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Human Resources

## Appointments Procedure at KTH

This appointments procedure has been decided pursuant to chapter 2 section 2 point 9 of the Higher Education Ordinance (1993:100).

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## Introduction

The appointments procedure contains rules that KTH applies for the appointment of teaching staff and researchers, as well as for promotion to certain teaching positions. The president decides, after joint consultation with the faculty council and HR department, on *guidelines for the appointments procedure* which describes in more detail the procedure for the appointment of teaching staff and researchers, as well as procedures for promotion. There are also *work procedures at KTH*, *personnel policy* and *delegation procedures at KTH* which affect appointments and promotion.

## Recruitment goals

It is KTH's intention to create an excellent university by focusing on the development of strong research and learning environments within important areas. To achieve success, KTH must appoint teaching staff and researchers within established areas of strength where reinforcement is needed, but also develop new areas and areas of strategic significance for society.

At KTH there is a tenure track, the purpose of which is to recruit persons to academic positions and to give them the conditions for the long-term development of their excellence in research and teaching. The tenure track normally begins with employment as an assistant professor. For teaching staff on the tenure track, there are opportunities for promotion up to professor level.

For KTH to retain and develop its position as a leading international technical university, the scholarly level must remain high and in line with developments in other countries and regions. For teaching to maintain the highest quality, there must be good, natural collaboration with research. Recruitment of KTH's teaching staff shall therefore primarily be to positions on the tenure track, where an integrated perspective on teaching and research is a prerequisite. Announcements shall attract many applicants and appointments shall be made in good competition. Teaching staff on the tenure track lead the development of the university's research and teaching activities.

KTH also needs personnel who supplement the tenure track in both research and teaching. Large volumes of externally financed research require the recruitment of highly specialised personnel to the relevant research projects. The academic career system also includes defined-term appointments for newly qualified PhDs which promote mobility and provide qualifications for an independent research career. In some subjects there is a large volume of teaching at first cycle level. Lecturers may be recruited to reinforce the teaching capacity in such subjects, as well as in cases where specific professional experience and/or teachers with degrees in education are needed for teaching in technical foundation year programmes and engineering, education and architecture programmes.

When there is a recruitment need in research and teaching, appointments in tenure track post doc and doctoral student positions shall first be considered. Levels in tenure track shall always be carefully considered based on potential for renewal, the current needs of the operation and the exiting recruitment base.

At KTH, the following teaching positions are included in the tenure track: professor, associate professor and assistant professor. The teaching positions that are outside the tenure track are adjunct professor, visiting professor, lecturer and teacher on artistic grounds. At KTH, there are the following research positions: researcher, post doc and research engineer.

## **Equal opportunity**

To renew the faculty and attract and keep excellent teachers and researchers, KTH develops consistent and clear leadership at all levels. Active and deliberate work on equal opportunity and equal conditions for work is part of this process. The purpose of the work on equal opportunity is to create an attractive and inclusive environment for work and study, which is characterised by equal opportunity in career paths for all employees. Not providing equal opportunities or equal conditions would bring a risk that KTH could not make the most of the competence and potential that exists in the faculty.

The personnel policy and KTH's development plan 2018 - 2023 state goals and measures that shall be considered in recruitment. By taking into account what is expressed in the Discrimination Act and in KTH's policies, each preparatory body and decision maker shall seek to achieve a more equal gender distribution at KTH.

## **Legal regulation**

KTH is an administrative authority. The basic provisions for the employment of teachers are prescribed in the legal regulations for central government sector employment and in general labour law legislation. According to the Instrument of Government (1974:152), administrative authorities shall take into account everyone's equality under the law and shall observe objectivity and impartiality. The law also states that central government sector appointments shall be based on reasonable grounds such as length of service and expertise. Additional provisions are found in the Public Employment Act (1994:260) and in the regulations on application in the Employment Ordinance (1994:373). There are also specific regulations for public higher education in the Higher Education Act (1994:1434) and the Higher Education Ordinance (1993:100). Provisions may also be found in the Discrimination Act (2008:567), the Administration Act (2017:900) and the Language Act (2009:600). Transparency in employment procedures is also guaranteed by the principle of public access to official records, which is expressed, among other places, in chapter 2 of the Freedom of the Press Act in its provisions on public access to documents.

# 1 Teaching staff

## 1.1 Professor

### 1.1.1 Duties

A professor at KTH is part of the faculty and is a leading representative in a scholarly area in which joint responsibility is taken for research and teaching.

A professor at KTH has completed education in higher education pedagogics of at least 15 credits or has acquired equivalent knowledge through other pedagogical qualifications specialising in higher education. If a professor does not have such qualifications on appointment, he or she should acquire them within the framework of employment within three years.

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

Duties in *teaching* include active participation in academic leadership and the development and performance of teaching at first, second and third cycle levels, as well as supervision and the examination of doctoral students.

Duties in *leadership* and *collaboration* include support and feedback to younger employees in teaching and research, participation in leadership work at KTH and school level, change work, internal and external faculty work, development of collaboration across subject boundaries both within and outside KTH and participation in and development of the exchange of information and external communication.

### 1.1.2 Form of employment

Provisions regarding form of employment may be found in chapter 3 section 3 of the Higher Education Act:

Section 3 A professor shall be employed on a permanent basis without time limit, unless otherwise follows from the second paragraph.

A professor may be appointed for a fixed term if this concerns

1. artistic activities,
2. adjunct to a university of someone whose main activities are outside the field of higher education (adjunct professor), or
3. an appointment as visiting teacher of a person who fulfils the qualification requirements for professor (visiting professor). Act (2010:701).

