



**INSTRUCTIONS**

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**Decision-maker**

University Board

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**Confirmed**

April 1, 2018

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**Date of decision**

February 20, 2018

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**Reference number**

V-2018-0064 (KS-kod  
1.2)

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**Division in charge**

FR and UF/PA

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## Appointments procedure at KTH

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## Introduction

The board of the Royal Institute of Technology has on 20 February 2018, in accordance with Chapter 2, Section 2, point 9 of the Higher Education Ordinance (1993:100) confirmed the appointment procedure at KTH (the appointment procedure). The appointment procedure includes the Royal Institute of Technology's (KTH) regulations for appointing teachers and researchers. The appointment procedure shall be supplemented with instructions for preparing teacher appointments, decided by the Faculty Council.

In addition to the appointment procedure, KTH also has Rules of Procedure for KTH, the Decision making and Delegation Policy for KTH and a HR Policy regarding appointment and promotion.

### *Legal regulation*

Teachers at KTH are public sector employees and the appointment of teachers constitutes the exercise of public authority. Basic provisions regarding appointment of teachers are included in the public-law regulations for government employment and in the general labour law legislation. The Swedish constitution states that the operations of administrative authorities shall be based on everyone's equality before the law and that the authorities shall act objectively and impartially. It also states that when appointing government employees, a person shall only be considered based on factual circumstances, such as merit and ability. Supplementary regulations can be found, inter alia, in the Public Employment Act (1994:260) and in the application provisions of the Employment Ordinance (1994:737). There are also special provisions for government-owned higher education institution in the Higher Education Act (1994:1434) and the Higher Education Ordinance. In addition, the Discrimination Act (2008:567) applies. KTH is an administrative authority and is therefore also subject to provisions in the Administrative Procedure Act (2017:900) and the Language Act (2009:600), among others. Transparency in the appointment procedure is guaranteed by the principle of public access to official records which is expressed, for example, in Chapter 2 of the Freedom of the Press Act through the rules regarding the public status of documents.

## I. Teachers and researchers

### *Recruitment objectives*

KTH strives to be an outstanding university by promoting effective settings for research and learning in key areas. Success depends on appointing teachers and researchers in established areas of excellence that require reinforcement, as well as focusing on areas that are new or of strategic importance to the larger community.

The purpose of the KTH tenure track is to recruit candidates for academic positions and provide them with the means to excel in teaching and research. The tenure path normally begins with a position as assistant professor. Teachers on the tenure path can be promoted to the professor level.

KTH can maintain and raise its status as a leading international university of technology only if its level of research remains high and evolves in line with other regions and countries. Effective, organic collaboration with the research community is vital to ensuring top-notch teaching. For that reason, recruitment of KTH teachers needs to stress tenure track positions that are based on integration between education and research. Positions are to be advertised so as to attract a large number of candidates, and appointments are to be made in a competitive environment. Teachers on the tenure track are in the vanguard of the university's education and research efforts.

KTH also needs staffs who supplement the tenure track when it comes to both education and research. Externally financed research grows and expands only when highly specialized staff can be recruited to ongoing projects. The tenure path also includes temporary positions for recent PhDs that promote mobility and provide qualifications for an independent career. Large-scale, first-cycle instruction is required in certain subjects. Lecturers can be recruited to strengthen teaching resources in these areas, as well as when experienced professionals and/or bachelors of art in education are needed for technical foundation year, bachelor of science in engineering, teaching or architecture programs.

When recruitment is needed for education and research, tenure track postdoc or doctoral student positions are to be considered first. The tenure track level is to be closely examined with an eye on the potential for renewal, current needs and the existing recruitment base.

The tenure track teaching positions at KTH are professor, associate professor and assistant professor. The non-tenure track teaching positions are adjunct professor, visiting professor, lecturer and teacher with an art background. Research positions at KTH are researcher, postdoc and graduate engineer.

### *Equal opportunity*

To ensure constant renewal of the faculty, as well as attract and retain outstanding teachers and researchers, KTH promotes clear, uniform leadership at all levels. The process involves a proactive, conscious equal opportunity effort. The purpose of the effort is to forge an appealing, inclusive teaching, research and learning environment based on equal career opportunities for all employees. Lack of equal opportunity jeopardizes the ability of KTH to fully exploit the faculty's expertise and potential.

The staff policy in the KTH development plan for 2018-2023 specifies objectives, guidelines and measures to be followed during the recruitment process. In compliance with the provisions of the Swedish Discrimination Act and other goals of KTH policies, each drafting and decision-making body is to facilitate a fairer gender breakdown at KTH.

## 1.1. Professor

### *Duties*

A professor at KTH forms part of the faculty and is a leading representative within an area of research in which collective responsibility is assumed for research and education.

A professor at KTH has undergone courses in teaching and learning in higher education comprising at least 15 credits or has acquired equivalent knowledge through other pedagogical courses or study programmes with specialization in education in higher education institutions. If such a course has not been taken at the time of appointment, the professor should complete the course within three years within the framework of the employment.

Duties within *research* include academic leadership and development of research within the school, leading research activities in a research group, independent responsibility for research funding and also active participation in the scientific community through undertakings as reviewer, expert, external reviewer or lecturer.

Duties within *education* include active participation in academic leadership and development and implementation of first-, second- and third-cycle courses and study programmes, together with supervision and examination of Ph.D. students.

Duties within *leadership* and *third-stream activities* include support and feedback to younger colleagues within education and research, participation in leadership work at KTH and school level, change management, internal and external faculty work, development of cooperation across subject boundaries within and outside KTH, and participation in and development of knowledge exchange and communication with the outside world.

