

**GUIDELINE**

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## Guideline to the appointments procedure

This governing document complements the *appointments procedure at KTH* and is to be read together with it. The governing document has been prepared jointly by the Faculty Council and the HR division.

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# 1 Organisation for the recruitment of teachers and for promotion

## 1.1 Appointments Board

### 1.1.1 Composition

The appointments board consists of a chair, a vice chair and seven members who are permanently employed as professor or associate professor. The students are entitled to representation by three members.

### 1.1.2 Tasks

The appointments board is a preparatory body to the president in matters relating to the employment and promotion of teachers and its primary tasks are those that appear in this governing document.

The appointments board also prepares questions about docentship in accordance with the *faculty council's instructions on admission as a docent*.

Thus the appointments board supports the faculty council's preparation of the *appointments procedure at KTH, guideline to the appointments procedure* and *faculty council's instructions on admission as a docent*. The appointments board participates in quality monitoring of the provision of academic competence.

The president decides on additional tasks for the board.

### 1.1.3 Forms of work

#### 1.1.3.1 Delegation of tasks and decision-making rights

The appointments board may delegate its tasks, unless otherwise specifically decided. Delegated decision-making rights shall be stated in a delegation procedure or other written decision.

#### 1.1.3.2 Meetings

The appointments board deals with matters at meetings. The board has a quorum when at least half of the members, including the chair or vice chair and at least three teacher members, are present. The majority of the members present shall have research or artistic competence.

#### 1.1.3.3 Right of attendance and expression

Three representatives appointed by the employees' organisations have the right to attend and express opinions.

#### 1.1.3.4 Deciding a matter outside an ordinary meeting

If a matter is so urgent that the board does not have time to meet in order to deal with it, the matter may be resolved by means of communication between the chair and at least as many members as are necessary for a quorum. If this procedure is not appropriate, the chair may, after consulting the vice chair, decide the case. Such decisions as are made shall be notified to the appointments board at the next meeting.

#### 1.1.4 How the appointments board is appointed

The composition of the board shall be equal in terms of gender and reflect the breadth of KTH in areas and subject traditions. There shall be a mixture of experience from leading positions in the organisation as well as from recruitment and promotion work. Members shall demonstrate a high degree of integrity and independence and be administratively proficient. They shall have the ability to take responsibility in the long term and for the whole of KTH. Each member shall be permanently employed as a professor or associate professor.

The president appoints the chair, vice chair and other members for a four-year mandate period, following joint preparation by the faculty council and vice president with responsibility for equality and values. In the preparation process, the schools shall nominate members. The faculty council and the vice president may collect additional proposals in the light of the first paragraph above.

Representatives of the students are appointed in accordance with section 7 of the Student Union Ordinance (2009:769).

#### 1.1.5 Training of members and supporting staff

The chair, vice chair, members (student representatives included) and supporting staff shall undergo such training as the faculty council decides.

## **1.2 Recruitment committee**

At each school there shall be a recruitment committee responsible for the preparation of teacher appointment cases, primarily the appointment of a professor, associate professor or assistant professor. The committee shall work to ensure that the personnel policy is complied with when recruiting teachers. Particular attention shall be given to observing equality and diversity aspects in the process.

### **1.2.1 Composition**

The recruitment committee consists of a chair, vice chair and teacher representatives. The students are entitled to representation by at least three members.

### **1.2.2 Tasks**

The recruitment committee shall form a recruitment board for each appointment case. The task of the board is to prepare and make proposals, primarily concerning the appointment of a professor, associate professor or assistant professor.

### **1.2.3 How the recruitment committee is appointed**

#### **1.2.3.1 Proposal for the recruitment committee**

The head of school submits a proposal for the recruitment committee to the appointments board. The proposal shall include a list of members.

Starting points for the proposal for a recruitment committee:

- At least six members shall be proposed as teacher representatives.
- At least two additional members shall be proposed: a chair (this may be the school's faculty innovation director) and a vice chair. Each member, appointed by the decision of the appointments board, shall be permanently employed as a professor or associate professor.
- Women and men shall be equally represented, unless there are exceptional reasons.
- Each member shall have undergone or shall undergo the training that the faculty council decides.

#### **1.2.3.2 Appointment of members**

The appointments board appoints the chair, vice chair and teacher representatives for a four-year mandate period. During the mandate period, the appointments board may appoint additional members, following a proposal from the head of school.

Representatives of the students are appointed in accordance with section 7 of the Student Union Ordinance (2009:769).

### **1.2.4 Training of members and supporting staff**

The chair, vice chair, members (student representatives included) and supporting staff shall undergo such training as the faculty council decides.

## **1.3 Promotion board**

### **1.3.1 Composition**

The promotion board consists of a chair, vice chair and teacher representatives. The students are entitled to representation by two members. Otherwise, the board consists of experts in each individual case.

### **1.3.2 Tasks**

The task of the promotion board is to prepare and submit proposals regarding promotion to professor or associate professor. In principle, each promotion case shall be dealt with as easily and quickly as possible, without neglecting quality and so that the interpretation and application of the relevant grounds for qualification and assessment shall be made in a consistent manner.

#### ***1.3.2.1 The tasks of the chair***

It is the chair's task, with the support of the HR division's administrator, to ensure that cases are prepared in an appropriate and time-efficient manner and that the members of the board have access to information about existing governing documents. In this work, close contact with the responsible administrator at the HR division is a prerequisite.

The chair is responsible for:

- ensuring that the promotion board is given a composition of teacher representatives appropriate for dealing with the individual case with respect to subject knowledge etc.
- ensuring that possible disqualification conditions are taken into account.
- ensuring that both women and men are represented at meetings of the promotion board, unless there are exceptional reasons.
- maintaining contact with experts on their assignments.
- preparing the interview together with the board members.
- monitoring and following up that the board applies the relevant grounds for qualification and assessment in a consistent manner.

#### ***1.3.2.2 The tasks of members***

Members shall decide the case based on its documents and what otherwise emerges.

### **1.3.3 Forms of work**

#### ***1.3.3.1 Meetings***

The promotion board deals with matters at meetings. The promotion board normally meets once per case. For the meeting, the applicant is called to interview, unless this is obviously unnecessary.

### *1.3.3.2 Composition of the board at the meeting*

The composition of the promotion board shall be such as is necessary to assess both research and teaching expertise. Among the members, women and men shall be equally represented unless there are exceptional reasons. In such a case, the reasons shall be reported in the case and the measures taken to attempt to achieve equal representation shall be stated.

#### *Teacher representatives*

In addition to the chair, two to four teacher representatives shall be included. In the case of promotion from associate professor to professor, the teacher representatives should hold a position as professor. A member of a recruitment committee (see section 1.2.) or appointments board (see section 1.1.) may also be a member (teacher representative) of the promotion board in individual cases, after approval by the chair of the promotion board.

#### *Experts*

Each expert in a promotion case is a member of the promotion board dealing with the case in question. This applies from the date on which the person is appointed as an expert until the date of the board's decision on the case, or until the date on which the case is terminated.