### 1.1.3 Qualifications and grounds for assessment

Provisions regarding qualifications and grounds for assessment may be found in chapter 4 section 3 of the Higher Education Ordinance:

Section 3 § To be qualified for appointment as a professor in other than artistic activities, a person must have demonstrated both research and teaching expertise. To be qualified for appointment as a professor in artistic activities, a person must have demonstrated both artistic and teaching expertise.

As assessment grounds for the appointment of a professor, the degree of such skills as are a requirement for qualification for the position shall apply. Testing of the teaching skills shall be given the same care as testing of the research or artistic skills. Otherwise, each university decides for itself what grounds for assessment shall apply in the appointment of a professor. Ordinance (2010:1064).

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

The criteria stated below for assessment of grounds for assessment skills shall be applied. In the assessment of each of the grounds for assessment, the degree of expertise shall be evaluated and a balanced assessment shall be made of each skill. If the research or teaching expertise has been demonstrated in a way other than as described below, a corresponding assessment shall be made.

##### *Academic leadership*

The applicant shall have demonstrated academic leadership in his or her research and teaching activities. Academic leadership in research activities refers for example to building up and leading a group of researchers at his or her own university, establishing a research collaboration within or outside his or her own university or significant efforts in the scholarly development of the subject area. Academic leadership in teaching activities refers for example to leading, building up or developing educational programmes or establishing teaching activities and pedagogical collaboration initiatives within or outside the university. Academic leadership shall be assessed to be strong in at least one of the two grounds for qualification.

##### *Collaboration*

The applicant should demonstrate documented experience of collaborating with society at large through his or her research or teaching activities.

*The research expertise shall also be such that the applicant:*

- Is internationally recognised in the area of employment, for example demonstrated through invitations to lecture or review or external reviewer assignments of a not insignificant extent.
- Has academic publications that are of high quality and significant scope, demonstrates relevance and has been published in respected international periodicals or other forms of publication that are relevant in the specific subject area.
- Has built up his or her own research activities. These should be funded by his or her own research grants, obtained in international or national competition from research councils, foundations, business etc. The activities should include doctoral students among others.

*The teaching expertise shall also be such that the applicant:*

- Has conducted teaching of high quality and to a significant extent at third cycle level and also at first or second cycle level. The teaching activity shall be relevant, evaluated and analysed.
- Can demonstrate documented responsibility for and independent formulation of courses or elements of courses, development of teaching and experience of administration of teaching in further education.
- Can demonstrate documented experience of individual supervision at third cycle level. This means that the applicant shall normally have been the principal supervisor for at least one doctoral student who has achieved a doctorate. Principal supervisor means having responsibility for the whole process from recruitment and admission to examination, as well as active work in supervision both in courses at third cycle level and in the actual thesis work.
- Can demonstrate documented experience of individual supervision in addition to supervision of doctoral students, for example supervision of examination work or supervision of post docs.
- Is very familiar with current pedagogical development in the subject area for the employment, as well as with related research methodology, learning-focused teaching methods and forms of examination and evaluation.

#### *1.1.3.2 KTH's grounds for assessment for employment*

As assessment grounds for appointment as a professor, the degree of such skills as are a requirement for qualification for the position shall apply. The following grounds for assessment also apply in relation to the employment profile determined:

- The level of skill in developing and leading activities and staff. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- The level of administrative skills and other skills.
- Collaborative abilities.

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

Provisions regarding procedures for calling for the appointment of a professor may be found in chapter 4 section 7 of the Higher Education Ordinance:

Section 7 A university may call for the appointment of a person as a professor if employment of the person is of especial significance for a certain activity at the university. If a university calls for the appointment of a person, the reason why the employment is of especial significance for the university shall be documented.

Only those who are qualified for employment according to section 3 may be called for employment.

The decision to call for the employment of a person is taken by the president and may not be delegated.

When calling for the employment of a person, no such information as is referred to in section 6, first paragraph of the Employment Ordinance (1994:373) need be given. The provisions on expert assessment in section 6 shall apply. Ordinance (2010:1064).

At KTH, the procedures for calling for the employment of a person shall be used very restrictively.

#### 1.1.5 Visiting professor (employment outside the tenure track)

Provisions regarding the form of employment may be found in chapter 4 section 12 of the Higher Education Ordinance:

Section 12 The employment of a visiting professor shall, as a maximum, be until a specified date. Such employment may be renewed. The total employment period may not be longer than five years, however. Otherwise, the Employment Protection Act (1982:80) applies for employment issues. Ordinance (2010:1064).

At KTH, the employment shall comprise at least 20% of full time and the candidate should normally be employed as a professor at another university.

#### 1.1.6 Promotion from associate professor to professor

A permanently employed associate professor can, after application, be promoted to the position of professor if the associate professor:

- a) has the qualifications for such employment,
- b) has completed education in higher education pedagogics of at least 15 credits or other pedagogical education of comparable scope and content.
- c) demonstrates skill in developing and leading activities and staff. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- d) demonstrates the ability to collaborate with society at large and to inform about research and development abilities.
- e) demonstrates administrative skills.
- f) demonstrates collaborative abilities.

A further prerequisite is that the unit involved judges that the promotion of the associate professor to professor corresponds to its long-term needs and is of significance for KTH.

As part of the assessment of the application, the head of school and head of department shall issue a statement that complies with the requirements that are stated in the *guidelines for the appointments procedure*.

## 1.2 Associate professor

### 1.2.1 Duties

An associate professor at KTH is part of the faculty and works within a scholarly area in which joint responsibility is taken for research and teaching.

An associate professor at KTH has completed education in higher education pedagogics of at least 15 credits or other pedagogical education of comparable scope and content. If an associate professor does not have such qualifications on appointment, he or she should acquire them within the framework of employment within three years.