### *Type of employment*

The type of employment for a professor is prescribed by Chapter 3, Section 3 of the Higher Education Act:

Section 3 A professor shall be employed until further notice unless otherwise stipulated in the paragraph below.

A professor may be employed for a fixed term, if the appointment concerns:

1. a creative or artistic subject,
2. an adjunct post at a higher education institution for someone mainly employed outside the higher education sector (adjunct professor), or
3. a position as a visiting lecturer for a person who has the required qualifications for appointment as a professor (visiting professor). Act (2010:701).

### *Eligibility requirements and assessment criteria*

Eligibility requirements and assessment criteria for appointment as a professor are prescribed by Chapter 4, Section 3 of the Higher Education Ordinance:

Section 3 A person who has demonstrated both research and teaching expertise shall be qualified for employment as a professor except in disciplines in the fine, applied or performing arts. A person who has demonstrated both artistic and teaching expertise shall be qualified for employment as a professor in disciplines in the fine, applied or performing arts.

The assessment criteria for appointment as a professor shall be the degree of expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of research or artistic expertise. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of a professor. Ordinance (2010:1064).

### *KTH's criteria for assessment of research and teaching expertise*

The following criteria established for assessing qualifying criteria shall be applied. When assessing each qualifying criterion, the degree of expertise shall be evaluated and a consideration of each expertise made individually. An equivalence assessment shall be conducted if the research or teaching expertise has been demonstrated in ways other than as described below.

#### *Academic leadership*

The applicant shall have demonstrated their academic leadership in research and teaching activities. 'Academic leadership in research activities' means, for example, building up and leading a research group at their own university, establishing research collaboration within or outside their own university, and likewise meaningful initiatives for research development within the subject field. 'Academic leadership in teaching activities' means, for example, leading, building up or developing degree programmes, establishing educational activities and pedagogical third-stream initiatives within or outside the university. The academic leadership shall be assessed as strong within at least one of the two qualifying criteria.

#### *Third-stream activities*

The applicant should produce documented experience of third-stream activities through their research or educational activities.

#### *Research expertise shall also be such that the applicant:*

- Is internationally recognized within the area of the appointment, e.g. demonstrated through invitations to hold lectures and examination and external review assignments of a not insignificant scope.
- Has a significant scope of high-quality research publications, demonstrates currency and has published in respected international journals or other forms of publication that are current within the specific subject field.
- Has built up their own research activities. This should be funded by their own research grants obtained in national and international competition from research councils, foundations, trade and industry, etc. The activity should, among other things, include Ph.D. students.

#### *Teaching expertise shall also be such that the applicant:*

- Has carried out high quality third-cycle teaching to an appreciable extent as well as first- or second-cycle teaching. The teaching initiatives shall be current, evaluated and analyzed.
- Can demonstrate documented responsibility for and independent organization or courses or course components, development of teaching and also experience of administering courses and study programmes within the university.
- Can demonstrate documented experience of individual third-cycle supervision. By this it is meant that the applicant shall normally have been the principal supervisor for at least one Ph.D. student who has obtained a degree of doctor. Being a principal supervisor means taking responsibility for the entire process from recruitment and admission to higher education qualification, and also active supervision work both in third-cycle courses and their own thesis work.
- Can demonstrate documented experience of individual supervision in addition to supervision of Ph.D. students, e.g. supervision of students working on degree projects or supervision of postdocs.
- Is very familiar with current pedagogical development within the subject field of the appointment as well as related research methodology, learning-focused teaching methods and examination formats and evaluation methods.

### *KTH's assessment criteria for appointment*

The assessment criteria for appointment as a professor shall be the degree of expertise required as a qualification for employment. In addition, the following assessment criteria apply in relation to the employment profile laid down:

- The degree of expertise to develop and lead activities and staff. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality.
- The degree of administrative and other expertise.
- Interpersonal skills.

### ***Call to a professorship***

Chapter 4, Section 7, Swedish Higher Education Ordinance, contains provisions about the option of using a call to a chair-procedure:

Section 7 A university may call an individual to a professorial position if appointment of the person is of particular importance for one of the university's services. A university that calls an individual for a position is to document why appointing the person is of particular importance.

Only someone who is eligible for the position pursuant to Section 3 may be appointed by a call to to a chair-procedure.

The president is to decide whether to call an individual for a position and may not delegate the responsibility.

No information stipulated by Section 6, Paragraph 1 of the Employment Ordinance (Swedish Code of Statutes 1994:373) need be provided when appointing an individual by means of a call. The provisions in Section 6 concerning expert assessments are to be followed. Ordinance (Swedish Code of Statutes 2010:1064).

The call to a chair procedure is to be used in a highly restrictive manner at KTH.

### ***Visiting professor (non-tenure track position)***

Chapter 4, Section 12, Swedish Higher Education Ordinance, contains provisions about the position of visiting professor:

Section 12 A visiting professor is to be appointed on a permanent basis but only until a particular date. Such a position may be renewed. However, the total period of employment may not exceed five years. The employment is subject to the Employment Protection Act (Swedish Code of Statutes 1982:80) in all other respects. Ordinance (Swedish Code of Statutes 2010:1064).

The position at KTH is to be for at least 20% of fulltime, and the candidate should normally have been appointed professor at another university.

### ***Promotion from associate professor to professor***

A permanent associate professor can, following application, be promoted to an appointment as professor if the associate professor:

- a) is qualified for such a post,
- b) has successfully completed a teaching and learning in higher education program for at least 15 higher education credits or other educational program of corresponding scope and content,
- c) demonstrates expertise to develop and lead activities and staff. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality,
- d) demonstrates the ability to collaborate with the larger community, as well as disseminate information about research and development efforts,

- e) demonstrates administrative expertise,
- f) demonstrates the ability to collaborate

A further precondition is that the activity considers that promotion of the associate professor to professor corresponds to its long-term need and is of importance for KTH.