#### *Student representatives*

The students have the right to be represented with two members (appointed in accordance with section 7 of the Student Union Ordinance (2009:769)). At the initiative of the student union, a student can also be co-opted to the board in e.g. for educational purposes. The co-opted student representative has the right to attend and express an opinion.

The promotion board shall attempt to ensure that there is student representation at each meeting.

#### *The school's representative*

The head of school appoints a representative (not a member) who has the right to attend and express an opinion before deliberation and decision. The school's representative shall be the Future Faculty coordinator or someone else with insight into the organisation.

### *1.3.3.3 The board's decision*

The promotion board has a quorum when the chair or vice chair, at least two teacher representatives and at least one expert are present. The majority of the members present shall have research or artistic competence.

When it comes to a decision, the opinion of the majority shall apply. In the event of a tie, the chair's opinion shall determine the matter. Anyone who disagrees with the final decision may make her/his reservations known by submitting a note of dissenting opinion in the minutes. This dissenting opinion must also be clearly reported in the form of a separate document appended to the minutes. This shall have been done before the minutes are verified. All those who do not report a dissenting opinion are considered to have supported the decision.

The promotion board shall propose in its decision whether the applicant shall be promoted or not. Where the requirements are not met, the minutes shall indicate which or what requirements are not met.

#### *1.3.3.4 Expert assessment and verification of minutes*

Expert assessments in their final form shall be received by the promotion board within five working days after the board's meeting. The minutes shall be verified within ten working days after the meeting.

#### 1.3.4 How the board is appointed

The appointments board appoints the chair, vice chair and teacher representatives for a four-year mandate period. Each teacher representative shall have permanent employment as a professor or associate professor. If a new member needs to be appointed during the mandate period, proposals are submitted to the appointments board for decision. The appointments board appoints the experts who are included in the board for the individual case.

#### 1.3.5 Training of members and supporting staff

The chair, vice chair, members (student representatives included) and supporting staff shall undergo such training as the faculty council decides.

## **2 Administering appointment cases**

### **2.1 Professor, associate professor and assistant professor**

#### **2.1.1 Creation of a recruitment board for the individual case**

Each teacher appointment case shall be prepared in full by a recruitment board. The board shall consist of a chair, two teacher representatives and one or two representatives from the organisation. Women and men shall be equally represented on the board, unless there are exceptional reasons. The reasons shall be reported in the case and the measures taken to attempt to achieve equal representation shall be stated. The composition of the recruitment board shall be such as is necessary to assess both research/artistic and teaching expertise. With the appointment of a professor, each teacher representative shall be employed as a professor.

The chair of the recruitment committee appoints teacher representatives and representatives from the organisation and decides on the chair of each individual recruitment board. Representatives from the organisation shall represent the recruiting unit/division and should hold teaching positions. Exceptions to the latter shall be specifically justified and discussed with the chair of the appointments board.

The appointments board appoints experts to be included in the recruitment board when examining the applicant.

The students are entitled to representation on the recruitment board by two members.

If necessary, the recruitment board may be extended with additional co-opted members without a right to vote, in particular to obtain sufficient subject breadth and depth in the work on the application to start an employment procedure (see section 2.1.5).

The provisions of the Administration Act apply to the procedure. The act states, among other things, that a person who is disqualified by conflict of interest is not allowed to take part in the processing of the case or to be present when the case is decided (section 17).

#### **2.1.2 Quorum of the board**

The recruitment board has a quorum when at least 4 members are present, including the chair, another teacher representative, a representative from the organisation and an expert. The majority of the members present shall have research or artistic competence.

When it comes to a decision, the opinion of the majority shall apply. In the event of a tie, the chair's opinion shall determine the matter. Anyone who disagrees with the final decision may make her/his reservations known by submitting a note of dissenting opinion. This dissenting opinion must also be clearly reported in the form of a separate document appended to the minutes. All those who do not report a dissenting opinion shall be considered to be in support of the decision.

#### **2.1.3 The employment case begins**

An employment case begins when a recruitment board is formed. The board deals with the employment case together with an administrator at the school and the HR division. In principle, the employment case shall be dealt with as easily and quickly as possible without neglecting quality.



#### 2.1.4 Schedule

The chair of the recruitment board shall, as a first step in the proceedings, draw up a schedule with preliminary meeting times and which persons are members of the board. The chair is responsible, together with an administrator at the school and the HR division, for ensuring that the case is prepared in an appropriate and time efficient manner.

#### 2.1.5 Application to start an employment procedure

The recruitment board prepares the application to start an employment procedure (including employment profile) that is based on the school's plan for faculty development. The application shall be approved by the head of school (may not be delegated) before the board submits it to the appointments board. The template for the application is provided by the HR division and includes the points stated in 2.1.5.1. - 2.1.5.5.

##### *2.1.5.1 The need for the appointment and its subject orientation*

Describe proposed subject orientation, the appointing unit and justify the need for the appointment. Describe the usefulness of the appointment, in terms of research and education, for both the school and KTH overall. The application shall include the following information in this description:

- Description of subject orientation and how this fits into other activities at division, school and KTH level. Describe how any subject overlap with other activities at KTH has been investigated. Present an analysis of the external situation, taking into account the current status and potential development of the subject internationally and in Sweden.
- Illustration of the subject area from an equal opportunity perspective. This may relate to aspects such as the subject's orientation, as well as current and historical gender balance among students, researchers and the faculty.
- Illustration of the subject area from a sustainability perspective (see KTH's overall sustainability goals 2016-2020, education and research).
- Description of the unit where the position shall be located.
- Description of the school and unit's existing lecturer and faculty positions and current planning for the school's skills provision in education and research.
- Justification of the chosen level of employment and the need for employment in terms of development of research and education, for both the school and KTH.
- Description of main tasks in research and education and the distribution in between. Participation in teaching is expected to be 20-50% for a professor, 30-60% for an associate professor and 15-30% for an assistant professor. During the first four years, an assistant professor may have a maximum of 30% involvement in teaching. In particularly educational-intensive environments, the planned teaching commitment for associate professors may be up to 80%. This shall be justified in particular in the application and evidence showing the teaching commitment of existing teachers.
- For tasks in teaching, it is useful to specify the intended course and programme participation.
- The date when the employment should begin.

