The employment of an adjunct teacher shall be based on the needs of Karlstad University, and therefore the decision to recruit an adjunct teacher and the scope and area of duties rests with Karlstad University.

The adjunct teacher shall normally actively contribute to undergraduate studies, research and doctoral studies and to an increased knowledge exchange between Karlstad University and other actors. Adjunct teachers are also expected to participate in overriding university issues.

1. Before contacting the potential nominee for a position as adjunct teacher, the head and the dean meet and confer on the needs of the university, the qualifications of the potential nominee and the financing of appointment. If it is decided to proceed with the matter after the contact with the nominee and her/his employer, the head prepares a written document containing the following:
  - discipline and duties of the appointment and a description of the nominee's background, present duties and expertise qualifications.
  - nominee's CV and list of publications.
  - proposal for agreement between Karlstad University and the nominee's employer including the nominee's opportunities to set aside sufficient time for duties at Karlstad University and a description of how the adjunct teacher's activities at Karlstad University should be financed.
2. Normally, review by experts are not required in the appointment of adjunct teachers. A thorough assessment of the teacher's eligibility must always be done. If experts are still appointed, the recruitment and promotion committee processes the matter. The head and the HR specialist request the documents needed to verify the teacher's eligibility for appointment as adjunct teachers.
3. The dean makes the decision on appointing adjunct teachers.

## **Simplified eligibility assessment**

The main rule in assessing eligibility for appointing teaching and research staff is that external experts should be consulted. If the time frame allows for this, it shall be done. Simple eligibility assessment may only be used in short fixed-term employment when there is no time for expert review procedure. To ensure that the proposed appointee meets the basic eligibility requirements, a simplified routine can be used. Note that non-fixed term employments must always be preceded by external expert review.

All eligibility requirements must be verified. The applicant submits the documentation required to prove eligibility. Such documents may be:

- Degree certificate
- Certificate of course in teaching and learning in higher education
- Certificate or other documentation proving teaching skills
- Current CV and list of publications
- Any previous expert assessments

The HR specialist prepares the matter and the dean makes the decision. The following appointments do not need to be assessed by external experts: lecturer, post doc, adjunct teacher and senior professor. For appointment as visiting professor and visiting researcher external experts are consulted in the ranking of candidates.

## **Promotion**

The employee submits an application for promotion. The applicant is responsible for ensuring that the required documents are submitted to the HR Office via the recruitment tool, and the HR Office is responsible for the distribution to the head/dean and to the recruitment and promotion committee and potential experts as required.

Application for promotion of a senior lecturer to professor is processed by the recruitment and promotion committee on the basis of at least two expert reviews. The vice Chancellor makes the decision.

Application for promotion of an associate senior lecturer to senior lecturer is processed by the recruitment and promotion committee and based on ascertaining that the applicant has obtained the qualifications required for a senior lectureship as specified in the regulations for the appointment of a senior lecturer and any further requirements specified in the appointment profile. Two experts are appointed. The application can be made at any time during the employment as associate senior lecturer. The dean makes the decision to promote an associate senior lecturer to senior lecturer.

Application for promotion of a lecturer to senior lecturer is normally processed by the recruitment and promotion committee after consulting two experts. The dean makes the decision to promote a lecturer to senior lecturer.

For promotion from senior lecturer to professor, the course teaching in higher education must be completed.

In case of a rejected application, at least one year must elapse before a new application may be submitted.

## **Recruitment profile**

Before a vacant position is announced, an employment profile is drawn up. The employment profile specifies the subject area, duties, qualification requirements and assessment criteria. The assessment criteria specified must be related to the duties that the post will involve. The profile should also make clear how the different assessment criteria will be weighed against one another.

The employment profile should be formulated as broadly and neutrally as possible and include a general description of required knowledge and skills, and should not be so specialised that it deters suitable candidates. Qualification requirements and assessment criteria must be clearly stated and considered before the recruitment process is started to avoid retrospective constructions that might disfavour persons on the grounds of sex, ethnicity, religion or other beliefs.