When assessing the application, the head of school and head of department prepare a statement of opinion to be included in the overall assessment. The application is normally denied in the absence of an assessment by the school. The Faculty Council provides more detailed instructions about the content of the statement of opinion.

## 1.2. Associate professor

### *Duties*

An associate professor at KTH forms part of the faculty and works within an area of research in which collective responsibility is assumed for research and education.

An associate professor at KTH has undergone courses in teaching and learning in higher education comprising at least 15 credits or other teaching courses or study programmes of a corresponding scope and content. If such a course has not been taken at the time of appointment, the associate professor should complete the course within three years within the framework of employment.

Duties within *research* include independent research activities in a research group, certain responsibility for research funding and also active participation in the scientific community through undertakings as reviewer, expert, external reviewer or lecturer.

Duties within *education* include active participation in the development and implementation of first-cycle, second-cycle and third-cycle courses and study programmes, together with some supervision of Ph.D. students.

Duties within *leadership* and *third-stream activities* include support and feedback to younger colleagues within education and research, participation in change management, internal and external faculty work and participation in knowledge exchange with the outside world.

### *Type of employment*

An associate professor shall be employed for an indefinite period.

### *Eligibility requirements and grounds of assessment*

Eligibility requirements and grounds of assessment for appointment as an associate professor are prescribed by Chapter 4, Section 4 of the Higher Education Ordinance:

Section 4 Those qualified for appointment as an associate professor are

1. except in disciplines in the fine, applied or performing arts, a person who has demonstrated teaching expertise and been awarded a PhD or has the corresponding research competence or some other professional expertise that is of value in view of the subject matter of the post and the duties that it will involve, and
2. in disciplines in the fine, applied or performing arts, a person who has demonstrated teaching expertise and been awarded a doctorate in fine, applied or performing arts, has demonstrated artistic expertise or has some other professional expertise that is of value in view of the subject matter of the post and the duties that it will involve.

The assessment criteria for appointment as an associate professor shall be the degree of expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of other qualifying criteria laid down in the first paragraph above. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of an associate professor. Ordinance (2010:1064).

### *KTH's criteria for assessing teaching expertise and other qualifying criteria*

The following criteria established for assessing qualifying criteria shall be applied. When assessing each qualifying criterion, the degree of expertise shall be evaluated and a consideration of each expertise made individually. An equivalence assessment shall be conducted if the teaching expertise has been demonstrated in ways other than as described below.

*Teaching expertise for an associate professor shall be such that the applicant:*

- Has carried out high quality first- or second-cycle teaching to an appreciable extent. The teaching initiatives shall be current, evaluated and analyzed. The applicant should be able to demonstrate some experience from all levels of education.
- Can demonstrate documented experience of organization of courses or course components at university level.
- Can demonstrate documented experience of individual supervision, e.g. of degree projects or within third-cycle studies.
- Is familiar with current research and pedagogical development within the subject field of the appointment as well as related research methodology and learning-focused teaching methods.
- Can demonstrate some experience of leading and organizing courses and study programmes.

*Doctorate awarded*

'Doctorate awarded' means a degree of doctor awarded at a Swedish university.

*Equivalent research competence*

'Equivalent research competence' means either

- (1.) completed foreign third-cycle education, or
- (2.) academic work corresponding to a doctoral thesis within the subject field and documented experience of research projects that meets national intended learning outcomes for third-cycle programs in the subject field.

*Other professional expertise*

'Other professional expertise' means long industrial experience or other relevant professional or vocational experience of at least three years in a qualified post linked to the relevant subject field for the associate professor. During the assessment, special consideration should be taken of expertise in respect of research and development. The professional expertise should be well documented.

For appointment as an associate professor at KTH Architecture, special consideration should also be taken of whether the applicant made significant and independent contributions to subject development within the area of architecture.

*KTH's assessment criteria for research expertise*

*Research expertise for an associate professor shall be such that the applicant:*

- Has demonstrated the ability to independently formulate and solve research problems.
- Is active within, or has close links to, the international research front.
- Has published research works to not insignificant extent in internationally recognized scientific journals or other publication forms that are relevant to the specific subject field.
- Has demonstrated the ability to lead research activities. Such ability may be demonstrated through, for example, documented experience of project management in research projects, supervision of third-cycle courses or study programmes, supervision of postdocs or other relevant management assignments.
- Has demonstrated the ability to search for, receive funds for and run research projects based on, for example, publications, reports and decisions concerning research grants awarded.

*KTH's assessment criteria for employment*

The assessment criteria for appointment as an associate professor shall be the degree of expertise required as a qualification for employment. In addition, the following assessment criteria apply in relation to the employment profile laid down:

- The degree of research expertise in accordance with the assessment criteria established above.
- The degree of administrative and other expertise that are of importance.
- The degree of expertise to develop and lead activities and staff. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality.

- The ability to pursue third-stream activities and also provide information about research and development work.
- Interpersonal skills.