#### *2.1.5.2 Funding and assigned faculty resources*

For the teaching positions professor, associate professor and assistant professor, resources must always be allocated from the faculty and first cycle grants. In the first years, it shall be possible to fully finance the employment from internal funding. Even in the longer term, it should be possible for at least 50-75% of salary costs to come from internal funding. There may be exceptions with long-term funding from other sources of funding such as donation. In addition to the salary costs, resources assigned for the pursuit of research activities and the recruitment of doctoral students or post docs shall be reported (starting grants). The application shall show that the school and the activities concerned meet these conditions and that they assume a long-term responsibility for the fulfilment of the conditions set out for the specific employment to which the application relates. The application shall include the following information in this description:

- Description of the activities concerned (division/department/unit) total basic funding (Gru + Graduate) in relation to the existing number of faculty positions and lecturer positions. Describe the scope for additional faculty employment and any special conditions regarding access to and allocation of basic funds.
- Description of available resources for the proposed employment in the short (1-4 years) and long (4-8 years) term. Tables do not need to be included. The following benchmarks relate to the minimum amounts to be allocated from internal funds for the position during the first four years: for a professor, 2-2.3 million per year, for associate professor and assistant professor 1.2-1.5 million per year. In addition to cover for salary costs, also describe allocated resources for the pursuit of research activities (start-up subsidy). The resources described here form the basis for the agreement on the content of the employment that is concluded in connection with the appointment.
- Description of any external sources of funding related to the proposed employment (i.e. possible donation or affiliation to major externally-financed research programmes).
- Commentary on the availability of external sources of funding in the subject area.

#### *2.1.5.3 Identifying applicants, announcement and experts*

The application shall describe the work of the recruitment board in identifying possible applicants. Gender balance shall be aimed at among the possible candidates and gender aspects shall therefore always be taken into account in the search work. The application shall specify how the initial search work has been conducted and how the board plans to work actively to find applicants for the position. The application shall include the following information in this description:

- How the initial search work has been conducted.
- List of four to ten possible applicants who may be relevant for the intended employment. Gender balance shall be aimed at among the possible candidates and gender aspects shall therefore always be taken into account in the search work. For associate professors and assistant professors, the school shall give an account of the doctoral degrees of the possible applicants (degree year and university) and at which university/other they are currently active. The gender distribution among possible applicants shall be commented. Possible applicants need not be informed of the intended employment. However, the list should be based on reasonable assumptions that it should be of interest to named possible applicants.

- How/where information about the vacant position shall be given (in addition to the requirements set out in the guideline for the announcement of positions).
- How work on getting possible applicants to apply shall be conducted.
- List of possible experts. These need not have been asked. The list shall be equal in gender composition, unless there are exceptional reasons.

#### *2.1.5.4 Exceptions from announcement in certain specific cases and additional provisions*

The general principle for the recruitment of teachers at KTH is that all positions shall be advertised widely with the aim of attracting many applicants. Exceptions to this principle may be allowed in exceptional cases where the need for recruitment has been identified in a subject area where there are candidates who have received very prestigious individual research grants and where the form of funding is aimed at, or has as a prerequisite, that the individual is prepared for the possibility of long-term establishment for an academic career at one university. Current examples of this are Wallenberg Academy Fellows (KAW), ERC (Starting or Consolidator Grant), or the Swedish Foundation for Strategic Research's *Framtidens Forskningsledare*.

If KTH intends to employ a teacher through this procedure, the employment procedure according to section 2 is followed with the following deviations/additions.

*Section 2.1.5.1, justification of the selected level of employment, is supplemented by:*

- An assistant professorship shall preferably be used. Only in cases where it is evident that the appropriate level is higher can the employment of an associate professor or professor be relevant.

*Section 2.1.5.3. shall not apply. Instead, the following applies:*

- The proposer shall explain the specific reasons invoked for not advertising the position. The president decides, when the application is processed, whether there are special reasons not to advertise the vacant position.
- List of possible experts. These need not have been asked. The list shall be equal in gender composition, unless there are exceptional reasons.

*Section 2.1.5.5. is extended with:*

- The candidate's original application to KAW, ERC or SSF and any expert opinions on the application and the candidate.

#### *2.1.5.5 Appendices to the application*

The following documents shall be attached:

- A proposed employment profile prepared in accordance with the appointments board's template.
- The school's plan for faculty development (whole or extract from it).
- Schedule according to section 2.1.4.

#### 2.1.6 Decision on the application to initiate an employment procedure (see also section 3.2. of the appointments procedure)

The petition is prepared by the appointments board, which proposes a decision to the president. The president decides on questions concerning the application (including employment profile).

If, during the course of the proceedings, there is a need to recruit more applicants than the decision relates to, the recruitment board, after approval by the head of school, shall submit an application for recruiting more persons to the chair of the appointments board. The application shall be justified and shall include how the tasks and financing of the first employment and the proposed employment are affected. The president decides on questions about the application.

If an employment case is terminated without making an appointment and a new application to start an employment procedure is made on the basis of the corresponding content, the chair of the appointments board may propose a decision to the president. However, this simplified procedure does not apply if it has been more than 18 months since the first application was submitted.

#### 2.1.7 Information about the vacant position

See guideline for the announcement of positions.

When the position is advertised, the recruitment board shall inform the possible applicants, identified according to 2.1.5.3., about the announcement. The board shall also actively seek and inform further possible applicants. If a gender is under-represented in the subject area, active action shall be taken in the recruitment process; one such measure is that the school invites persons belonging to the under-represented gender to apply for employment.

##### 2.1.7.1 *Extension of the application period*

The chair of the recruitment committee decides whether to extend the advertising of a position before the end of the application period. This task cannot be delegated. An extension should be made if the number of eligible applicants is less than five or if there are no eligible applicants of the under-represented gender. The decision must be notified to the HR division's announcement administrator at least three working days before the end of the application period. If the application period is extended, the chair of the recruitment committee shall inform the chair of the appointments board.

### ***Preparation of applications***

#### 2.1.8 Expert assessment (see also section 3.5. of the appointments procedure)

In each case, at least two experts shall be appointed to examine the candidates' overall expertise (research, teaching and other qualifications). The expert shall be particularly familiar with the subject matter of the employment and have research/artistic and teaching qualifications well above the requirements that apply to the position to which the employment in question applies.

In addition, a pedagogical expert can also be appointed for in-depth assessment of the applicants' teaching expertise. Pedagogical experts shall have special experience of assessing teaching expertise at the level of the position in question.

Women and men shall be equally represented, unless there are exceptional reasons. The reasons shall be presented in the school's proposal and which persons were asked and why they were not proposed shall be stated. (For exceptional reasons, see pages 26-27 of the Swedish National Agency for Higher Education's report (2007:55 R) promotion to professor and associate professor – a legal overview.)

Each proposed expert shall be asked and shall him or herself inform whether or not there is any circumstance that may be presumed to constitute a conflict of interest against him/her. Information about conflict of interests can be found at KTH's conflict of interest/disqualification pages on the intranet.

Each expert is obtained from outside the university, except in the cases specified in section 2.1.9.

#### *Proposals for experts*

The recruitment board produces proposals for experts and submits these to the appointments board no later than 15 working days after the end of the application period.

#### *Decision on experts*

The appointments board appoints experts. The assignment as an expert is valid from the date of the appointments board's decision until the day on which the recruitment board decides who is proposed for the position (see 2.1.11 below). The assignment may be terminated early by decision of the appointments board.