The content of the employment profile is to be reproduced in the advertisement, which thus constitutes the official basis on which the applicants' qualifications will be assessed. It is therefore important to consider precisely what the requirements for the position are and what qualifications are desirable. Qualification requirements and assessment criteria beyond those indicated in the employment profile/advertisement may not be added if they are not prescribed by law, ordinance or the university's appointment regulations. Personal qualities requested in the employment profile must be clear and possible to assess.

Normally, non-fixed term employment at Karlstad University requires good knowledge of both Swedish and English. If such skills are lacking, employment can still take place on condition

that the appointee actively work towards acquiring the knowledge, according to Karlstad University local regulations. The language requirement should not be used to disqualify other highly qualified applicants.

The head of department submits a proposal for employment profile to the recruitment committee's HR specialist. The head presents the matter initially to the dean. The employee unions are informed. The dean approves the employment profile except in the appointment of professors, adjunct professors, senior professor, and visiting professors, when the rector decides.

Decision on the recruitment profile must be digitally approved in the recruitment system or in writing.

The recruitment profile is written in Swedish. The advertisement shall be translated into English for internationally advertised non-fixed term vacancies for which a doctor's degree is required and if the vacancy is a career-development position. Other advertisements are translated if needed.

## **Subject area**

The dean determines the subject area for the post and indicates this in the recruitment profile. The subject area for a position must not be altered while the one and the same person is employed. In the case of promotion to senior lecturer or professor, the subject area must remain the same. If the employer's qualifications and the needs of the university call for a change, it can be arranged as it can be if the subject designation is obsolete or irrelevant.

Normally, the subject is stated without speciality or orientation toward a particular subfield of the subject. The subject should be stated as broadly as possible with respect to the expertise sought.

When the subject is stated with an orientation toward a particular field in the subject, preference will be given to the applicant who is most qualified in the field of the subject toward which the post is oriented. Qualifications in other fields in the subject will also be considered, but with less weight. An example of a subject oriented toward a particular field is "business administration with emphasis in accounting".

## **Qualification requirements**

The first step when appointing academic staff is to determine whether the applicants meet the qualification requirements. There are minimum requirements placed on the qualifications of teachers and researchers, and these must be satisfied in order for the applicant to be appointed or promoted. Qualification requirements for various academic positions can be found in the Higher Education Ordinance. Further qualification requirements may be added in certain cases. These must be stated in the employment profile and the advertisement. A person who satisfies **all** the qualification requirements is qualified for the position.

## **Assessment criteria**

Assessment criteria represent the final selection tool used to choose between qualified applicants. Apart from the grounds for assessment prescribed in the Higher Education Ordinance, public employment legislation and the constitution, the university may decide on additional assessment criteria that are significant for the position. These should be specified in the university's appointment regulations or in the recruitment profile and the advertisement.

Employment legislation and the Higher Education Ordinance also state that consideration shall be given to factual grounds that agree with general labour market, equal opportunity, social and employment policy goals



## Advertising

The content of the employment profile is the basis for the content of the advertisement. The advertisement is drawn up by the head and the HR specialist. The dean approves the advertisement and its publication. The advertisement is published via the recruitment tool on the Karlstad University website, at the National Employment Service and at the Swedish Agency for Government Employees. The HR office and the university printing shop are responsible for advertising via any other channel.

In order to create interest in working at Karlstad University and to broaden the base of recruitment by reaching as many candidates as possible, various activities can be organised, for example:

- finding out who have applied for similar positions at other universities, and informing these persons directly about the vacancy at Karlstad University.
- actively distributing information about the vacancy in networks
- advertising in media with a target audience
- sharing the ad in social media, e.g. LinkedIn and Facebook
- individual contacts, invitations and proper treatment

### Rules for advertising

All vacancies shall be advertised and accessible for application internally and externally. International advertising should be made regarding positions as associate senior lecturer, post doc, and non-fixed term positions as professor and senior lecturer.