***Promotion from assistant professor to associate professor***

Chapter 4, Section 12c of the Swedish Higher Education Ordinance contains provisions concerning promotion to associate professor:

**Section 12c** An assistant professor who is appointed by a university pursuant to Section 12 a is to be promoted to associate professor following an application if (s)he is

1. eligible for the position
2. deemed suitable for the position based on an assessment in accordance with the evaluation criteria that the university has chosen to follow pursuant to Section 4 a, Paragraph 2 in matters involving promotion to associate professor

Following such a promotion, the individual holds a permanent position. Ordinance (Swedish Code of Statutes 2017:844)

*KTH evaluation criteria for promotion*

An assistant professor is to be promoted to associate professor who:

- a) is eligible for the position
- b) demonstrates research expertise in accordance with the above evaluation criteria. The individual is to have advanced expertise
- c) has successfully completed a teaching and learning in higher education program for at least 15 higher education credits or other educational program of corresponding scope and content
- d) demonstrates expertise in promoting development of and leading activities and staff. For that purpose, the individual is to be knowledgeable about diversity and equal opportunity issues, particularly gender equality
- e) demonstrates the ability to collaborate with the larger community, as well as disseminate information about research and development efforts
- f) demonstrates the ability to collaborate
- g) meets the specific evaluation criteria for promotion stipulated in the employment profile

Examination of the application is to include an assessment by the head of the school, division or department that is incorporated into the overall evaluation. The Faculty Council is to provide more detailed instructions for the content of the assessment.

### 1.3. Assistant professor

#### *Duties*

An assistant professor at KTH forms part of the faculty and works within an area of research in which collective responsibility is assumed for research and education.

An assistant professor shall be offered good conditions in their duties – academically and educationally – to qualify for promotion to associate professor. A mid-term evaluation of all assistant professors is implemented at school level with a view to supporting and following up the qualification process.

An assistant professor shall undergo courses in teaching and learning in higher education comprising at least 15 credits within the framework of the employment.

Duties within *research* include development of independent research activities within a research group, certain responsibility for research funding and also active participation in the scientific community through undertakings as reviewer, expert, external reviewer or lecturer.

Duties within *education* include active participation in the development and implementation of first-, second- or third-cycle courses and study programmes, together with supervision of Ph.D. students.

Duties within *leadership* and *third-stream activities* include support and feedback to younger colleagues within education and research and also participation in knowledge exchange with the outside world. Furthermore, duties within leadership include participation in change management and also internal and external faculty work.

#### *Position*

Chapter 4, Section 12a, Swedish Higher Education Ordinance, contains provisions concerning the position of assistant professor:

Section 12a An assistant professor may be appointed on a permanent basis for 4-6 years as determined by the university in advance. The purpose of the position is to afford the individual the opportunity to achieve independence as a researcher, as well as obtain the educational and research qualifications needed to be eligible for a professorial position.

A position pursuant to the first paragraph may be renewed for a total of two years if additional time is required to achieve the purpose due to sick leave, parental leave or other extraordinary circumstances.

A position pursuant to Paragraphs 1 and 2 is to be subject to the Employment Protection Act (Swedish Code of Statutes 1982:80) in all other respects.

Exemptions may be made to the Paragraphs 1 and 2 by means of a collective agreement that has been signed or approved by a national employee organization. Ordinance (Swedish Code of Statutes 2017:844).

The period of employment at KTH is six years.

#### *Eligibility and evaluation criteria*

Chapter 4, Section 4 a, Swedish Higher Education Ordinance, contains provisions concerning eligibility and evaluation criteria:

Section 4a An individual who has obtained a PhD or equivalent research expertise is qualified for appointment as an assistant professor. Candidates who met those qualifications within five years prior to expiration of the application period should be prioritized. Other candidates may also be considered if there are extraordinary grounds for doing so. Extraordinary grounds refer to illness, parental leave or similar circumstances.

Each university makes its own determination concerning the evaluation criteria to be used when appointing an assistant professor. Prior to the appointment process, the university is to list the evaluation criteria that will be used in a matter concerning promotion to associate professor pursuant to Section 12 c. Ordinance (Swedish Code of Statutes 2017:844).

### *KTH's criteria for assessment of qualification*

When assessing qualifications, the following approved criteria shall be applied. An assessment is also made of the individual applicant's time following degree of doctor/corresponding. As part of this assessment, consideration shall be taken of the parental leave and illness during this period that is specified in the application.

#### *Assessment of 'doctorate awarded'*

'Doctorate awarded' means a degree of doctor awarded at a Swedish university.

#### *Assessment of 'equivalent research competence'*

'Equivalent research competence' means either

- (1.) completed foreign third-cycle education, or
- (2.) academic work corresponding to a doctoral thesis within the subject field and documented experience of research projects that meets national intended learning outcomes for third-cycle programs in the subject field.

### *KTH's assessment criteria for employment*

The following assessment criteria apply in relation to the employment profile laid down:

- The degree of research expertise demonstrated through research publications, conference attendance, attendance of research cooperation and also other undertakings in the scientific community such as for example, assignments as a reviewer or expert.
- Potential to qualify for a higher teaching post. This includes the potential for independent development as a researcher and teacher within the subject field in question and also the ability to establish, review and develop the research area in question.
- Postdoc visits to a research environment other than the university at which the applicant defended their doctoral thesis. In application-oriented areas, experience from research and development work within the industry or other organizations is considered to correspond to a traditional postdoc visit to another university.
- An interest in and understanding of pedagogical development within the subject field in question.
- An interest in and understanding of leadership in an academic environment, third-stream activities, and awareness of diversity and equal treatment issues with a particular focus on gender equality.
- The degree of administrative and other expertise.

## 1.4. Adjunct professor

### *Duties*

An adjunct professor forms part of the KTH adjunct faculty and works within an area of research in which the professor contributes to research and education.

Duties for an adjunct professor are determined following consultation with external collaborating parties and the relevant school. This may to a reasonable extent correspond to duties within education, research, leadership and cooperation for professors described in Appendix 1.