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

Duties in *teaching* include active participation in the development and performance of teaching at first, second and third cycle levels, as well as some supervision of doctoral students.

Duties in *leadership* and *collaboration* include support and feedback to younger employees in teaching and research, participation in change work, internal and external faculty work and development of the exchange of information and external communication.

### 1.2.2 Form of employment

An associate professor shall be employed on a permanent basis.

### 1.2.3 Qualifications and grounds for assessment

Provisions regarding qualifications and grounds for assessment may be found in chapter 4 section 4 of the Higher Education Ordinance:

Section 4 To be qualified for appointment as an associate professor, a person must

1. in appointments other than for artistic activities, have demonstrated teaching expertise, have qualified as a doctor or have corresponding scholarly competence or some other professional skills that are of significance for the position's subject content and the duties that the position involves, and
2. in appointments for artistic activities, have demonstrated teaching expertise, have qualified as a doctor in an artistic field, have demonstrated artistic skills or have some other professional skills that are of significance for the position's subject content and the duties that the position involves.

As assessment grounds for the appointment of an associate professor, the degree of such skills as are a requirement for qualification for the position shall apply. Testing of the teaching expertise shall be given the same care as testing of other grounds for qualification according to the first paragraph. Otherwise, each university decides for itself what grounds for assessment shall apply in the appointment of an associate professor. Ordinance (2010:1064).

#### 1.2.3.1 KTH's criteria for the assessment of teaching expertise and other grounds for qualification

The criteria stated below for assessment of grounds for assessment skills shall be applied. In the assessment of each of the grounds for assessment, the degree of expertise shall be evaluated and a

balanced assessment shall be made of each skill. If the teaching expertise has been demonstrated in a way other than as described below, a corresponding assessment shall be made.

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

- Has conducted teaching of high quality and to a significant extent at first or second cycle level. The teaching activity shall be relevant, evaluated and analysed. The applicant should be able to demonstrate some experience of all levels of education.
- Can demonstrate documented experience of the formulation of courses or elements of courses at higher education level.
- Can demonstrate documented experience of individual supervision for example supervision of examination work or at third cycle level.
- Is familiar with current research and teaching development in the subject area for the employment, as well as with related research methodology and learning-focused teaching methods.
- Can demonstrate some experience of leading and organising teaching.

*Qualified as a doctor*

Qualified as a doctor means having the degree of doctor from a Swedish university.

*Corresponding scholarly competence*

Corresponding scholarly competence refers to either (1.) having the degree of doctor from a foreign university or (2.) scholarly work that corresponds to a doctoral thesis in the subject area and documented experience of research activities corresponding to the fulfilment of central intended learning outcomes for education at third cycle level in the subject area.

*Other professional skills*

Other professional skills refers to long experience in industry or other relevant professional experience with at least three years in a qualified position connected with the relevant subject area for the associate professor position. In the assessment, skills relating to research and development should be considered in particular. Professional skills shall be well documented.

For employment as an associate professor at KTH Architecture, particular consideration should be given to whether the applicant has made significant and independent contributions to subject development in the field of architecture.

#### *1.2.3.2 KTH's criteria for the assessment of research expertise*

*The research expertise for an associate professor should be such that the applicant:*

- Has demonstrated the ability to independently formulate and resolve research problems.
- Is active within, or close to, the international research front.

- Has published scholarly work to a not insignificant extent in internationally recognised academic periodicals or other forms of publication that are relevant in the specific subject area.
- Has demonstrated the ability to lead research activities. Such abilities can be demonstrated, for example, with documented experience of project management in a research project, supervision in education at third cycle level, supervision of post docs or other relevant leadership duties.
- Has demonstrated the ability to apply for and receive funding for and run research projects based on, for example, publications, reports and decisions on granted funding.

#### 1.2.3.3 *KTH's grounds for assessment for employment*

As assessment grounds for appointment as an associate professor, the degree of such skills as are a requirement for qualification for the position shall apply. The following grounds for assessment also apply in relation to the employment profile determined:

- The level of research expertise according to the above-mentioned grounds for assessment.
- The level of administrative skills and other skills that are of significance.
- The level of skill in developing and leading activities and staff. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- The ability to collaborate with society at large and to inform about research and development work.
- Collaborative abilities.

#### 1.2.4 Promotion from assistant professor to associate professor

Provisions regarding promotion may be found in chapter 4 section 12c of the Higher Education Ordinance:

Section 12c An assistant professor who is employed in accordance with section 12a at a university shall, after application, be promoted to associate professor at the university if he or she

1. is qualified for employment as associate professor and
2. is assessed to be appropriate for such a position according to the grounds for assessment that the university has determined, in accordance with section 4a second paragraph, shall apply in a case of promotion to associate professor.

Such a promotion means permanent employment as an associate professor. Ordinance (2017:844).

#### 1.2.4.1 *KTH's grounds for assessment for promotion*

An assistant professor shall be promoted to associate professor if the assistant professor:

- has the qualifications for such employment,
- demonstrates research expertise according to the above-mentioned grounds for assessment. The level of expertise shall be high.

- has completed education in higher education pedagogics of at least 15 credits or other pedagogical education of comparable scope and content.
- demonstrates skill in developing and leading activities and staff. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- demonstrates the ability to collaborate with society at large and to inform about research and development work.
- demonstrates collaborative abilities, and
- fulfils the specific grounds for assessment for promotion that are specified in the applicant's employment profile.

As part of the assessment of the application, the head of school and head of department shall issue a statement that complies with the requirements that are stated in the *guidelines for the appointments procedure*.

### 1.3 Assistant professor

#### 1.3.1 Duties

An assistant professor at KTH is part of the faculty and works within a scholarly area in which joint responsibility is taken for research and teaching.