Broad advertising is desirable to broaden the recruitment base and promote mobility. Exceptions from the advertising requirements can only be made under special circumstances with support in Swedish legislation. These are:

- appointment of a senior lecturer or lecturer having preferential right to re-employment or to more extensive employment. This exception is not applied at Karlstad University regarding non-fixed term employments. The exception can be applied for fixed-term employment or change in scope of non-fixed term employment
- employment of redundant employee covered by the Job Security Foundation measures
- employment of employee relocated to avoid termination of employment under LAS
- employment of professor through nomination
- if a qualified applicant is already available and the employment is so short and the need of teachers so urgent that advertising cannot be justified. In principle, this exception shall not apply if the employment is longer than six months.
- extension of career-development positions.

Consulting and recruitment companies may be used to take preliminary steps to facilitate recruitment (e.g., headhunting), provided that the regulations in laws, ordinances, agreements and the appointment regulations are observed. The HR Office has information regarding the applicable regulations.

### Content of the advertisement

Advertising vacancies is part of the university's marketing strategy.

The text should be easy to read and appealing. The advertisement should describe the workplace, duties and terms of employment. The qualification requirements and assessment criteria stipulated in the recruitment profile should also be stated.

Advertisements should be designed so that individuals of the underrepresented gender are encouraged to apply, and the text of the advertisement should be gender-neutral. The university has a standard paragraph that should be included in all recruitment advertisement and there are advertising templates on the university intranet.

The application period should be at least three weeks after the publication of the advertisement. In certain cases, there may be grounds for a shorter or longer application period. The application period may be extended during ongoing period. Applicants who have already made their submissions must be notified of time extension.

## **Application procedure**

Application for employment or promotion should be submitted to the HR Office via the recruitment tool. The applicant is responsible for submitting the documents required to ensure that the recruitment and promotion committees can make a complete and accurate assessment of all qualifications. Applications can be made in Swedish, English, or the language specified in the advertisement. Applicants are responsible for any necessary translation of documents.

A complete application must have been submitted before the application period has expired. A late application may be considered if it can be done without inconvenience and if it is in the university's interest. The university may invite an applicant or all applicants to submit additional material. In exceptional cases the university can also accept supplementary material initiated by an applicant. The university's need of recruiting the most qualified applicant must be weighed against the ambition to perform effectively in the process.

Applicants must meet the eligibility requirements for the position at the latest on the last day of application. Any supplementary information submitted after the deadline must, however, refer to the time before the last day of application.

The HR Office confirms the reception of application and informs the applicants of the process and any time plan for the recruitment.

Applications are public documents logged and stored electronically in the university's recruitment tool or physically at the registrar's office. If an applicant requests that his/her application be processed confidentially, this request is respected to the extent possible. The HR notifies the applicants of the regulations concerning the public nature of official documents, which in practice means that the application must be handed out at somebody's request.

A complete application consists of an application letter, CV, relevant certificates and diplomas and any other documents specified in the advertisement. A certificate of a completed course in teaching in higher education required for eligibility, must be attached. In addition, all qualifications of importance to the position must be stated and verified, for example, through employment certificates, degree diplomas, or other certificates. A person who has submitted incomplete documentation of qualifications cannot be employed.

In addition, applicants for positions as professor and senior lecturer are requested to attach a maximum of ten research publications and a maximum of five works intended to convey knowledge, e.g., textbooks, computer programs for instruction, or popular science articles. Sufficient copies of physical books should be submitted to ensure that the experts and the university get a copy each.

An applicant who wishes to withdraw his or her application should do so in writing.

## **Appointment and promotion committees**

The respective dean appoints the committee responsible for processing and presenting proposals on appointment and promotion matters. Primarily, the committees process appointments in which experts are consulted (professors, senior lecturers, postdoctoral research fellow, associate senior lecturer and adjunct professor). Head of department is responsible for short fixed-term appointments when there is no time to consult experts. Recruitment to positions requiring no external review is processed by the person/s delegated by the dean.

The committee members access the application documents via the university's recruitment tools.

With the support of the HR specialist, the appointment and promotion committee is responsible for obtaining expert reviews on the applicants' research and teaching skills and other qualifications. The committee also arranges interviews, any trial lectures, and taking references (except when the applicant is well known to the committee). The committee may also choose to delegate the responsibilities to the head, who then reports to the committee.