### *Type of employment*

The type of employment for an adjunct professor is prescribed by Chapter 4, Section 11 of the Higher Education Ordinance:

Section 11 An adjunct professor shall be employed for an indefinite period but for no longer than until a specified date. Such an appointment may be extended. The total period of employment may not, however, exceed twelve years. In other respects the post is subject to the provisions of the Employment Protection Act (1982:80). Ordinance (2010:1064).

Appointments at KTH shall comprise at least 20% and at most 50% of full-time. Only individuals whose primary occupation is outside the university may be appointed.

### *Eligibility requirements and grounds of assessment*

Eligibility requirements and grounds of assessment for appointment as a professor are prescribed by Chapter 4, Section 3 of the Higher Education Ordinance:

Section 3 A person who has demonstrated both research and teaching expertise shall be qualified for employment as a professor except in disciplines in the fine, applied or performing arts. A person who has demonstrated both artistic and teaching expertise shall be qualified for employment as a professor in disciplines in the fine, applied or performing arts.

The assessment criteria for appointment as a professor shall be the degree of expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of research or artistic expertise. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of a professor. Ordinance (2010:1064).

See section 1.6. for assessment of artistic expertise.

### *KTH's criteria for assessment of research and teaching expertise*

The following criteria approved for assessing qualifying criteria shall be applied. When assessing each qualifying criterion, the degree of expertise shall be evaluated and a consideration of each expertise made individually. An equivalence assessment shall be conducted if the research or teaching expertise has been demonstrated in ways other than as described below.

#### *Research expertise*

The criteria for assessment of research expertise laid down in Appendix 1 can also be applied for an adjunct professor. Or alternatively the research expertise shall be such that:

- The applicant has been awarded a degree of doctor or has achieved corresponding academic competence.
- The applicant is among the leaders within research and development in the area of the employment. This should be demonstrated through building up and participating in national and international professional networks and/or leadership of important research and development

projects. Furthermore, this can be demonstrated through participation in seminars, holding lectures and administrative and representative duties in the context of assessment and investigation.

- The applicant has had a leading role through their own initiatives in the development of the activity or activities within which the applicant has been active.

#### *Teaching expertise*

The criteria for assessment of teaching expertise laid down in Appendix 1 can also be applied for an adjunct professor. Or alternatively the teaching expertise shall be such that:

- The applicant can demonstrate teaching experience from activities within their own company or organization, or corresponding experience within the university.
- The applicant can demonstrate experience of individual supervision for, for example, research projects and development work within their own company or organization, or through other mentorship or supervision of Ph.D. students and students working on degree projects within the university.
- The applicant demonstrates an interest in current pedagogical developments within the subject field for the employment and with related research methodology.
- The applicant has demonstrated educational leadership, for example through documented responsibility for degree or course programs, or roles assuming responsibility in competence developing cooperation projects.

#### *KTH's assessment criteria for employment*

The assessment criteria for appointment as an adjunct professor shall be the degree of the expertise required as a qualification for employment. In addition, the following assessment criteria apply:

- Experience of leadership within research and development activities within their own company or organization or alternatively corresponding experience with the university. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality.
- Familiarity with current development in terms of control and management of research and development within the subject field for the employment.
- The holding of patents, contribution to patents or other documented contributions to innovation processes or concept and product development that resulted in business and operational development.
- Administrative and other expertise in relation to the established subject field and the duties to be included in the employment.
- Ability to pursue third-stream activities and collaborate with the scientific community.

## 1.5. Lecturer

### *Duties*

A lecturer at KTH contributes to developing and implementing mainly preparation for university level and first-cycle courses and study programmes.

A lecturer at KTH has undergone courses in teaching and learning in higher education comprising at least 15 credits or has acquired equivalent knowledge through other pedagogical courses or study programmes with specialization in education in higher education institutions. If such a course has not been taken at the time of appointment, the lecturer should complete the course within two years within the framework of employment.

Duties within *research* and *development work* may include research within a research group and also pedagogical and subject development work.

Duties within *education* include active participation in the development and implementation of courses and study programmes, mainly preparatory for higher education or first-cycle courses and study programmes, and also contribution to pedagogical development broadly within the educational field. Furthermore, duties within education include providing special competence within applied subject fields.

Duties within *leadership* and *third-stream activities* include support and feedback to younger colleagues within education, participation in change management and also participation in knowledge exchange with the outside world. Furthermore, duties within leadership may include participation in management work in respect of courses and study programmes.

A lecturer cannot be promoted to associate professor within the framework of their employment.

### *Type of employment*

An appointment as a lecturer applies for an indefinite period or is limited in accordance with the provisions of the Employment Protection Act.

### *Eligibility*

Those qualified for appointment as a lecturer, except in disciplines in the fine, applied or performing arts, are a person who has

- 1) been awarded a degree from first-cycle academic education within the subject of the employment or has corresponding competence,
- 2) professional expertise that is of value in view of the subject matter of the post and the duties it will involve, and
- 3) demonstrated teaching expertise.

### *Assessment criteria*

The assessment criteria for appointment shall be the degree of the expertise required as a qualification for employment. In addition, the degree of administrative and other expertise of value in relation to the employment profile determined applies.

The subject and professional expertise shall be well documented and relevant to the content of the employment. A least four years' professional expertise in a qualified post outside the university linked to the subject field in question is normally required for employment as a lecturer. Particular consideration should be taken of expertise in respect of development work within the area.

The pedagogic competence shall be well documented and attributed great importance for the employment. The assessment of teaching expertise shall also relate to the person's long-term ability to

develop as a teacher. Pedagogical experience may be obtained through activities at both the university and in other activities. Courses in teaching and learning in higher education are of merit.

The ability to pursue third-stream activities applies as an additional assessment criterion for the employment. Furthermore, the degree of expertise to develop and lead activities and staff should be considered and likewise interpersonal skills. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality.