An assistant professor shall be offered good conditions for using his or her duties to qualify in research and teaching terms for promotion to associate professor. For the purpose of supporting and following up the process of acquiring qualifications, all assistant professors are assessed at school level at a mid-term evaluation.

An assistant professor shall complete education in higher education pedagogics of at least 15 credits as part of the employment duties.

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

Duties in *teaching* include active participation in the development and performance of teaching at first, second or third cycle levels, as well as supervision of doctoral students.

Duties in *leadership* and *collaboration* include support and feedback to younger employees in teaching and research and development of the exchange of information and external communication. Duties in leadership may also include participation in change work and internal and external faculty work.

#### 1.3.2 Form of employment

Provisions regarding the form of employment may be found in chapter 4 section 12a of the Higher Education Ordinance:

Section 12a Employment of an assistant professor may be for a maximum of between four and six years, as determined by the university before the appointment. The purpose of the employment is that the teacher shall be given the opportunity to develop his or her independence as a researcher and qualify in both research and teaching terms for employment as an associate professor.

Employment according to the first paragraph may be renewed, although not for more than a total of two years, if the assistant professor requires more time to achieve the purpose of the employment because of sick leave, parental leave or other special reasons.

Otherwise, the Employment Protection Act (1982:80) applies for employment according to the first and second paragraphs.

Exemptions from the first and second paragraphs may be made through a collective agreement that has been drawn up or approved by a central employee organisation. Ordinance (2017:844).

At KTH the employment period has been determined as six years.

### 1.3.3 Qualifications and grounds for assessment

Provisions regarding qualifications and grounds for assessment may be found in chapter 4 section 4a of the Higher Education Ordinance:

Section 4a To be qualified for appointment as an assistant professor, a person must have qualified as a doctor or have corresponding scholarly competence. Primarily, the person should have qualified as a doctor or acquired corresponding scholarly competence no more than five years before the time for application for the position of assistant professor has expired. Those who have qualified as a doctor or acquired corresponding scholarly competence earlier may however be considered if there are special reasons. Special reasons refers here to sick leave, parental leave or other similar circumstances.

Each university decides for itself what grounds for assessment shall apply in the appointment of an assistant professor. Before such an employment, the university shall also set up the grounds for assessment that will apply for promotion to associate professor according to section 12c. (Ordinance 2017:844).

#### 1.3.3.1 KTH's criteria for assessment of qualifications

The criteria below shall apply when assessing qualifications. An assessment is also made of the individual applicant's time after achieving the doctorate/equivalent. In this assessment consideration shall be given to any parental leave and sick leave specified in the application.

##### *Assessment of qualification as a doctor*

Qualified as a doctor means having the degree of doctor from a Swedish university.

##### *Assessment of corresponding scholarly competence*

Corresponding scholarly competence refers to either (1.) having the degree of doctor from a foreign university or (2.) scholarly work that corresponds to a doctoral thesis in the subject area and documented experience of research activities corresponding to the fulfilment of central intended learning outcomes for education at third cycle level in the subject area.

#### 1.3.3.2 KTH's grounds for assessment for employment

The following grounds for assessment apply in relation to the employment profile determined:

- The level of research expertise demonstrated through scholarly publication, participation in conferences, participation in research collaboration and other undertakings in the research community such as reviewer or external expert commissions.
- Potential for qualification for higher positions. This includes potential for independent development as a researcher and teacher in the relevant subject area, as well as the ability to establish, renew and develop relevant research areas.
- Time as a post doc in a different research environment from the one at which the doctorate was taken. In applicable areas, experience of research and development work in industry or other organisations may be judged to correspond to a traditional post doc position at another university.
- Interest in and insight into pedagogical development in the relevant subject area.

- Interest in and insight into leadership in the academic community, external collaboration and awareness of diversity and equal opportunity issues with specific focus on gender equality.
- The level of administrative skills and other skills.

## 1.4 Adjunct professor

### 1.4.1 Duties

An adjunct professor is part of KTH's adjunct faculty and works in a disciplinary research domain in which the professor contributes to research and teaching.

The duties of an adjunct professor are determined in consultation between external collaborative parties and the school in question. These can, to a reasonable extent, correspond to the duties in teaching, research, leadership and collaboration for professors described in section 1.1.

### 1.4.2 Form of employment

Provisions regarding the form of employment may be found in chapter 4 section 11 of the Higher Education Ordinance:

Section 11 The employment of an adjunct professor shall, as a maximum, be until a specified date. Such employment may be renewed. The total employment period may not be longer than twelve years, however. Otherwise, the Employment Protection Act (1982:80) applies for employment issues. Ordinance (2010:1064).

At KTH, this employment shall be at least 20% and no more than 50% of full time. Only those whose main activities are outside the university may be employed.

### 1.4.3 Qualifications and grounds for assessment

Provisions regarding qualifications and grounds for qualification may be found in chapter 4 section 3 of the Higher Education Ordinance:

Section 3 To be qualified for appointment as a professor in other than artistic activities, a person must have demonstrated both research and teaching expertise. To be qualified for appointment as a professor in artistic activities, a person must have demonstrated both artistic and teaching expertise.

As assessment grounds for the appointment of a professor, the degree of such skills as are a requirement for qualification for the position shall apply. Testing of the teaching skills shall be given the same care as testing of the research or artistic skills. Otherwise, each university decides for itself what grounds for assessment shall apply in the appointment of a professor. Ordinance (2010:1064).

For assessment of artistic skills, see section 1.6.

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

The criteria stated below for assessment of grounds for assessment skills shall be applied. In the assessment of each of the grounds for assessment, the degree of expertise shall be evaluated and a balanced assessment shall be made of each skill. If the research or teaching expertise has been demonstrated in a way other than as described below, a corresponding assessment shall be made.