The head of department appoints a recruitment group with members from the department, who participate in interviews and trial lectures in accordance with the guidelines in "Interview guide teachers and researchers" and ensure that there are no conflicts of interest. In exceptional cases where there is a risk of bias in the recruitment group, for example in cases with qualified in-house applicants, the group can be expanded with the chairperson of the appointment and promotion committees or a person appointed by the chairperson. In the event of a conflict of interest, the person concerned shall always refrain from further participation in recruitment process.

The recruitment group compiles a report, signed by the head of department. The report includes an account of the recruitment process, reference to expert reviews, account of any considerations and justification and arguments for the proposed candidate in relation to other candidates, qualification requirements and the most important assessment criteria. Notes on interviews, trial lectures and reference taking should also be included. The recruitment group participates in proposing a ranking of applicants. A checklist for the report is available on the university webpage.

The appointment and promotion committee submits its recommendation as to which applicant/s should be considered for the position in the first place and document the proposal in the minutes.

In the case of applications for promotion, the committee shall propose whether the applicant should be promoted or not and state whether the applicant meets the qualification requirements or not.

Half of the committee members must be present for a quorum, including the chairperson. The experts are not members of the committee and have no right to vote or make a reservation against the recommendation. Their assessment will appear in the minutes and/or assessments.

After its preliminary work, the committee submits its recommendation for the position to the dean. The decision is made by the Vice Chancellor in the case of professor and by the dean in all other cases.

## **External experts**

By expert is meant a person who is especially familiar with the subject area of the position. Normally, the experts assess both research and teaching skills. In the event that a special teaching expert is required, such an expert may be added to the panel. It is always possible to consult more

experts than formally required. Experts should be professors or associate professors (docents) with considerable more research and teaching skills than required for the position.

## **Screening of applications prior to expert review**

The main rule is that all applications shall be reviewed by experts. In some cases, it may be justified to screen applications before submitting them to the experts. The purpose of the screening is to create a more efficient process, for example, by:

- making it easier to find experts
- making reviews less time-consuming
- making reviews less resource-consuming/costly

The head of department is responsible for the screening and performs the screening in consultation with a person specialised in the subject, a head of subject or other well-suited person. It is important for the applicants' legal security that the screening takes place in an objective and transparent manner. Careful attention and consistency are crucial components in the screening process. In case of doubt about an applicant's eligibility, it is recommended that the application be referred to expert review.

## **Documentation requirements**

The document shall contain information about who participated in the selection and be signed by the head of department. The written documentation must justify each case of screening, for example, by explaining why an applicant's degree of doctor was considered irrelevant for the position. The HR specialist notifies the applicants who will no longer be considered in the process. The documentation is stored in the recruitment tool where it will be available to the appointment and promotion committee. Documentation of the screening is also essential in case of appeals.

## **Screening criteria**

- The applicant has not been able to show that they meet the qualification requirements, for example, a degree of doctor and or teaching skills or other qualification requirement included in the advertisement. Note that applicants who do not have a degree of doctor may have acquired equivalent qualifications through research in the subject/area in question.
- The applicant does not have a degree of doctor in the subject/area requested in the advertisement. Note that applicants may have a degree of doctor in a related subject/area and thus still be eligible.
- Incomplete application. It is obvious that essential parts of the qualification requirements cannot be assessed based on the documents included in the application. For example, when there is no list of publications and/or attached publications or when there is an incomplete account of the applicant's teaching skills.<sup>12</sup>
- In the case of a large number of applicants, qualified applicants who receive a low ranking based on the assessment criteria may also be subject to screening. The screening must be clearly justified according to the conditions of each recruitment, as well as the nature of the search field.

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<sup>1</sup> The advertisement should state that a complete application must be submitted by the end of the application period and that an incomplete application cannot be assessed.

<sup>2</sup> In some circumstances, there may be reasons to ask the applicant to submit a supplement instead of screening an incomplete application. This can be done when applying from a highly qualified applicant with incompletely documented qualifications. It may also be relevant if there are only a few applications. Consideration must be given to whether this can be done without inconvenience to the ongoing process.

## Choice of experts

When experts are required, the following applies: head of department or head of subject proposes experts and ascertains that there is no conflict of interests. The time frame should normally be 4-6 weeks but may be adapted to the circumstances of each individual case.