## 1.6. Teacher on artistic merit

### *Duties*

Duties for a professor, associate professor or assistant professor employed in the fine, applied and performing arts generally correspond to duties within education, leadership and third-stream activities specified for the corresponding teacher category in Appendices 1, 2 and 5. Duties in third-cycle research and education may be included, then usually within the framework of artistically oriented research and development work.

### *Type of employment*

The type of employment for teachers in the fine, applied and performing arts is prescribed by Chapter 4, Section 10 of the Higher Education Ordinance:

Section 10 A teacher in disciplines in the fine, applied or performing arts may be employed for an indefinite period, however for no longer than five years. Such an appointment may be extended. The total period of employment may not, however, exceed ten years. Ordinance (2010:1064).

See Clause 8 of the Appointments Procedure for appointment of adjunct professors or visiting professors in the fine, applied and performing arts.

### ***6a) Eligibility requirements and assessment criteria for appointment of professors in the fine, applied and performing arts***

Eligibility requirements and assessment criteria for appointment as a professor are prescribed by Chapter 4, Section 3 of the Higher Education Ordinance:

Section 3 A person who has demonstrated both research and teaching expertise shall be qualified for employment as a professor except in disciplines in the fine, applied or performing arts. A person who has demonstrated both artistic and teaching expertise shall be qualified for employment as a professor in disciplines in the fine, applied or performing arts.

The assessment criteria for appointment as a professor shall be the degree of expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of research or artistic expertise. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of a professor. Ordinance (2010:1064).

The criteria laid down in Appendix 1 are applied when assessing teaching expertise. When assessing artistic expertise, an assessment is made corresponding to the criteria applied for research expertise in Appendix 1 of importance to the specialization for the fine, applied and performing arts in question. An equivalence assessment shall be conducted if the teaching or artistic expertise has been demonstrated in another way. The degree of expertise is evaluated during the assessment, and a consideration made of the combined qualifications.

The assessment criteria for appointments shall be the degree of the expertise required as a qualification for employment. In addition, the following assessment criteria apply in relation to the employment profile laid down:

- Ability to pursue third-stream activities and also provide information about artistic development work.
- The degree of expertise to develop and lead activities and staff. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality.
- The degree of administrative and other expertise.
- Interpersonal skills.

***6b) Eligibility requirements and assessment criteria for appointment of associate professors in the fine, applied and performing arts***

Eligibility requirements and assessment criteria for appointment as an associate professor are prescribed by Chapter 4, Section 4 of the Higher Education Ordinance:

Section 4 Those qualified for appointment as an associate professor are

1. except in disciplines in the fine, applied or performing arts, a person who has demonstrated teaching expertise and been awarded a PhD or has the corresponding research competence or some other professional expertise that is of value in view of the subject matter of the post and the duties that it will involve, and
2. in disciplines in the fine, applied or performing arts, a person who has demonstrated teaching expertise and been awarded a doctorate in fine, applied or performing arts, has demonstrated artistic expertise or has some other professional expertise that is of value in view of the subject matter of the post and the duties that it will involve.

The assessment criteria for appointment as an associate professor shall be the degree of expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of other qualifying criteria laid down in the first paragraph above. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of an associate professor. Ordinance (2010:1064).

As much attention shall be given to assessment of teaching expertise as to the assessment of other qualifying criteria. When assessing teaching expertise, the criteria laid down in Appendix 2 are applied. When assessing other qualifying criteria, an assessment is made corresponding to the criteria applied for these in Appendix 2 of value to the specialization of the fine, applied and performing arts in question. An equivalence assessment shall be conducted if the teaching or artistic expertise has been demonstrated in another way. During the assessment, the degree of expertise is evaluated and a consideration made of the combined qualifications.

The assessment criteria for appointments shall be the degree of the expertise required as a qualification for employment. In addition, the following assessment criteria apply in relation to the employment profile laid down:

- The degree of artistic expertise
- The ability to pursue third-stream activities and also provide information about artistic development work.
- The degree of expertise to develop and lead activities and staff. This includes knowledge of diversity and equal treatment issues with a particular focus on gender equality.
- The degree of administrative and other expertise.
- Interpersonal skills.

***6c) Eligibility requirements and grounds of assessment for appointment of lecturers in the fine, applied and performing arts***

A person shall be qualified for employment as a lecturer in the fine, applied or performing arts if they have

- 1) been awarded a degree from first-cycle academic education within the subject of the employment or have corresponding competence,
- 2) professional artistic expertise that is of value in view of the subject matter of the post and the duties it will involve, and
- 3) demonstrated teaching expertise.

The assessment criteria for appointments shall be the degree of the expertise required as a qualification for employment. Appendix 5 otherwise applies as assessment criteria for appointments.

## 1.7. Researcher

### *Duties*

A researcher contributes to projects in a field that has one or more established settings at KTH.

Recruitment of KTH researchers is to be based primarily on needs that have been identified for current projects.

Research duties may include independent efforts, as well as directing or participating in projects or teams. Duties may also include various specialist skills, such as development and handling of complex equipment, development initiatives or sophisticated administrative research support.

Educational duties may include supervision of students and teaching of course modules, as well as principal third-cycle supervision of researchers who have been admitted as docents. No more than 20% of the researcher's time may be devoted to educational duties.

Leadership and collaboration duties may include direction or coordination of research teams, laboratory work and assistance at centers or the equivalent.

### *Position*

A position as a researcher is either permanent or temporary pursuant to the provisions of the Swedish Employment Protection Act.

### *Qualifications*

#### *Requirements*

PhD or a foreign degree deemed to be equivalent.

