

Working committee of the Faculty Board

## Instructions concerning appointments to teaching positions

*To replace the Instructions to experts and the academic appointments board (Reg. no STYR 2017/1252)*

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### Composition and assignment

The Academic Appointments Board [*Swe. lärarförslagsnämnden*] (also referred to as LFN or the board), in compliance with *Lund University's Appointment Rules* (reg. no STYR 2019/1077), consists of six members – four teaching staff members and two students (see 5.2). The board is quorate when the chair (or vice-chair) and at least half of the other members are present. Pursuant to the Appointment Rules, LFN is to prepare appointments to professorships. At the Faculties of Humanities and Theology, LFN prepares all appointments for indefinite term teaching positions and adjunct teachers, visiting professors and postdocs. LFN also prepares long-term substitutions of at least one year that are equivalent to employment.

Furthermore, LFN prepares and takes decisions on admission to **non-remunerated associate professorships**. Non-remunerated associate professorships are not addressed in this document.

## Procedure

The recruitment procedure of the Academic Appointments Board is conducted according to the following steps (see also process chart on page 9):

1. Request from the department and decision on vacancy announcement
2. Vacancy announcement text and publication
3. Reviewing qualifications
4. Gender representation among applicants
5. Initial shortlisting
6. Appointment of external experts (not for lecturers)
7. Initial meeting (not for lecturers and postdocs)
8. Further shortlisting where applicable (not for lecturers and postdocs)
9. Request for submission of publications
10. Midway meeting (not for lecturers and postdocs)
11. Reference checking
12. Trial lectures and interviews
13. Receipt of expert statements
14. Final meeting

Vacancy announcements regarding professorships are prepared in the working committee (AU) for decision by the vice-chancellor.

If the number of applicants is limited, the points on shortlisting can be excluded from the procedure.

### 1. Request from the department and decision on vacancy announcement

Requests for vacancy announcements regarding all teaching positions that are handled in any way by LFN are sent to the secretary.

### **Appointments to teaching positions excluding professorships**

The request is made on a special form, one for professorships and one for other teaching positions. The form specifies the documentation that needs to be attached. The secretary communicates the request to the finance manager. If the finance manager considers the financial basis to be sustainable, the request is passed on to the dean, who takes a decision to announce the vacancy.

### **Professorships**

The establishment of professorships is discussed continuously in the budget dialogues and budget follow-ups between the faculty management and the departments. Here, the budget requests that the relevant department raises in connection with the implementation of the HT faculties' professors programme are discussed (cf document on *Revidering av HT-fakulteternas "professorsprogram"* [Eng. *Revision of the HT faculties' "professors programme"*] (reg. no STYR 2018/1641)).

The request for a vacancy announcement is submitted to the secretary of LFN on the form for professorships, together with the attachments specified on the form. If the documentation is complete, the request is sent on to the Academic Appointments Board for a preliminary draft of the person specification before the request is sent to the faculty board's working committee (hereafter AU). AU approves the person specification and decides whether the request is to be forwarded to the vice-chancellor who decides on announcing the vacancy for a professor. In certain cases, the appointment may be made through promotion; more information on this is available in the document on *Professors at the Faculties of Humanities and Theology – expectations, person specification, preparation of recruitment* (reg. no STYR 2018/1641).

## **2. Vacancy announcement text and publication**

A proposal for a vacancy announcement text in Swedish is submitted to LFN which takes a position on the text at a meeting. Together with the Appointment Rules (and for professorships also the document on *Professors at the Faculties of Humanities and Theology – expectations, person specification, preparation of recruitment* (reg. no STYR 2018/1641)) the vacancy announcement constitutes the basis for assessment of the applicants' qualifications. For each type of teaching position, there is a separate template for the design of the vacancy announcement text which includes the qualification requirements and the assessment criteria stipulated in the Appointment Rules. In addition to these, the department may formulate further required and/or desired qualifications. The vacancy announcement text for professorships is to be based on the person specification approved by the working committee (see step 1). Desired qualifications can also be of crucial significance later in the process, which is why it is important for them to be well thought through. Desired qualifications may also be weighted in relation to one another. This weighting must be clear from the start of the process.

The head of department or a person appointed by them is to be summoned to the meeting. If a proposed English translation of the vacancy announcement is not yet available, the Academic Appointments Board and the departmental representative are

to agree to what extent the department itself is to take care of the translation or whether it is to be sent to the University's translation service.

Vacancy announcements are always to be published in Swedish and usually also in English unless knowledge of Swedish, Danish or Norwegian is one of the qualification requirements.

### **3. Reviewing qualifications**

The qualification requirements serve as a preliminary selection instrument in the appointment process. Applicants who do not meet the formal qualification requirements, with the exception of requirements for training in teaching and learning in higher education, are not to be considered further in the appointment process. The review of qualifications is done by the secretary of the Academic Appointments Board with the help of the department.