The proposal for experts and the agreed time frame is discussed with the dean and forwarded to the HR specialist, who ensures that the dean makes a formal decision.

The HR Office ensures that the experts have access to application documents and information about Karlstad University's appointment procedures, etc.

Expert reviews are submitted to the HR specialist or uploaded to the recruitment tool. The final review must be signed by the experts.

The number of experts varies depending on the employment category. Additional experts may be appointed if necessary. This should be considered in the case of professor appointments or when applicants with different backgrounds are qualified candidates for the position.

If manifestly unnecessary, no expert needs to be appointed, for example, when a candidate is already employed in a similar position at another university, and is the only candidate, or if the candidate can supply a former expert review issued no more than three years previously. Expert review is not required for short fixed-term employment when there is no time for an expert process before the starting date. Decision on exception is made by the dean.

The list below of number of expert appointed at Karlstad University applies to the normal case. Additional experts can be consulted if needed.

- Professor: at least two experts. Expert review is not required if it is clearly unnecessary, for example, if there is only one candidate who can submit an expert review issued no more than three years previously, or if the candidate can verify appointment as professor at another university.
- Senior lecturer: two experts.
- Associate senior lecturer: two experts
- Postdoctoral research fellow: two experts
- Postdoctoral position: no expert
- Adjunct professor: two experts
- Adjunct teacher: no expert. Adjunct senior lecturer: no experts. Adjunct lecturer: no expert
- Senior professor: neither expert, nor processing by the appointment and promotion committee is required if the person is a former professor at Karlstad University.
- Visiting professor: in the ranking of candidates, at least two experts are required. No expert is required if there is only one candidate whose eligibility is verified.
- Visiting researcher: one expert is required if ranking of candidates is necessary. A suitable expert at Karlstad University may be appointed; otherwise an external expert is consulted.
- Lecturer: Experts are not normally required. If there is uncertainty about candidates' qualifications, expert appointment is recommended.

For the appointment of an adjunct professor, at least one of the experts should possess high academic qualifications of relevance to the subject area, and should normally be employed in higher education. At least one expert should be well acquainted with the candidate's standing as a leading specialist in the field in which he/she has his/her primary occupation.

For the appointments of a lecturer, a postdoc, adjunct teacher experts are not normally required. The head of department or the dean's delegate is in such cases responsible for ensuring that the assessment of the applicants' academic, teaching and other qualifications is conducted in

accordance with the regulations of the Higher Education Ordinance and the university's appointment regulations. In the event of any uncertainty, an expert shall be consulted.

As a rule, experts consulted are employed at other universities or environments than Karlstad University. Experts should not review colleagues-to-be.

Pursuant to the Higher Education Ordinance, both men and women should be represented when reviews from two or more experts are obtained, unless extraordinary reasons prevent this. An extraordinary reason may be that experts of one gender do not exist or have difficulties taking on the task within a reasonable time. The reason for making an exception must always be explained and motivated. However, the first step is always for the department to ask experts of both genders.

## **Expert review**

The applicants' qualifications should be assessed in relation to the subject area, the duties of the position, and the qualification requirements and assessment criteria stated in the advertisement.

If there is a pedagogical expert, his/her statement should centre on the extent to which the applicants satisfy the teaching requirements. The pedagogical expert should select a top group purely with regard to teaching skills.

If there are both women and men among the highest-ranking applicants, the experts are requested to state whether they can be assessed as being equal or approximately equal so that the recruitment committee will be able to decide whether to apply the principle of equal opportunity.

For an application for promotion, the review should only consider the question of whether the applicant meets the qualification requirements or not.

For the appointment of adjunct professor and adjunct teacher, the quality level of both the written academic works and the professional qualifications of the candidate should be described in the reports, and related to national and international expertise in the field. Also teaching skills should be assessed. The review should conclude with a statement on whether the applicant meets the requirements of the post.

If the experts need supplementary information/documents from the applicants, the HR specialist will assist in procuring them.

The experts upload their assessments to the university recruitment tool or send them to the HR specialist who will make them available to the appointment and promotion committee.