#### *Expert opinion*

Each expert shall draw up an individual written statement on the applicant's expertise. The work is done in two stages: (1) Before the recruitment board calls to interview, according to 2.1.11, the expert shall prepare a preliminary opinion. In the preliminary opinion, the expert shall give an account of the expertise of the candidates who should primarily be considered for the position (a shortlist) and justify the decision. Applicants who are deemed less qualified can be covered briefly and must be mentioned by name. (2) After the interview, the expert shall complete the statement and add the ranking of the main applicants.

The statement is considered to be a general and public document when sent or when the case has been finalised.

#### 2.1.9 Special procedures

The appointments board decides on special procedures for cases that have generated a substantial number of applicants and for cases with only one applicant according to 2.1.5.4. For cases with many applicants, the procedure shall include the possibility of a two-stage procedure in order to highlight 10-20 top candidates for in-depth expert assessment. In the first stage, in the case of assistant professors and associate professors, teachers at KTH may be appointed as experts, as required by section 2.1.8. For cases with one applicant according to 2.1.5.4. , the appointments board shall make a special assessment concerning the need for expert assessment in order to ensure an effective and appropriate assessment process.

#### 2.1.10 Call to interview and invitation to visit the school

The recruitment board decides to call the main applicants for an interview and a test lecture/other work sample when the expert assessment has been made. The decision shall be minuted.

The applicants who have been invited for interview should also, in connection with this, be invited by the school for a meeting and viewing of the school.

2.1.11 Interview and proposal for who should be employed (see also section 3.6. of the appointments procedure)

The recruitment board interviews applicants who have been invited for interview and arranges a test lecture/other work test and decides who is proposed for employment.

The decision shall be minuted and justified. Normally the expert assessments are used as the main justification. If the board is of a different opinion from experts or if the experts are not consistent, the board shall give specific reasons for its decision. The reasons must relate to the employment profile, be concise, clear and contain essential reasons that have been decisive. If several applicants are proposed for the employment, the board shall rank them. If there are only unqualified applicants, it shall be proposed that no one is employed.

The minutes shall be verified within ten working days after the meeting. The expert assessments in their final form are attached to the minutes. The proposal (the decision) is submitted to the president when appointing a professor and to the head of the school in question when appointing an associate professor or assistant professor. Before a decision on employment is made, references are checked according to the HR division's procedures. This may take about 10-14 working days.

2.1.12 Decision (see also section 3.8. of the appointments procedure)

Decisions on employment are taken according to the *delegation procedure at KTH*.

## 2.2 Adjunct professor

### 2.2.1 General information about the position

An adjunct professor shall contribute knowledge and experience from his or her specialist field as well as external networks, to strengthen education and research of high international quality at KTH.

As with as other professors, an adjunct professor shall be active in research, education and collaboration. An adjunct professor, as a general rule, performs his or her principal activities at the company or organisation that finances the position (hereinafter referred to as a partner).

At an early stage, KTH shall ensure that the candidate has the required competence. A two-year employment is recommended. See also section 1.4. of the appointments procedure.

### 2.2.2 Financing

With employment as adjunct professor, the minimum remuneration is required for own salary and for the research activity. The financing shall be mainly by external means. A written guarantee for the financing shall be submitted by the partner. With the financing guarantee, the school shall take into account the need for space and any laboratory equipment.

### 2.2.3 How a case is prepared

Prior to the submission of a formal application to commence an employment procedure, informal contact shall be made between the proposer, the head of school and the chair of the appointments board. The chair of the appointments board should be given access to the candidate's CV and in particular the following shall be discussed:

- Subject area with regard to KTH's plans for renewal of the unit and future research and education profile.
- How the candidate complements existing faculty and adjunct faculty in the unit and at school level. Here, the subject area, the balance between tasks in research and education and gender equality shall be taken into account.
- If the candidate has the expertise required for employment as an adjunct professor according to section 1.4. of the appointments procedure.
- The willingness of the partner to grant the candidate time to work at KTH during the period according to agreement.

At the school, the following preparations shall be made before submitting the application to start the employment procedure:

- The head of school, the management team and the head of division are informed by the proposer.
- Discussion is conducted based on the school's strategic direction, identified needs for the desired input expertise and gender equality goals for recruitment.
- Discussion between the proposer and the candidate about, among other things, the tasks, research competence, financing, workplace at KTH, possible need for special equipment and the views of the ordinary employer. Strategic added value is highlighted for both parties.

#### 2.2.4 Application to start an employment procedure

The head of school applies to start an employment procedure. The application shall include a description of proposed subject orientation and the appointing unit and justify the need for the appointment. The template for the application is provided by the HR division and includes the following points:

- Proposal for subject orientation with regard to KTH's plans for renewal of the unit and future research profile.
- Description of how the employment reflects the strategic direction of the unit and what the proposer at KTH wishes to achieve with the employment. Description of the usefulness of the appointment, in terms of research and education, for both the school and KTH overall.
- Description of how the candidate complements existing faculty and adjunct faculty in the unit and at school level. Here, the subject area, the balance between tasks in research and education and gender equality shall be taken into account.
- Information about funding.
- Information about the duration and extent of the employment as a percentage (see section 1.4. of the appointments procedure)
- The date when the employment should begin.

To the application is attached:

- Letter from the partner describing its investment in the proposed employment and how it expects to benefit.
- Draft agreement on cooperation as set out in section 2.2.6. below.
- Candidate's application, specified according to section 2.2.4.1. below.
- Proposals for two experts according to section 2.1.8.

##### 2.2.4.1 *The candidate's application*

The candidate's application shall include the following information

- CV (which reflects the assessment criteria in section 1.4. of the appointments procedure; KTH's CV template for adjunct and affiliated faculty should be used).
- Brief written statement of what the candidate wishes to achieve with the employment.
- Description of how the candidate wishes to conduct research and teaching within the framework of the employment at KTH.



### 2.2.5 Preparation

The chair of the appointments board prepares the case. This includes the decisions by the chair on questions concerning the subject area and expert assessment. If needed, the chair may hand over the case to the school's recruitment committee for examination of the candidate. When the case has been investigated, a proposal for a decision is submitted to the president. The decision information to the president shall include a copy of the co-operation agreement in accordance with section 2.2.6.

### 2.2.6 Agreement on cooperation

The school is responsible for concluding an agreement between KTH and the partner regarding cooperation before the president makes a decision on employment. The agreement template for appointing an adjunct professor shall be used.

In examining the issue of re-employment of an adjunct professor, the question of extending the terms of the cooperation agreement shall also be examined.

### 2.2.7 Decision

A decision on employment of an adjunct professor is taken by the president (in accordance with chapter 4 section 13 the Higher Education Ordinance). A copy of the agreement on cooperation is attached to the decision.

### 2.2.8 Renewal of employment

An application for renewal of the employment shall be submitted six months before the end of the employment. The head of school, or a person appointed by the head of school, submits the application to the chair of the appointments board who prepares the case for the president's decision. The application shall contain the following:

- Description of what has been accomplished during the period of employment.
- An account of the school's need for the employment to be renewed.
- Copy of renewed agreement on cooperation as set out in section 2.2.6.
- Statement by the professor on continued interest in employment or a copy of a renewed agreement on cooperation in accordance with section 2.2.6.