#### *Research expertise*

The criteria for assessment of research expertise stated in section 1.1 can be applied. Alternatively, the research expertise shall be such that:

- The applicant has qualified as a doctor or has corresponding scholarly competence.

- The applicant is one of the leaders in research and development in the area of the employment. This should be demonstrated by building and participating in national and international professional networks and/or leading important research and development projects. This can also be demonstrated by participation in seminars, giving lectures and commissions of trust in assessment and investigation contexts.
- The applicant has, through his or her own efforts, had a leading role in the development of the activities in which the applicant has been active.

### *Teaching expertise*

The criteria for assessment of teaching expertise stated in section 1.1 can be applied. Alternatively, the teaching expertise shall be such that:

- The applicant can demonstrate teaching experience from activities within his or her own company or organisation, or corresponding experience in higher education.
- The applicant can demonstrate experience of individual supervision, for example in research projects and development work within his or her own company or organisation, or through other mentorship or supervision of doctoral students and those working on degree projects in higher education.
- The applicant shows interest in current pedagogical developments in the subject area for the position as well as related research methodology.
- The applicant has displayed pedagogical leadership, for example through documented responsibility for education or course programmes or responsible roles in competence-developing collaborative projects.

#### *1.4.3.2 KTH's grounds for assessment for employment*

As assessment grounds, the degree of such skills as are a requirement for qualification for the position shall apply. The following grounds for assessment also apply:

- Experience of leadership in research and development activities in his or her own company or organisation or corresponding experience in higher education. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- Familiarity with current developments in the control and leadership of research and development in the subject area for the employment.
- Holding patents, collaboration in patenting or other documented contribution to innovation processes or ideas and product development that has led to business and company development.
- Administrative skills and other skills in relation to the subject area and the duties that the employment will involve.
- The ability to collaborate externally and with the academic community.

## 1.5 Lecturer

### 1.5.1 Duties

A lecturer at KTH contributes to the development and performance of teaching, mainly at the university entrance qualification and first cycle levels.

A lecturer at KTH has completed education in higher education pedagogics of at least 15 credits or has acquired equivalent knowledge through other pedagogical qualifications specialising in higher education. If a lecturer does not have such qualifications on appointment, he or she should acquire them within the framework of employment within two years.

Duties in *research* and development work can include research in a research group, as well as pedagogical and subject development work.

Duties in *teaching* include active participation in the development and performance of teaching, mainly at the university entrance qualification and first cycle levels, as well as contributing to broad pedagogical development in the teaching area. Duties in teaching may also include the provision of specialist competence in the subject area.

Duties in *leadership* and *collaboration* include support and feedback to younger employees in teaching and research, participation in change work and development of the exchange of information and external communication. Duties in leadership can also include participation in leadership work in teaching.

A lecturer does not have the opportunity, within the scope of his or her duties, to be promoted to associate professor.

### 1.5.2 Form of employment

Employment as a lecturer may be permanent or limited according to the provisions of the Employment Protection Act.

### 1.5.3 Qualifications

To be qualified for appointment as a lecturer in other than artistic activities, a person must have

- 1) a degree from a first-cycle course in the subject of the position or comparable competence,
- 2) professional skills that are of significance with regard to the subject content of the position and the duties that the position will involve, and
- 3) demonstrated teaching expertise.

### 1.5.4 Grounds for assessment

As assessment grounds, the degree of such skills as are a requirement for qualification for the position shall apply. Beyond this, the level of administrative skills and other skills that are of significance for the determined employment profile.

The subject-related and professional skills shall be well documented and relevant for the position. Employment as a lecturer normally requires professional experience outside higher education, at least four years of which is in a qualified position connected to the subject area in question. Skills in development work in the area should be especially taken into account.

Teaching competence shall be well documented and given great significance. Assessment of teaching expertise shall also take into account the person's ability to develop as a teacher in the long term. Teaching experience can have been gained either within or outside higher education. Education in higher education pedagogics is desirable.

The ability to collaborate with the community at large is also relevant as grounds for assessment. The level of skills in developing and leading activities and staff and the ability to collaborate shall also be considered. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.

## 1.6 Teaching staff on artistic grounds

The teaching categories that can be employed on artistic grounds are professor (including adjunct professor and visiting professor) associate professor and lecturer. Teaching staff employed on artistic grounds do not have opportunities for promotion.

### 1.6.1 Duties

The duties of a professor, associate professor or lecturer employed on artistic grounds largely correspond to the duties in teaching, leadership and collaboration stated for the corresponding teaching categories in sections 1.1., 1.2. and 1.5. Duties in research and teaching at third cycle level may be included, normally within the framework of research and development work with an artistic specialisation.

### 1.6.2 Form of employment

Provisions regarding the form of employment may be found in chapter 4 section 10 of the Higher Education Ordinance:

Section 10 The employment of a member of teaching staff in artistic activities may be for a maximum of five years. Such employment may be renewed. The total employment period may not be longer than ten years, however. Ordinance (2010:1064).

The employment of an artistic adjunct professor is limited pursuant to chapter 4 section 11 and the employment of an artistic visiting professor is limited pursuant to chapter 4 section 12 of the same ordinance.

### 1.6.3 Qualifications and grounds for assessment when employing a professor on artistic grounds

Provisions regarding qualifications and grounds for assessment may be found in chapter 4 section 3 of the Higher Education Ordinance:

Section 3 To be qualified for appointment as a professor in other than artistic activities, a person must have demonstrated both research and teaching expertise. To be qualified for appointment as a professor in artistic activities, a person must have demonstrated both artistic and teaching expertise.