## **Instruction to experts**

Any conflict of interest must be considered and investigated at an early stage.

Once submitted to the university, the review is a public document. If the appointment and promotion committee finds that the review does not comply with instructions, it may be returned with a request for additional considerations.

The experts can choose to write the presentations of candidates (part 1) individually or jointly. If experts have cooperated on part 1, this must be stated. Assessment and proposal for a top group must always be made individually.

Teaching and research skills should be assessed with equal thoroughness. The emphasis should be on the qualitative aspects of qualifications.

If experts think that none of the candidates should be recommended for the position, this should be stated in the assessment. In considering application for promotion, only the applicant's fulfilment of requirements should be assessed.

Expert reviews should include the following components:

1. Summary presentation of all applicants. The following is the recommended outline for the presentation of every applicant:
  - career (education, employment, course in teaching in higher education, course in supervision)
  - research qualifications
  - teaching qualifications
  - other qualifications relevant to the position
  - applicants' eligibility for the position must be established and justified in relation to the qualification requirements. If an applicant is not considered to meet the requirements, this must be justified.
  
2. Assessing qualifications. The experts individually assess the skills of the applicants who should receive the highest consideration for the post. Skills with reference to the most important assessment criteria should be evaluated one by one, and a weighing up of all the applicant's qualifications should be presented. A suitable outline for the presentation of each applicant is the following:
  - research/artistic qualifications, qualitatively and quantitatively, in relation to the position. Consider completed research projects/artistic development projects and their research/artistic and social value and the role of the applicant. Special attention should be given to independence and the ability to reflect critically on theoretical and methodological issues.
  - assessment of submitted publications/artistic documentation
  - assessment of quantitative and qualitative teaching qualifications and skills based on the applicant's account and pedagogical portfolio
  - experience of external cooperation
  - other employments relevant to the requirements of the appointment profile
  - a conclusion regarding the applicant's ability to have the qualifications and skills required for the position and if the applicant is expected to be able to perform the duties of the position.
  
3. Dividing applicants into groups. Based on the qualifications of each applicant, a top group is selected consisting of the applicants that are considered best suited for the position in question. There should be no ranking within the group. Other qualified applicants are divided into different groups depending on the degree to which they meet the assessment criteria.

Expert review in the case of promotion should be at least two pages.

## **Assessment of qualifications and selection**

The assessment of qualifications is to be made neutrally in regard to people's different background, gender, and cultural expression. The persons involved in the assessment should be knowledgeable on these issues.

According to the constitution and public employment legislation, consideration shall only be given to objective grounds such as merit and skills. The assessment to be made in connection with appointments should be based on the qualification requirements, the assessment criteria, and any other information stated in the recruitment profile and the university's appointment regulations. Skills, that is, education, personal qualities, professional experience shall be given the greatest weight unless there is special reason to do otherwise. Merit, that is, time in public employment, should only be the deciding factor in instances of equal or largely equal skills.

Equal weight must be given to teaching skills and research skills in the evaluation of qualifications. Teaching skills and research/artistic skills need not be of equal merit, but the expertise in both areas must be as carefully considered.

Other skills such as relevant personal qualities are to be assessed by the person responsible for the recruitment and should be part of the assessment material. The experts primarily assess research/artistic and teaching skills. Cooperation, leadership, administrative skills and personal qualities may mean that an applicant who is not ranked as the top candidate by the experts can still be considered as the most skilled candidate. The responsibility to decide this lies with the appointment and promotion committee.

Quality rather than quantity should primarily be assessed. Assessment of the applicants' qualifications should be based on the information about the subject, duties of the post, qualification requirements and assessment criteria stated in the employment profile/the advertisement and the university's appointment regulations. Any gaps in the applicant's list of merits should not necessarily be held against them but should be looked into, for example, in connection with the interview.

For applicants who satisfy the qualification requirements, the evaluation of their qualifications are to be based on other assessment criteria that apply to the position.

The same qualification requirements apply to promotion as to other types of recruitment. In cases of promotion, it is only necessary to assess whether or not the applicant meets the qualification requirements.