The permissible total period of employment of an adjunct professor is determined in chapter 4 section 11 the Higher Education Ordinance.

## **2.3 Visiting professor**

### **2.3.1 General information about the position**

A visiting professor shall contribute knowledge and experience from his or her subject area and for a limited period provide specialist input to strengthen education and research of high international quality at KTH. Normally, the candidate proposed for the appointment should be an appointed professor. A two-year employment is recommended.

### **2.3.2 Financing**

With recruitment as a visiting professor, external financing and, for research and teaching tasks, faculty and GRU funding can be used.

### **2.3.3 How a case is prepared**

Proposals for a visiting professor can be initiated at school level. Prior to the submission of a formal application, informal contact shall be made between the proposer, the head of school - or a person appointed by the head of school - and the chair of the appointments board. The chair of the appointments board should have access to the candidate's CV and in particular the following shall be discussed:

- Subject area with regard to KTH's plans for renewal of the unit and future research and education profile.
- The school's need for the appointment and how the candidate complements existing faculty and adjunct faculty in the unit and at school level. Here, the subject area, the balance between tasks in research and education and gender equality shall be taken into account.
- If the candidate is judged to have the expertise required for employment as a professor according to section 1.1. of the appointments procedure and expert assessment in accordance with chapter 4 section 6 the Higher Education Ordinance.
- Financing the position.
- If a visiting professor should be employed instead of the normal teaching positions.

If a visiting professor should be employed, the school shall complete the application to start an employment procedure.

At the school, the following preparations shall be made before submitting an application to start the employment procedure:

- The head of school, the management team and the head of division are informed by the proposer.
- Discussion is conducted based on the school's strategic direction, identified needs for the desired input expertise and gender equality goals for recruitment.

- Discussion between the proposer and the candidate about, among other things, the tasks, research competence, financing, workplace at KTH, possible need for special equipment and the views of the ordinary employer.

#### 2.3.4 Application to employ

The head of school applies to start an employment procedure. The application shall include a description of proposed subject orientation and the appointing unit and justification of the need for the appointment. The template for the application is provided by the HR division and includes the following points:

- Subject area with regard to KTH's plans for renewal of the unit and future research and education profile.
- The school's need for the appointment and how the candidate complements existing faculty and adjunct faculty in the unit and at school level. Here, the subject area, the balance between tasks in research and education and gender equality shall be taken into account.
- The school's justification for proposing the establishment of a visiting professor instead of an ordinary teaching position.
- The duration and extent of the employment as a percentage (see section 1.1.5. of the appointments procedure).
- Presentation of financial conditions for the proposed period (financing of the employment and incidental costs).
- The date when the employment should begin.

To the application is attached:

- Candidate's application, specified according to section 2.3.4.1.
- A proposed employment profile prepared in accordance with the appointments board's template.
- Proposals for experts (if requested by the chair of the appointments board) in accordance with section 2.1.8.

##### 2.3.4.1 *The candidate's application*

The candidate application shall include:

- The candidate's CV (which reflects the assessment criteria in section 1.1. of the appointments procedure; KTH's CV template should be used).
- Brief written statement of what the candidate wishes to achieve with the employment.
- Description of how the candidate wishes to conduct research and teaching within the framework of the employment at KTH.

### 2.3.5 Preparation for decision

The chair of the appointments board prepares the case. This includes the decisions by the chair on questions concerning the subject area and expert assessment. If needed, the chair may hand over the case to the school's recruitment committee for examination of the candidate. When the case has been investigated, a proposal for a decision is submitted to the president.

### 2.3.6 Decision

A decision on employment of a visiting professor is taken by the president (in accordance with chapter 4 section 13 the Higher Education Ordinance).

### 2.3.7 Renewal of employment

An application for renewal of the employment shall be submitted six months before the end of the employment. The head of school, or a person appointed by the head of school, submits the application to the chair of the appointments board who prepares the case for the president's decision. The application shall contain the following:

- Description of what has been accomplished during the period of employment.
- An account of the school's need for the employment to be renewed.
- A financial plan for the continued employment.
- A statement from the visiting professor that he or she is still interested in employment.

The permissible total period of employment of a visiting professor is determined in chapter 4 section 12 the Higher Education Ordinance.

## **2.4 Calling for the appointment of a professor**

### **2.4.1 General information about the position**

The role of a professor at KTH whose appointment has been called for corresponds to a professor who has been recruited by announcement or who has been promoted from employment as an associate professor. See also section 1.1. of the appointments procedure.

### **2.4.2 Financing**

For funding of a professor whose appointment has been called for, the same conditions apply as for employment as a professor. These are described in section 2.1.5.2.

### **2.4.3 How a case is prepared**

A procedure for calling for an appointment can be initiated by a head of school contacting the president. The president then calls the chair of the appointments board, the head of HR and the head of school to an introductory meeting. Since the procedure for calling for an appointment shall be used restrictively, the meeting shall discuss whether such a procedure should be initiated, as well as expert assessment according to chapter 4 section 6 the Higher Education Ordinance. Before this meeting, the head of school shall submit a discussion document containing the content specified in 2.4.4. If a procedure for calling for an appointment is to be initiated, the school shall prepare the underlying information.

### **2.4.4 Application to call for the appointment of a professor**

The head of school applies to call for the appointment of a professor. The application is submitted to the chair of the appointments board. The template for the application is provided by the HR division and includes, in addition to the information requested when applying to start an employment procedure for a professor (sections 2.1.5.1.-2.1.5.2.), the following point:

- The reasons why the employment of the candidate is of particular importance to the unit.

To the application is attached

- A presentation of the candidate (CV and publication list) and a statement from the candidate that he or she is interested in employment. The basis for assessing the candidate's qualifications should reflect the assessment criteria in section 1.1. of the appointments procedure.
- A proposed employment profile prepared in accordance with the appointments board's template.
- Proposals for experts (if requested by the chair of the appointments board) in accordance with section 2.1.8.

### **2.4.5 Preparation for decision**

The chair of the appointments board prepares the case. This includes the decisions by the chair on questions concerning the employment profile and expert assessment. If needed, the chair may convene an interview for examination of the candidate. When the case has been investigated, a proposal for a decision is submitted to the president.

#### 2.4.6 Decision

A decision on employment of a professor is taken by the president (in accordance with chapter 4 section 13 the Higher Education Ordinance).

## 2.5 Lecturer

### 2.5.1 General information about the position

Lecturers are normally academic teachers without a doctorate who teach at first cycle level mainly in engineering, architecture and technical foundation year, as well as teaching languages and pedagogics. Lecturers can also bring specialist expertise in applied subject areas. In units with artistic subjects, teachers can be employed on an artistic grounds (see section 1.6. of the appointments procedure). For a teacher to be employed as a lecturer, the need for teachers in the field of employment being met by staff without a doctorate shall be demonstrated and there shall also be a long-term planning and available resources within the school where the employment shall be placed. A lecturer can, within the framework of his or her employment and if this is of benefit to KTH, have fewer teaching hours in favour of pedagogical development work, renewed contact with working life, research or development work within his or her field of study.