As assessment grounds for the appointment of a professor, the degree of such skills as are a requirement for qualification for the position shall apply. Testing of the teaching skills shall be given the same care as testing of the research or artistic skills. Otherwise, each university decides for itself what grounds for assessment shall apply in the appointment of a professor. Ordinance (2010:1064).

The criteria stated in section 1.1 are applied in assessing teaching expertise. When assessing artistic skills, an assessment is made corresponding to the criteria that are applied for research expertise in section 1.1 that are of significance for specialisation in the artistic activities in question. If the teaching or artistic expertise has been demonstrated in another way, a corresponding assessment shall be made. In assessment, the degree of skill shall be evaluated and a balanced assessment made of all qualifications.

As assessment grounds for appointment, the degree of such skills as are a requirement for qualification for the position shall apply. The following grounds for assessment also apply in relation to the employment profile determined:

- The ability to collaborate with society at large and to inform about artistic development work.
- The level of skill in developing and leading activities and staff. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- The level of administrative skills and other skills.
- Collaborative abilities.

#### 1.6.4 Qualifications and grounds for assessment when employing an associate professor on artistic grounds

Provisions regarding qualifications and grounds for assessment may be found in chapter 4 section 4 of the Higher Education Ordinance:

Section 4 To be qualified for appointment as an associate professor, a person must

1. in appointments other than for artistic activities, have demonstrated teaching expertise, have qualified as a doctor or have corresponding scholarly competence or some other professional skills that are of significance for the position's subject content and the duties that the position involves, and
2. in appointments for artistic activities, have demonstrated teaching expertise, have qualified as a doctor in an artistic field, have demonstrated artistic skills or have some other professional skills that are of significance for the position's subject content and the duties that the position involves.

As assessment grounds for the appointment of an associate professor, the degree of such skills as are a requirement for qualification for the position shall apply. Testing of the teaching expertise shall be given the same care as testing of other grounds for qualification according to the first paragraph. Otherwise, each university decides for itself what grounds for assessment shall apply in the appointment of an associate professor. Ordinance (2010:1064).

Equal care shall be given to assessing teaching expertise as to assessing other qualifications. The criteria stated in section 1.2 are applied in assessing teaching expertise. When assessing other grounds for qualification, an assessment is made corresponding to the criteria that are applied for these in section 1.2 that are of significance for specialisation in the artistic activities in question. If the teaching or artistic expertise has been demonstrated in another way, a corresponding assessment shall be made. In assessment, the degree of skill shall be evaluated and a balanced assessment made of all qualifications.

As assessment grounds for appointment, the degree of such skills as are a requirement for qualification for the position shall apply. The following grounds for assessment also apply in relation to the employment profile determined:

- Level of artistic skill.
- The ability to collaborate with society at large and to inform about artistic development work.
- The level of skill in developing and leading activities and staff. This includes having knowledge of diversity and equal opportunity issues, with specific focus on gender equality.
- The level of administrative skills and other skills.

- Collaborative abilities.

#### 1.6.5 Qualifications and grounds for assessment when employing a lecturer on artistic grounds

To be qualified for appointment as a lecturer in artistic activities, a person must have

- 1) a degree from a first-cycle course in the subject of the position or comparable competence,
- 2) artistic professional skills that are of significance with regard to the subject content of the position and the duties that the position will involve, and
- 3) demonstrated teaching expertise.

As assessment grounds for appointment, the degree of such skills as are a requirement for qualification for the position shall apply. Otherwise the assessment grounds that appear in section 1.5 apply.

## 2 Researcher

### 2.1 Researcher

#### 2.1.1 Duties

A researcher at KTH contributes to research in a disciplinary research domain that has one or more established research environments at KTH.

Recruitment of researchers at KTH shall always be done with the primary basis in needs that have been identified in research activities.

Duties in *research* can include independent research and leading or participating in research projects or research groups. Duties can also include various specialist knowledge, such as developing and handling advanced equipment, activities of a development nature or advanced administrative research support.

Duties in *teaching* can include supervision of students, teaching elements of courses and, for researchers admitted as docents, primary supervision at third cycle level. Duties in teaching shall not comprise more than 20% of the employment.

Duties in *leadership* and *collaboration* can include leading or coordinating research groups, laboratory activities, creation of research centres or equivalent.

#### 2.1.2 Form of employment

Employment as a researcher may be permanent or limited according to the provisions of the Employment Protection Act.

#### 2.1.3 Qualifications

*Requirements (must be fulfilled)*

Qualification as a doctor in Sweden or foreign qualification that is deemed to be equivalent.

Further requirements that are included in the employment profile.

*Desirable (should be fulfilled)*

The following knowledge and skills shall be included in the employment profile as either requirements or desirable. What is stated as being desirable can be weighted relative to its relevance for the position.

- Research expertise.
- Teaching abilities.
- The ability to work towards research results being utilised in practice.
- The ability to inform about research and development work
- Experience of developing and leading activities and staff.
- Knowledge of diversity and equal opportunity issues, with specific focus on gender equality.

- Collaborative abilities.
- Independence.

Further knowledge and skills that are desirable for the position may be included in the employment profile.

## 2.2 Post doc

In addition to what is agreed in a central collective agreement on employment for a fixed term as a post doc (agreement between the Swedish Agency for Government Employers and OFR's federation area in the negotiation area for the central government sector, Saco-S and Facket för Service och Kommunikation (SEKO), 04/09/2008) the following applies at KTH.

A position as a post doc is a limited term position for the purpose of gaining qualifications, which specialises in research and is intended as a first career step after gaining a doctorate. The prerequisites mentioned are a labour market goal.

### 2.2.1 Duties

A post doc at KTH contributes to research in a disciplinary research domain that has one or more established research environments at KTH.