Unsatisfactory teaching skills may not be compensated for by good research qualifications or vice versa. This means that academic staff may not be employed without the applicant having documented both teaching and research skills as well as training for teaching in higher education.

As with research qualifications, teaching skills must be assessed on the basis of submitted qualifications and clearly specified criteria. In the individual case certain aspects of teaching skills may be more relevant than others, which affects the choice of criteria or the weight assigned to each of the criteria.

The assessment of teaching skills should, like research skills, rest on a scientific/scholarly basis. The conceptions of skills and the criteria used in the assessment should be based on the current research-based knowledge of teaching and learning. Expert assessment of teaching skills requires a consideration of both proven experience and research-based knowledge of what factors affect student learning.

An applicant who lacks formal training for teaching in higher education may still be employed provided that training for teaching in higher education is included in the duties for the two first years of employment.

The pedagogical development unit can assist in validating applicants' training in higher education teaching in cases of uncertainty



It is the applicants' responsibility to document qualifications in a way that ensures an objective and qualitative assessment of their qualifications and the experts' responsibility to assess teaching and research skills.

## **Equality and diversity**

Karlstad University is an inclusive university permeated by a diversity of backgrounds and different competencies among all staff. The University strives for:

- knowledge, understanding and acceptance of cultural differences
- even gender distribution within groups of staff and in decision-making and preparatory bodies (at least 40 per cent of the underrepresented gender)
- diversity with a mixture of ages, competencies, backgrounds and experiences enriching the university's activities

Karlstad University aims to support employees' opportunities to apply for vacancies irrespective of gender, ethnicity, religion or other beliefs. It is forbidden to discriminate against employees and applicants on the grounds of gender, gender-transgressing identity or expression, ethnic belonging, religion or other beliefs, functional challenge, sexual orientation, or age. The discrimination prohibition applies, for example, when an employer decides on employment issues, selects an applicant for a job interview, or takes any other measure during the employment procedure. The same applies in the promotion procedure. The provisions on equality and diversity applicable in the employment of teachers are available in, for example, the discrimination act, the higher education ordinance, the university's policy on equality and in the university's appointment and promotion regulations.

In order to promote equality and diversity, personal contact may be made with an applicant of the underrepresented gender to encourage them to apply for vacancies.

It is not permitted to use quotas, that is, reserve a position for either gender. However, if there is an uneven gender balance in the workplace, positive discrimination may under certain conditions be applied in the selection process. Weight may only be placed on gender if one of the genders are underrepresented. Gender may then be the determining factor when a male and a female applicant have equal or largely equal qualifications and if it is part of creating balance between women and men in the workplace. A condition for positive discrimination is that the employer conducts systematic efforts aimed at promoting gender equality.

## **Conflict of interest**

The regulations concerning disqualification are set out in the Administration Act. Disqualification means that there is uncertainty as to whether an individual can act impartially because he/she has some interest in the matter that could conceivably affect his/her opinion. An individual who is disqualified should not participate in the preliminary procedures, the deliberations, assessments or any decision related to a recruitment or promotion.

Disqualifying circumstances that may arise in connection with an appointment are:

- When the matter concerns the person himself/herself or his/her spouse, parents, children, siblings or some other close relation, or when the outcome of the matter can be expected to favour or harm the person himself/herself or some close relation.

- When there is some other special circumstance that could jeopardize confidence in the person's impartiality in the matter. An example of this may be that the person is clearly on friendly or unfriendly terms with the applicant.

An expert or a member of the recruitment committee may have his/her impartiality called into question in cases of co-authorship with an applicant, if there have been several instances of collaboration, and if the collaboration occurred in recent years.

Disqualification is disregarded when the question of impartiality is clearly not an issue.

Anyone who knows of any circumstance that might be assumed to disqualify him/her has a duty to make this known. Someone who is not on the committee, for example, an applicant or a colleague may also give notification concerning disqualification.

## **Discontinuation of the recruitment process**

Recruitment may be discontinued if, for example, the number of qualified candidates to recruit from is insufficient, or if new circumstances have arisen that prevent the appointment from taking place.

The dean decides on discontinuance, except for the appointment of professor in which case the Vice Chancellor decides.