### 2.5.2 Application to start an employment procedure

The head of school, or a person appointed by the head of school, applies to start an employment procedure based on the school's plan for faculty development. The template for the application is provided by the HR division and includes the following points:

- Proposed subject orientation.
- The need for employment in first cycle education.
- Justification for the chosen level of employment. Here, the school will, among other things, describe its deliberations regarding the recruitment of teachers without a doctorate. In the recruitment of a lecturer on artistic grounds, this must be specifically justified. The proposed time limit shall be stated and justified.
- A total picture of the school and unit's existing lecturer and faculty positions and planning for the school's skills provision for teaching.
- How the employment shall be financed.
- State the date when the employment should begin.

To the application is attached:

- A proposed employment profile prepared in accordance with the appointments board's template.
- The school's plan for faculty development (whole or extract from it).

### 2.5.3 Preparation of the application

The chair of the appointments board prepares the application and and submits the case to the appointments board or processes it in accordance with the second paragraph. The cases that the chair considers require fundamental deliberations about the level of the teaching position shall be prepared by the appointments board.

If a lecturer is to be appointed for a limited period pursuant to section 5 of the Employment Protection Act (1982:80), the chair of the appointments board submits a proposal for decision in questions about

the application (including employment profile). The chair of the appointments board decides whether the examination of applicants shall be done in a simplified manner (instead of according to section 2.5.6.).

#### 2.5.4 Decision in questions of the application to initiate an employment procedure (see also section 3.2. of the appointments procedure)

The petition is prepared by the appointments board, which proposes a decision to the president. The president decides on questions concerning the application (including employment profile).

If, during the course of the proceedings, there is a need to recruit more applicants than the decision relates to, the head of school, or a person appointed by the head of school, submits an application for recruiting more persons to the chair of the appointments board. The application shall be justified and shall include how the tasks and financing of the first employment and the proposed employment are affected. The president decides on questions about the application.

If an employment case is terminated without making an appointment and a new employment procedure shall begin on the basis of the corresponding content, the chair of the appointments board may propose a decision to the president. However, this simplified procedure does not apply if it has been more than 12 months since the first application was submitted.

#### 2.5.5 Information about the vacant position

See guideline for the announcement of positions.

#### 2.5.6 Lecturer committee

A lecturer committee shall give an account of the expertise of the candidates who should primarily be considered for the position, rank these in order and justify the decision. Applicants who are deemed less qualified can be covered briefly. The work of the committee shall be minuted.

##### 2.5.6.1 *Composition of the lecturer committee*

After the end of the application period, the chair of the school's recruitment committee proposes, according to the second or third paragraph below, a lecturer committee to the head of school for a decision. The appointments board shall be informed of the decision.

A lecturer committee shall consist of an educational expert and two teacher representatives (of whom at least one is particularly familiar with the subject area of the employment and at least one has a doctorate). When appointing a lecturer on artistic grounds, the lecturer committee will consist of an educational expert, a teacher representative with at least lecturer expertise and a teacher representative with artistic expertise (artistic expert). If needed, an external artistic expert may be appointed instead of the teacher representative with artistic expertise.

The educational expert can be obtained from the university and the teacher representatives can be obtained from the division where the employment shall be located. One of the teacher representatives is appointed as chair. The students have the right to be represented with one member (appointed in accordance with section 7 of the Student Union Ordinance (2009:769)).

#### 2.5.7 Decision

Decisions on employment are taken by the head of school (according to the *delegation procedure at KTH*).



#### 2.5.8 Renewal of employment of a lecturer on artistic grounds

If renewal of the position is desired, the head of division shall describe what has been accomplished during the period of employment, give an account of first cycle education's continuing need for the position, explain how it will continue to be financed and explain whether the lecturer has completed pedagogical education for higher education. There shall also be a statement from the lecturer that he or she is still interested in employment. The document is submitted to the head of school who decides on renewal of employment.

The permissible total period of employment of a lecturer on artistic grounds is stated in chapter 4 section 10 the Higher Education Ordinance.

## **2.6 Researcher, post doc and research engineer**

### **2.6.1 Application to start an employment procedure**

Before commencing recruitment of researchers, post docs and research engineers, a background shall be provided containing a brief justification of the current recruitment requirements, main tasks and funding. For researchers, the background shall also comment on the deliberations made on the possibility of recruiting a teacher or post doc for the task in question. Regarding post docs and research engineers, the background shall also comment on the deliberations made on the possibility of recruiting a doctoral student for the research task in question. The background shall be attached to the application to start an employment procedure.

The template for the application (including employment profile) is provided by the HR division.

### **2.6.2 Information on vacant position**

See guideline for the announcement of positions.

### **2.6.3 Equal representation**

If a group of persons is appointed to prepare the case and to suggest who is primarily eligible for employment, men and women shall be equally represented in the group unless there are exceptional reasons. The reasons shall be documented in the case.

### **2.6.4 Decision on employment**

Decisions on employment are taken according to the *delegation procedure at KTH*.

## **2.7 Employment profile**

An employment profile shall include the following headings:

- Subject area
- Subject description
- Duties
- Qualifications
- Grounds for assessment
- Specific grounds of assessment for promotion to associate professor (only applies to assistant professor)

The weighting of grounds for assessment uses the following terms in a descending numbered scale:

(in Swedish)

1. av högsta betydelse är att den sökande har
2. av näst högsta betydelse är att den sökande har
3. det är även av betydelse att den sökande har

(in English)

1. of highest importance is the applicant's
2. of second highest importance is the applicant's
3. it is also important that the applicant has

Employment profile templates are decided by the appointments board.

### 3 Employment and application for promotion

#### 3.1 Agreement on the content of the employment

According to section 5.2. of the appointments procedure, an agreement on the content of the employment shall always be made in new employment in the tenure track. Such an agreement may also be appropriate with promotion. The agreement may not contain such information (e.g. salary) which the parties have already agreed in the contract of employment. The HR division provides the template for the agreement developed in accordance with section 5.2. of the appointments procedure and the following:

The following information shall appear in the agreement:

- Level of employment (assistant professor, associate professor, professor)
- Subject area
- Reference number of the employment case
- General terms and conditions according to the appointments procedure
- Placement (unit, division, school) and immediate manager
- Work tasks in research
- Work tasks in teaching
- Competence development
  - o Higher education teaching competence – the employee's current formal education and, if necessary, a plan for completing this up to 15 credits within three years.
  - o Swedish language competence – the employee's current Swedish language skills and the need for introduction or improvement. Clear goals and schedules shall be set and resources set up to support the employee's acquisition of different levels of Swedish language competence based on long-term needs in teaching and research and on the employee's future ability to participate actively in faculty work and academic leadership at KTH.
  - o Leadership – teaching and research leadership and managerial responsibilities – plan for competence development in leadership, based on planned tasks.
  - o Gender equality, diversity and equal treatment – plan for competence development in gender equality, diversity and equal treatment on the basis of planned tasks and KTH's values.
- Funding conditions for the position
  - o General conditions (e.g. resource allocation principles) at the relevant division, school
  - o Specific assigned funds (start-up subsidy) and any limitations for these

- Other resources that can be used in research activities
- Possible offer of contribution to cover removal costs

The agreement is signed by the employee, the head of school and the immediate manager. The relevant employment profile shall be attached to the agreement.