Duties in *research* include participation in research work, for example in a research group, building a research network and further development of his or her own research skills and independence.

Duties in *teaching* may involve active participation in teaching at all levels. Being assistant supervisor to doctoral students may be included. Duties in teaching shall not comprise more than 20% of the employment (cf. central agreement as above).

### 2.2.2 Form of employment

A post doc is employed on the basis of a collective agreement and for no more than two years. The employment may be extended if there are special reasons. Special reasons refers here to sick leave, parental leave, clinical practice, commissions of trust in union organisations or other similar circumstances.

### 2.2.3 Qualifications

*Requirements (must be fulfilled)*

Qualification as a doctor in Sweden or foreign qualification that is deemed to be equivalent and which dates from no more than three years before the expiry of the application period. If there are special reasons, the doctorate may have been achieved earlier. Special reasons shall refer to sick leave, parental leave, clinical practice, commissions of trust in union organisations or other similar circumstances.

Further requirements that are included in the employment profile.

*Desirable (should be fulfilled)*

The following knowledge and skills shall be included in the employment profile as either requirements or desirable. What is stated as being desirable can be weighted relative to its relevance for the position.

- Research expertise.
- Teaching abilities.
- Awareness of diversity and equal opportunity issues, with specific focus on gender equality.
- Collaborative abilities.

- Independence.

Further knowledge and skills that are desirable for the position may be included in the employment profile.

## 2.3 Research engineer

### 2.3.1 Duties

A research engineer at KTH does not normally have a doctorate and may have a role as a technician or equivalent.

Recruitment of researcher engineers shall always be done with the primary basis in needs that have been identified in research activities. For duties in research that can be performed by persons without a doctorate, a position as a doctoral student shall always be considered first.

### 2.3.2 Form of employment

Employment as a research engineer may be permanent or limited according to the provisions of the Employment Protection Act.

### 2.3.3 Qualifications

*Requirements (must be fulfilled)*

A degree at first or second cycle level (higher education) in the subject of the position or equivalent competence.

Further requirements that are included in the employment profile.

*Desirable (should be fulfilled)*

The following knowledge and skills shall be included in the employment profile as either requirements or desirable. What is stated as being desirable can be weighted relative to its relevance for the position.

- Subject-related skills
- Professional skills.
- Awareness of diversity and equal opportunity issues, with specific focus on gender equality.
- Collaborative abilities
- Independence

Further knowledge and skills that are desirable for the position may be included in the employment profile.

### 3 The appointments procedure

#### 3.1 Allocation of responsibility

The allocation of responsibility in the appointments procedure appears in *work procedures at KTH* and *delegation procedures at KTH*. The appointments procedure is administered according to the *guidelines for the appointments procedure*.

#### 3.2 Application to begin an appointments procedure

An appointment case is begun with an application to begin an appointments procedure. How the application is made appears in the *guidelines for the appointments procedure*.

#### 3.3 Employment profile

For every appointment there must be an employment profile.

Employment profiles for teaching positions shall, in addition to subject area, qualification requirements and grounds for assessment, have the content that is shown in *guidelines for the appointments procedure*. The employment profile for an assistant professor shall also include the grounds for assessment for promotion to associate professor.

The employment profiles for researcher positions shall include, among other things, the qualification requirements.

#### 3.4 Information about vacant positions

Section 6 of the Employment Ordinance has provisions regarding information about vacant positions.

Section 6 An authority that intends to appoint an employee shall in some appropriate way give information about this so that those who are interested in the position can apply to the authority within a certain time.

For a position that the government shall decide on after a proposal or notification from an authority or its head, the authority shall inform about the vacant position.

No information need be given if there are special reasons for this.

The president decides how KTH informs about vacant positions and whether there are special reasons for not giving any information.

#### 3.5 Questions of expert assessment in the employment of professors and other teaching staff

Chapter 4 section 6 of the Higher Education Ordinance has provisions on expert assessment:

Section 6 When appointing a professor (including an adjunct professor), an expert assessment of the applicant's skills shall be obtained unless this is obviously unnecessary for assessing the skills.

If an expert opinion is obtained from two or more persons, women and men shall be equally represented. This does not however apply if there are special reasons for this. Ordinance (2010:1064).

At KTH, an expert assessment shall also be obtained for teaching positions other than professor, unless this is obviously unnecessary. KTH's other rules on expert assessment appear in the *guidelines for the appointments procedure*.

### 3.6 Equal representation in groups that give proposals for the employment of teaching staff

Chapter 4 section 5 of the Higher Education Ordinance has provisions on equal representation:

Section 5 If a group of persons shall give proposals for applicants that should be considered for employment as a teacher, women and men shall be equally represented in the group. This does not however apply if there are special reasons for this. Ordinance (2010:1064).

The *guidelines for the appointments procedure* states how proposals for who should be employed are produced.

### 3.7 Equal representation in groups that give proposals for the employment of researchers

If a group of persons shall give proposals for applicants that should be considered for employment as a researcher, women and men shall be equally represented in the group. This does not however apply if there are special reasons for this.

### 3.8 Decision on appointment

Chapter 4 section 13 of the Higher Education Ordinance has provisions on who appoints teaching staff:

Section 13 Members of teaching staff are appointed by the decision of the president. This also applies to decisions on applications for promotion that are referred to in section 12c. Decisions on the appointment of professors may not be delegated. Ordinance (2017:844).

Decisions on the appointment of members of teaching staff other than professors and of researchers are made according to the delegation procedure.

### 3.9 Decision to stop an appointments procedure

A decision to stop an appointments procedure is made according to the delegation procedure.

### 3.10 Information about decision on appointment

Sections 7 and 8 of the Employment Ordinance have provisions on how information about a decision on an appointment is given.