There is no requirement to justify a decision to terminate the appointment procedure or post it, nor is the decision subject to appeal.

The HR Office is responsible for notifying the candidates of the decision.

## **Appeals**

Decisions on appointments and rejections of applications for promotion may be appealed to the Higher Education Appeals Board.

Normally, only the applicants to an appointment has the right to appeal. A person who has claimed right to re-employment or has preferential right to a higher employment rate is placed on an equal footing with the applicants. In accordance with government practice, it is acceptable to appeal against a decision to appoint someone to a position that the authority did not publicise (= declare as vacant). In principle then, anyone may appeal.

The HR Office is responsible for notifying the candidates of the appointment decision and the right to appeal. The period for appeals is three weeks, counting from the day on which the information is presented on the university's official notice board. The matter is processed without delay.

During an appeal, the person who was offered the position may be engaged as a substitute in the vacant position while the appeal is being processed. An employment cannot be terminated only with reference to an appeal going against the already employed. According to the employment protection act, the authority can in such a case have two persons employed and the dismissal of one of them must be based on reasonable cause.

When an appointment decision is appealed against, the HR Office ensures that the appeal was submitted within the prescribed period. If not, a decision is made to reject the appeal. If the appeal was submitted within the prescribed period, the HR Office forwards the appeal and the available documents to the Higher Education Appeals Board within a week. The best option is to submit the appeal via e-mail.

When an appeal is forwarded to the Higher Education Appeals Board, the university may attach a statement. The statement should include a clear motivation for the position taken in the matter

and comments on the claims made in the appeal. The head of the department prepares as statement with the help of the HR specialist to be signed by the recruiting head. If necessary, the experts may clarify their statements.

The following attachments should be submitted to the Appeals Board. The e-mail should include the name of the plaintiff and that it regards an appointment case.

- The university's decision on the appointment profile and the public announcement of vacancy.
- The application documents of the person offered the post and the person appealing. (Research publications need not be submitted. Requested if needed.)
- Any expert statements and the recruitment committee's statements/minutes.
- The appointment decision.
- The appeal (with original documents attached).
- All other documents of relevance to the case.
- The phone number and/or e-mail address of the university officer in charge.

If the Higher Education Appeals Board annuls the university's appointment decision, a representative from the appointment and promotion committee should participate in the further proceedings.

More information on appeals can be found on the Higher Education Appeals Board's website: [www.onh.se](http://www.onh.se)

## **Employment agreement**

When the appointment decision is to be made, the successful candidate is contacted for discussion on a starting date, salary, and other terms of employment. The dean and the head of department agree on who should conduct the discussion in each separate case. In the event that the three-week appeal period has not expired, it is important to explain that permanent employment cannot take effect until the decision has come into full force.

The head of department is responsible for informing the HR Office of the details to be included in the agreement. The HR specialist ensures that the employee unions are informed of the details of the agreement before it is signed. The agreement must be completed before the starting-date of the employment.

The dean issues all verifications of employment concerning non-fixed term employment of academic staff except for professors, which are signed by the Vice Chancellor. Employment agreements for fixed-term positions are issued in accordance with the stipulations in the university's Order of Delegation.

In the event that training for teaching in higher education is to be undertaken during the first two years of employment, this must be stated in the employment agreement.

## **Registering and documentation**

Regulations pertaining to public authorities' duty to register documents and the right-of-access principle shall be complied with. Recruitment processes must be registered and documented in the university's recruitment system. Normally, the documentation comprises

- Recruitment profile, advertisement and information on channels used

- All application documents from all applicants
- Documentation of the selection process such as summarised decision material and the minutes of the appointment and promotion committee
- Notes from interviews, trial lectures and reference-taking are saved during the process and then deleted when the decision has gained legal force
- File notes of relevance to the outcome of the recruitment process.

## **Induction of new employees**

Workplace induction is important in order for new staff to get off to a good start in their jobs. The HR Office has developed an induction programme that may be used as a guide to welcoming new employees to the workplace. The programme can be found on the university's web site. An induction class, which provides new employees with valuable information about the various parts of the university, is offered to newly employed staff on a continual basis.

New employees may be assigned a mentor. See the mentor programme on the university website.