## **3.2 Career plan and mid-term evaluation for assistant professors**

### **3.2.1 Career plan**

The aim of the career plan is, firstly, to ensure individual planning of career support and education over the entire period of the assistant professorship so that the needs and wishes of the individual can be met. The aim is also to continuously provide feedback on, and the opportunity to discuss and reflect on, their own development and how their own qualifications evolve in relation to the requirements for promotion to associate professor.

The career plan is established in relation to the agreement on the content of the employment as set out in section 3.1.

The career plan must be established when the employment starts and is followed up and updated once a year. The faculty innovation director is responsible for this. The faculty innovation director, the immediate manager, and others that the faculty innovation director considers appropriate participate in the establishment and follow-up. It is crucial that the plan is realistic and adapted to the individual and the area in which it operates. The task of the faculty innovation director and the immediate manager is to contribute their knowledge so that good planning is done.

It shall be noted that an important activity in the Partners in Learning Program (PIL), which is normally carried out at the beginning of the period, is to reflect on their career development. The plan described here can be usefully used as a basis in the PIL programme.

The career plan describes development throughout the period as assistant professor under the following headings. These relate closely to the criteria to be evaluated in the mid-term evaluation for assistant professors, which will lead to promotion to associate professor (see below).

#### *Pedagogical qualifications*

In the pedagogical qualifications, the following perspectives are important:

- Performance of high quality teaching, examination and supervision.
- Work on pedagogical development, e.g. in the form of new courses or teaching methods.
- Education in higher education pedagogics of at least 15 credits.

The planning should describe concrete activities and milestones for the three perspectives. This could be for example: Develop a second or third cycle course in their own field, be the course coordinator and examiner in a major first-cycle course, review the formal education in higher education pedagogics that should be carried out during the period or other adapted to the individual situation.

The actions taken also depend on the type of teaching needed in the relevant area and on the tasks described in the agreement on the content of the employment.

A rough scheduling of the appropriate activities shall be performed.

### *Research qualifications*

In the research qualifications, the following perspectives are important:

- To establish new partnerships and a separate research focus.
- High quality research, demonstrated through publication, among other things.
- External funding from research councils, industry etc.
- Experience of supervision, as assistant supervisor for doctoral students, supervisor for students working on degree projects etc.

The planning should describe concrete activities and milestones for the four perspectives. This could be for example: To gain experience of supervision as an assistant supervisor or degree project supervisor, to undergo supervision training, such as research supervision (LH207V), a rough quantitative target for research production in the form of publications adapted to the situation of the individual, the goals for establishing new partnerships and any new research focus, goals in terms of applications and external funding adapted to the individual situation or other appropriate to the individual situation.

A rough scheduling of the appropriate activities shall be performed.

### *Qualifications for leadership etc.*

An academic career also includes leadership and administrative assignments such as course responsibility, doctoral student supervision, project management in research projects, assignments for the head of department, faculty assignments, assignments for research councils, journals etc. This means that the academic leadership will be developed, which is also assessed for promotion.

It is also important to develop their spoken and written language as needed, primarily Swedish and English.

The planning of developments in this area should describe some concrete activities and milestones that are concerned with developing their own professional role and taking leadership responsibilities. This could be for example: Through the PIL programme, establishing a relationship with a mentor, taking the role of project manager in a collaborative research project, leading development activities in first cycle education or other that is adapted to the individual's situation.

A rough scheduling of the appropriate activities shall be performed.

### *Summary*

The actual career planning consists of a summary over time of the concrete activities undertaken and the milestones set and when these are expected to be achieved.

#### 3.2.2 Mid-term evaluation

The aim of the mid-term evaluation is to support and guide the assistant professor on the basis of the employment profile's defined requirements concerning the work description, qualifications and assessment criteria, as well as information on what is expected for promotion, in relation to the performance at the mid-term evaluation.

The school where the assistant professor is active is responsible for carrying out the mid-term evaluation at the latest when half the period of employment has passed.

The basis for the mid-term evaluation is a self-evaluation that is written by the person to be evaluated and which deals with certain specific points as described below. The self-evaluation is submitted to the head of school, or, if the head of school so decides, to the faculty innovation director, who has a follow-up meeting with the assistant professor. The follow-up meeting will provide feedback on the mid-term evaluation. Recommendations from the meeting shall be documented and sent to the assistant professor and his or her immediate superior.

The mid-term evaluation shall be based on the rules on promotion in *appointments procedure at KTH*.

#### *Pedagogical qualifications*

The assistant professor should consider and discuss his or her position in relation to the requirements set out in the appointments procedure and in view of the situation in the individual subject.

With regard to the perspective of the career plan for pedagogical qualifications, the assistant professor shall reflect on the following:

- How far have you reached right now in your pedagogical qualifications?
- Formulate your own vision or goals for your teaching activities.
- What do you need to focus on in the next few years?
- What formal education, courses etc. on pedagogy have you taken? What additional education do you need or would you benefit from?

#### *Research qualifications*

The assistant professor should consider and discuss his or her position in relation to the requirements set out in the appointments procedure and in view of the situation in the individual subject.

With regard to the perspective of the career plan for research qualifications, the assistant professor should reflect on the following:

- How far have you reached right now in your research qualifications?
- Formulate your own vision or goals for your research activities.
- What do you need to focus on in the next few years?
- What formal education, courses etc. on research issues have you taken? What additional education do you need or would you benefit from?

#### *Qualifications for leadership, relating to colleagues etc.*

The assistant professor should consider and discuss his or her position in relation to the requirements set out in the rules and in view of the situation in the individual subject.



Examples of leadership skills and administrative ability in

- First cycle education, towards students, other teachers etc.
- In research collaborations and research projects requiring coordination.
- Supervision.
- Diversity and equal treatment work with particular emphasis on gender equality.

With regard to these perspectives, the assistant professor should reflect on the following:

- How far have you reached at the moment in the development of your leadership and in your experience of administrative tasks?
- Formulate your own vision or goals for your leadership.
- What do you need to focus on in the next few years?
- What formal education, courses etc. on leadership and management have you taken? What additional education do you need or would you benefit from?

Summarised views

- Do you generally have a good picture of what is expected of you for promotion to associate professor?
- What other competence development would you need?
- Do you have any other comments on your situation and your chances of achieving promotion?

### **3.3 Promotion from associate professor to professor and from assistant professor to associate professor**

#### 3.3.1 Application procedure and CV template

The application rules are shown below and information about the application procedure is also given on KTH's website. To facilitate the application procedure, the appointments board decides on a special CV template for applicants.