Section 7 Information about an authority's decision on an appointment shall be given on the authority's notice board.

The first paragraph need not be applied for

- employment that is not expected to be longer than six months,
- the employment of those who are already probationers at the authority.

Section 8 A notice according to section 7 shall include information about

1. the day on which it was posted on the notice board,

2. what applies i questions of appeal,
3. the differing opinions that have been noted in the minutes or in any other document.

At KTH, the following also applies. When a decision on an appointment has been made, all applicants who have not been appointed, as well as those who have unsuccessfully claimed right of re-employment or right of priority for a position with a high employment rate, shall be advised of the decision in writing. This shall be done on the same day as information about the decision is posted on KTH's notice board. Information about the appointment decision shall be posted on KTH's notice board within one week of the date the decision is adjusted.

### **3.11 Appeal against a decision on an appointment**

Chapter 12 section 2 of the Higher Education Ordinance has the following provisions:

Section 2 The following decisions of a university may be appealed to the Higher Education Appeals Board:

1. a decision on an appointment at a university, with the exception of decisions on the appointment of a doctoral student or as an associate professor in a promotion pursuant to chapter 4 section 12c,
  2. a decision pursuant to chapter 4 section 13 to reject an application for promotion,
- [...] (Ordinance 2017:844).

The president decides on the handling of the appeal.

### **3.12 Thinning out application documents**

See Swedish National Archives' regulations and general advice on the return or thinning out of documents in salary and personnel administration (RA-FS 2019:1).

## **4 Promotion to associate professor and professor**

### **4.1 Application**

An application for promotion shall be submitted in good time so that KTH is able to assess the application and make a decision before the expiry of the application period. How the application is made appears in the *guidelines for the appointments procedure*.

### **4.2 Subject area**

The subject area for a promotion shall be the same as for the applicant's present position. The handling of subject areas with applications for promotion appears in the *guidelines for the appointments procedure*.

### **4.3 Grounds for assessment**

Grounds for assessment with promotion from assistant professor to associate professor appear in section 1.2.4.1. and those for promotion from associate professor to professor appear in section 1.1.6.

### **4.4 Questions relating to expert assessment**

Chapter 4 section 6 of the Higher Education Ordinance has the following provisions:

Section 6 When appointing a professor (including an adjunct professor), an expert assessment of the applicant's skills shall be obtained unless this is obviously unnecessary for assessing the skills.

If an expert opinion is obtained from two or more persons, women and men shall be equally represented. This does not however apply if there are special reasons for this. Ordinance (2010:1064).

At KTH, expert assessments shall be obtained for promotion from assistant professor to associate professor and from associate professor to professor, unless this is obviously unnecessary. KTH's other rules on expert assessment appear in the *guidelines for the appointments procedure*.

### **4.5 Proposal for decision on applications for promotion**

Proposals for decision are prepared in the way described in the *guidelines for the appointments procedure*.

### **4.6 Decision on promotion**

The president decides on promotion from associate professor to professor and from assistant professor to associate professor (after consultation with the head of the school. Decisions on promotion to professor may not be delegated.

### **4.7 Appeal against a decision on promotion from assistant professor to associate professor**

According to chapter 12 section 2 point 2 of the Higher Education Ordinance, a decision to reject an application for promotion pursuant to chapter 4 section 13 of the same ordinance may be appealed. This applies to a person who has been appointed as assistant professor in an appointments procedure that began after 1 April 2018.

## **5 General information about employment**

### **5.1 Contract of employment**

A contract of employment should be entered into after KTH's decision to employ an applicant has gained legal force, i.e. when the decision can no longer be appealed. The contract of employment should show the serial number of the case and also the subject area in the case of teaching appointments. The employment profile should be attached to the contract.

### **5.2 Agreement on the duties involved in the position with new appointments and promotions**

An agreement on the duties involved in the position shall be entered into with new appointments in the tenure track. This can also be done with promotions to associate professor or professor. The purpose is that all special conditions applying to the appointment, such as any starting contributions, special obligations and duties shall be clearly documented and understood. If the person appointed does not have education in higher education pedagogics, the agreement shall include a schedule for completing such education. Similarly, with international recruitment, if the employee is not proficient in the Swedish language, a plan shall be created for language introduction and further education. Normally, all specified schedules and conditions shall have expired within four to six years after appointment. After this time, the same conditions apply as for the faculty generally. The agreement is entered into between the head of the school and the teacher.

### **5.3 Salary and information about salary benefits**

The president determines the salary for a professor after individual negotiation in connection with appointment. Information about salary and employment benefits is given by the head of HR.

For other teaching and researcher appointments, the head of the school determines the salary after individual negotiation in connection with appointment at the school.

## **6 Other provisions**

### **6.1 Deviations from the appointments procedure**

The qualification requirements and grounds for assessment given in this appointments procedure may in certain cases be omitted or replaced by others, based on the specific requirements that follow from the duties in the individual case. Such exceptions are decided in the establishment of the position and may not deviate from what is prescribed in the Higher Education Act and Higher Education Ordinance.

Otherwise, the president may make exemptions from this appointments procedure if there are special reasons for this. The reasons for each exemption shall be documented and the university board shall be informed after the event.

### **6.2 Review and amendments**

The faculty council and the HR department shall continuously and jointly review the appointments procedure and if necessary present proposals for amendments, after consultation with the president, to the university board.

### **6.3 Entry into force and transition provisions**

This appointments procedure enters into force on 1 April 2018 and simultaneously replaces the appointments procedure for teaching staff at KTH Royal Institute of Technology (V-2016-0106). The appointments procedure has been amended with effect from 1 July 2019 (V-2019-0560).

The older provisions in chapter 4 section 12a apply to assistant professors appointed before 1 April 2018.