Additional requirements are incorporated into the employment profile.

#### *Useful*

The following knowledge and skills are to be incorporated into the employment profile as either required or useful. Useful knowledge and skills may be ranked in accordance with their relevance to the position.

Research expertise

Educational skills.

Ability to promote the application of research findings

Ability to disseminate information about research and development efforts

Experience of promoting the development of and leading activities and staff

Knowledge of diversity and equal opportunity issues, particularly gender equality

Ability to collaborate

Independence

Additional knowledge and skills that are useful at the position may be incorporated into the employment profile.

## 1.8. Postdoc

Apart from the provisions of agreements concerning temporary employment between the Swedish Agency for Government Employers and the Public Employees Negotiation Council, Swedish Confederation of Professional Associations and Union for Service and Communication Employees, the following regulations are in effect at KTH.

### *Duties*

A postdoc at KTH contributes to research in a field that has one or more established settings at KTH.

Research duties may include participation on teams, constructing networks, improving one's own skills and learning to be more independent.

Educational duties may include proactive participation at all levels. Assistant supervision of doctoral students may be involved. No more than 20% of the postdoc's time may be devoted to educational duties (refer to national agreements above).

### *Position*

Pursuant to agreements concerning temporary positions, a postdoc is appointed on a permanent basis for up to two years. The appointment may be extended in accordance with the terms specified by the agreement.

### *Qualifications*

#### *Requirements*

PhD or a foreign degree deemed to be equivalent.

Additional requirements are incorporated into the employment profile.

#### *Useful*

Candidates who obtained a PhD within three years prior to expiration of the application period should be prioritized (refer to national agreements).

The following knowledge and skills are to be incorporated into the employment profile as either required or useful. Useful knowledge and skills may be ranked in accordance with their relevance to the position.

Research expertise

Educational skills.

Familiarity with diversity and equal opportunity issues, particularly gender equality

Ability to collaborate

Independence

Additional knowledge and skills that are useful at the position may be incorporated into the employment profile.

## 1.9. Graduate engineer

### *Duties*

A graduate engineer at KTH has not normally obtained a PhD and may serve as a technician or the equivalent.

Recruitment of graduate engineers is to be based primarily on needs that have been identified for current research projects. For research duties that can be performed by those who have not obtained a PhD, doctoral student employment is to be considered first.

### *Position*

A position as a graduate engineer is either permanent or temporary pursuant to the provisions of the Swedish Employment Protection Act.

### *Qualifications*

#### *Requirements*

First or second-cycle degree in the subject to which the position is related or equivalent expertise. Additional requirements are incorporated into the employment profile.

#### *Useful*

The following knowledge and skills are to be incorporated into the employment profile as either required or useful. Useful knowledge and skills may be ranked in accordance with their relevance to the position.

Expertise in the subject

Professional expertise

Familiarity with diversity and equal opportunity issues, particularly gender equality

Ability to collaborate

Independence

Additional knowledge and skills that are useful at the position may be incorporated into the employment profile.

## 2. Recruitment procedure

### *Division of responsibility in the recruitment procedure*

2.1. The division of responsibility when employing teachers is indicated by the Rules of Procedure for KTH and the Decision making and Delegation Policy for KTH. Matters involving appointment of teachers are to be drafted by the Faculty Council and human resources division in collaboration with the school with which the position is affiliated.

Matters involving appointment of researchers are to be drafted by the school with which the position is affiliated.

### *Establishment of positions and recruitment authorization*

2.2. The president makes decisions concerning the establishment of teaching positions based on proposals by the head of the school. The content of such proposals is to comply with instructions by the Faculty Council.

Research positions require recruitment authorization approved in accordance with KTH delegation regulations.

### *Employment profile*

2.3. Each position is to be accompanied by an employment profile. Apart from subject field, eligibility requirements and evaluation criteria, the content of a profile is to comply with the instructions of the Faculty Council. The profile for assistant professor is to contain evaluation criteria for promotion to associate professor.

Profiles for researcher positions are to include qualifications.

### *Information about vacancies*

2.4. Section 6, Swedish Employment Ordinance, contains provisions concerning information about vacancies:

Section 6 An authority that is planning to fill a vacancy is to advertise it such that potential candidates can apply within a specified period of time.

An authority is to advertise a vacancy about which the Government is to make a decision based on a proposal or notification by the authority or its director.

No advertisement is required if extraordinary grounds suggest otherwise.

The president is to make decisions concerning the way in which KTH advertises vacancies and whether there are extraordinary grounds for not doing so.

### *Questions about expert assessments when appointing professors and other teachers*

2.5. Chapter 4, Section 6 of the Swedish Higher Education Ordinance contains provisions concerning expert assessments:

Section 6 When appointing a (adjunct) professor, an expert assessment of the candidate's expertise is to be obtained unless clearly unnecessary.

An assessment that is obtained from more than one individual is to be performed by teams on which women and men are fairly represented unless extraordinary grounds suggest otherwise.

Ordinance (Swedish Code of Statutes 2010:1064).

Unless clearly unnecessary, an expert assessment is also to be obtained when appointing teachers other than professors at KTH. The Faculty Council makes decisions concerning questions about expert assessments.

### *Fair representation on teams that propose appointment of teachers*

2.6. Chapter 4, Section 5 of the Swedish Higher Education Ordinance contains provisions concerning fair representation:

Section 5 A team that proposes candidates for a teaching position is to have fair representation of women and men unless extraordinary grounds suggest otherwise. Ordinance (Swedish Code of Statutes 2010:1064).

The Faculty Council makes decisions concerning the way in which proposed candidates for teaching positions are to be identified.