#### 3.3.2 Promotion to professor

The application for promotion to professor is submitted to the school in January. Each individual associate professor may submit an application no more than every two years.

The school submits the application, the school's statement (as shown below) and suggestions for experts (according to section 3.3.5.) to the appointments board before the end of the period for submission of applications.

##### *3.3.2.1 The school's statement on application for promotion to professor*

The head of school and the head of department shall draw up a statement containing the following content:

- (1) the unit's assessment of how the promotion of the associate professor to professor corresponds to its long-term needs and its importance to KTH,
- (2) the applicant's ability to lead teaching and research activities,
- (3) the applicant's ability to interact with the surrounding society and to provide information on research and development work, and
- (4) the applicant's ability to lead and develop staff and ability to collaborate.

#### 3.3.3 Promotion to associate professor

The application for promotion to associate professor is submitted to the school in January.

The school submits the application, the school's statement (as shown below) and suggestions for experts (according to section 3.3.5.) to the appointments board before the end of the period for submission of applications.

##### *3.3.3.1 The school's statement on application for promotion to associate professor*

The head of school and the head of department shall draw up a statement containing the following content:

- (1) the applicant's ability to lead teaching and research activities,
- (2) the applicant's ability to interact with the surrounding society and to provide information on research and development work, and
- (3) the applicant's ability to lead and develop staff and ability to collaborate.

### 3.3.4 The appointments board's procedure

The appointments board examines whether the application has been submitted at the right time, examines the documents and decides on questions of expert assessment.

#### 3.3.4.1 *The right time*

If the application for promotion to professor has not been submitted at the right time (see section 3.3.2), the appointments board shall propose that the application is rejected. Exceptions may be decided by the chair of the appointments board for exceptional reasons. The request for exemption is made in writing by the head of school.

#### 3.3.4.2 *The school's statement*

If the school's statement is missing or if the statement does not clearly support a promotion to professor, the appointments board shall propose that the application is rejected. In unclear cases, the chair of the promotion board shall participate in the assessment of the statement.

#### 3.3.4.3 *Subject area (see also section 4.2. of the appointments procedure)*

The appointments board shall determine that the applicant has a decided subject area. The subject area for promotion shall be the same as for the applicant's current position.

If there is no subject area, the appointments board shall decide on one (including a subject description). A decided subject area may be changed if there are special reasons, for example that the relevance of the subject area has changed. The head of school proposes an amendment (including subject description) to the chair of the appointments board. This shall be done in connection with the submission of the application for promotion to the appointments board. The chair of the appointments board prepares the case and proposes a decision to the president.

#### 3.3.4.4 *Grounds for assessment for assistant professors*

In addition to the grounds for assessment criteria stated in section 1.2. of the appointments procedure, the assistant professor's employment profile shall include specific grounds for assessment. In the absence of such grounds for assessment, the appointments board shall decide on the specific grounds for assessment to be applied.

#### 3.3.4.5 *The examination of the documents*

If the appointments board assesses, after examining the documents, that the applicant is not eligible for a promotion, the case, together with the appointments board's assessment, shall be submitted to the promotion board for further processing according to section 3.3.7. For example, this may be relevant if applicants do not meet the requirements of the appointments procedure for higher education pedagogical education or if applicants have been refused a previous application for promotion and the appointments board's assessment is that nothing new has been added.

If the appointments board assesses, after examining the documents, that the application contains other ambiguities or shortcomings which may justify direct rejection, or that expert judgement for other reasons is considered to be clearly unnecessary, the chair of the promotion board shall participate in assessment of the question.

### 3.3.5 Expert assessment (see also section 4.4. of the appointments procedure)

Expert assessment if the applicant's expertise shall be obtained. Expert assessment may in some cases be clearly unnecessary, for example if an applicant's expertise has been recently examined in a related context.

The appointments board decides on expert assessment and appoints experts. If expert assessment may be clearly unnecessary, the chair of the promotion board shall participate in the assessment of the question. If a new expert judgement is clearly unnecessary, the case shall proceed to the promotion board according to section 3.3.6. or 3.3.7. Otherwise, the appointments board appoints experts.

With expert assessment, at least two experts are appointed to examine the candidate's overall expertise (research and teaching qualifications and other qualifications). Women and men shall be equally represented, unless there are exceptional reasons. The reasons shall be presented in the school's proposal and which persons were asked and why they were not proposed shall be stated. (For exceptional reasons, see pages 26-27 of the Swedish National Agency for Higher Education's report (2007:55 R) promotion to professor and associate professor – a legal overview.)

In addition, a pedagogical expert can also be appointed for specific assessment of the applicants' teaching expertise.

#### *Competence requirements for experts*

Each expert shall be particularly familiar with the subject area of the employment and shall be qualified above the requirements applicable to the position to which the application for promotion applies. Experts are obtained from outside the university.

Pedagogical experts shall have special experience of assessing teaching expertise at the level of the position in question. The expert can be obtained from within or outside the university.

#### *Previous assignments as expert*

Only those who have not previously given an expert assessment of the same applicant in another promotion case may normally be appointed as an expert.

#### *Proposals for experts*

The head of school, or a person appointed by the head of school in the specific case, submits a proposal for experts. Each proposed expert shall be asked and shall him or herself inform whether or not there is any circumstance that may be presumed to constitute a conflict of interest against him or her.

#### *Expert opinion*

Each expert shall draw up an individual written statement about the applicant's expertise. The statement shall give an assessment of how the applicant stands in relation to the eligibility requirements for the position to which the application relates. An expert makes no recommendation in the statement of whether or not to promote candidates.

### 3.3.6 The promotion board interviews

The promotion board interviews the applicant on one occasion at a meeting. What arises from the interview complements the information in the application and the opinions of experts and school. Before the interview, the chair shall prepare for the interview together with the board members. The interview is normally attended by a school representative who leaves the meeting before the board's assessment and decision. In connection with the interview, the school representative shall be able to answer questions about the unit and the applicant.

### 3.3.7 Proposal for a decision on the application for promotion

The promotion board may, if expert assessment is clearly unnecessary (see section 3.3.5) or if there are other reasons, make a proposal for a decision at an early stage of the proceedings. Normally the promotion board submits a proposal for a decision only after an expert assessment and an interview. The proposed decision shall be minuted and justified. Normally the expert assessments are used as the main justification. If the board is of a different opinion from what appears in the experts' statements or if the experts are not consistent, the board shall give specific reasons for its decision. The reasons must relate to the qualification requirements and grounds for assessment in the appointments procedure, be concise, clear and contain essential reasons that have been decisive.

The minutes shall be verified within ten working days after the meeting. The expert assessments in their final form are attached to the minutes.

The proposal (the decision) is submitted to the president when promoting an associate professor to professor and to the head of the school in question when promoting an assistant professor to associate professor.

### 3.3.8 Decision

Decisions on promotion are taken according to the *delegation procedure at KTH*.