*Fair representation on teams that propose appointment of researchers*

2.7. A team that proposes candidates for a research position is to have fair representation of women and men unless extraordinary grounds suggest otherwise.

*Decisions concerning appointment*

2.8. Chapter 4, Section 13 of the Swedish Higher Education Ordinance contains provisions concerning the officials who are to appoint teachers:

Section 13 Appointment of teachers, including a response to an application for promotion pursuant to Section 12 c, is based on a decision by the president. Decisions concerning appointment of professors may not be delegated. Ordinance (Swedish Code of Statutes 2017:844).

Decisions concerning appointment of researchers, as well as teachers other than professors, are to comply with delegation procedures.

*Decisions to terminate an appointment process*

2.9. Decisions to terminate an appointment process are to comply with delegation procedures.

*Announcing appointment decisions*

2.10. Sections 7-8 of the Swedish Employment Ordinance contain provisions concerning the way in which appointment decisions are to be announced.

Section 7 The authority is to announce appointment decisions on its bulletin board.

Compliance with the first paragraph is not required for an appointment:

- that is expected to last for six months or less
- of an individual who is already a candidate at the authority

Section 8 An announcement pursuant to Section 7 is to contain:

1. the date that it was put up
2. appeal procedures
3. any dissenting opinions noted in the minutes or other document

The president is to make all other procedural decisions.

*Appealing an appointment decision*

2.11. Chapter 12, Section 2 of the Higher Education Ordinance contains provisions concerning appeal procedures:

Section 2 The Board of Appeal for the university may hear decisions concerning:

1. an appointment other than a doctoral student, or an associate professor promoted pursuant to Chapter 4, Section 12 c
- [...] (Ordinance (2017:844))

The president is to make decisions about processing of appeals.

*Archiving of application documents*

2.12. According to the provisions of the National Archive, application documents excluding publications shall be archived for two years after the decision has entered into legal force (RS-FS 2004:1).

### **3. Promotion of associate professors and assistant professors**

#### *Application*

3.1. An application for promotion is to follow the instructions of the Faculty Council. An application for promotion to associate professor is to be filed sufficiently in advance for KTH to evaluate it and reach a decision before the application period expires.

#### *Subject field*

3.2. The subject field for the promotion shall be identical to that of the current position. The Faculty Council is to determine that the applicant has an established subject field. If this is not the case, the Faculty Council shall determine the subject field.

A set subject field can be changed if there are special grounds for this, such as the subject field's topicality having changed. The President decides on changes. The decision-making authority cannot be delegated.

#### *Grounds of assessment of assistant professors*

3.3. In addition to the general grounds of assessment specified in section 1.2, the assistant professor's employment profile should also include special assessment grounds for promotion. If such grounds of assessment are missing, the Faculty Council shall decide on which grounds are to be applied.

#### *Matters regarding expert assessment*

3.4. Expert assessments shall always be acquired, unless they are clearly unneeded. The Faculty Council, in addition to what is stated in Chapter 4 of the Higher Education Ordinance, decides on matters regarding expert assessment.

#### *Suggestions for decisions regarding promotion applications*

3.5. The Faculty Council shall submit suggestions for decisions regarding applications for promotion to professor and associate professor.

#### *Decisions regarding promotion*

3.6. The President decides on promotions to professor and associate professor (after consulting with the Dean of School). A decision on promotion to professor may not be delegated.

#### *Appealing a decision concerning promotion to associate professor*

3.7. See section 2.11.

## 4. General information about terms of employment

### *Employment contracts*

4.1. Employment contracts should be entered into after KTH's public law decision to appoint the applicant has entered into legal force, i.e. when the decision may no longer be appealed. The employment contract should specify the subject field of the appointment and the matter's reference number. The employment profile should be included with the contract.

### *Agreement concerning the content of a tenure track position to which a candidate is recruited or promoted.*

4.2. An agreement is to be entered into concerning the content of a tenure track position to which a candidate is recruited. An agreement may also be entered into when a candidate is promoted to associate professor or professor. The purpose is for all specific terms of employment, including any grants, special obligations or employer's contributions, to be clearly documented and understood. The agreement is to include a plan for completion of any higher education teaching and learning programs that the candidate lacks. Similarly, the agreement is to include a plan for introduction to Swedish and continuing professional development that is required if the candidate has been recruited from abroad. Normally speaking, all specified initiatives and terms are to expire within 4-6 years after the appointment begins. After that time, the appointment is to be subject to the same terms as the remainder of the faculty. The agreement is between the individual and the head of the school.

### *Salary and information about fringe benefits*

4.3. Following individual negotiations when appointing a professor, the president sets the salary. The head of the human resources division provides information about fringe benefits.

Following individual negotiations when appointing a researcher or other teacher, the head of the school sets the salary.

## 5. Other provisions

### *Deviations from the appointment procedure*

5.1. The eligibility requirements and grounds of assessment detailed in this appointments procedure may in individual cases be based on or replaced by other requirements and grounds according to the specific requirements as outlined in the job description. Such exceptions are decided on when establishing the employment and may not deviate from what is specified in the Higher Education Act and Higher Education Ordinance.

In addition, the President may consent to deviations from this appointments procedure if there is special reason to do so. The grounds for each exception shall be documented and the University Board shall be informed after the fact.

### *Reviews and changes*

5.2. The Faculty Council shall continuously review this appointment procedure and, when needed submit suggestions for changes to the University Board.

### *Regulations regarding this procedure's entry into force and interim provisions*

1. This appointment procedure enters into force on 1 April 2018 and thereby replaces the appointment procedure for teachers at KTH (V-2016-0106).

2. Assistant professors appointed prior to 1 April 2018 are subject to the older provisions of Chapter 4, Section 12 a.