### **4. Gender representation among applicants**

Pursuant to the vice-chancellor's decision on *New procedures to increase gender equality in the recruitment of professors* (reg. no STYR 2016/1133) the dean is to review applications received for professorships to ensure that there are qualified applicants of both genders before the applications are passed on to the experts for assessment. Should this not be the case, the discontinuation of the recruitment process should be considered. At the Faculties of Humanities and Theology, this also applies to other indefinite term teaching positions.

### **5. Initial shortlisting**

Once the application deadline has passed, the Academic Appointments Board in consultation with the department takes a decision on which applicants are initially to be assessed by the external experts (cf below 6). This decision is taken at one of the Academic Appointments Board's meetings. Only applicants who, in comparison with the total field of applications, cannot be considered for appointment are to be excluded from the shortlist at this stage. The justification for the selection is to be stated in the minutes of the meeting.

### **6. Appointment of external experts**

After a request from the Academic Appointments Board, the department submits proposals for external experts. The question of conflict of interest is to have been examined and the proposed experts are to have expressed willingness to accept the assignment before the decision on appointment is taken by the Academic Appointments Board. Both legal genders are to be represented among the experts, unless specific circumstances advise against this. The head of department or a person appointed by them is summoned to this meeting to present the proposal on experts. The applicants who go on to the next stage for assessment have two weeks to object to the decision.

Two experts are appointed for **senior lecturerships** and three for **professorships**.

For **postdoc positions**, one external expert is appointed. Then the recruitment is handed over to the department that manages communication with applicants and external experts until the final meeting (step 13). Before the final meeting, the department submits a justified proposed ranking of the applicants together with the statement from the external expert (see *Expert statement* on page 7).

No experts are appointed for the recruitment of **lecturers**. The matter is referred to the department for a statement.

**Steps 7–11 below apply only to senior lecturerships (including associate senior lecturers) and professorships.**

### **7. Initial meeting**

The chair and the secretary hold an initial meeting with the external experts shortly after the latter have received the applicants' documentation and written information on the external expert assignment. The matters of principle relating to the recruitment, with reference to the vacancy announcement text and the Appointment Rules, are discussed at this meeting. Information is provided on the possibility of further shortlisting before publications are requested from the applicants. A timetable for the process is approved.

### **8. Further shortlisting where applicable**

If the experts express a wish to further limit the shortlist at the initial meeting, a decision on this is taken at a meeting with the Academic Appointments Board, to which the head of department or a person appointed by them is summoned. This shortlisting process is based on the applicants' submitted documents, excluding their publications, and takes place in consultation between the Academic Appointments Board and the external experts.

### **9. Request for submission of publications**

If the experts wish to have access to the applicants' publications in hard copy, these are requested from the applicants who are still in the running for the appointment at this stage.

### **10. Midway meeting**

Before the Academic Appointments Board's midway meeting, the department is asked to submit proposals for a theme and target group for the trial lectures. On the basis of the vacancy announcement text, the Academic Appointments Board, in consultation with the experts, decides on a shortlist of candidates to be invited to trial lectures and interviews (see below under 12) and on a theme and target group for the trial lectures. The shortlisted group usually consists of 3–5 applicants. The head of department or a person appointed by them is summoned to this meeting.

## **11. Reference checking**

Once the shortlisted candidates have confirmed their participation in the trial lectures and interviews, their references can be checked. The dean delegates the responsibility for checking references, usually to the relevant head of department, who reports back on the reference checking to the dean.

## **12. Trial lectures and interviews**

For appointments of associate senior lecturers, senior lecturers and professors, the Academic Appointments Board organises trial lectures and interviews with the shortlisted candidates. These events are attended by the Academic Appointments Board, the head or assistant head of the relevant department and the experts. The trial lectures, but not the interviews, are also open to the public.

For appointments of lecturers, any trial lectures and interviews are managed by the department. If the department organises trial lectures and interviews for the appointment of lecturers, the Academic Appointments Board can be invited to attend. The departments can also invite a special process observer specialised in teaching qualifications. For appointments of postdocs, any interviews are managed by the department.

## **13. Receipt of expert statements**

The trial lectures and interviews are included in addition to the application documents as part of the basis for the expert statements, which are to have been received by the board's secretary no later than 10 days prior to the final meeting (see more about expert statements below).

## **14. Final meeting**

On the basis of the statements, the Academic Appointments Board decides on the ranking of the applicants in the shortlist, with the highest ranked candidate proposed for the position. The ranking is done to clarify the order in which the applicants are to be offered the position if the highest ranked candidate declines the offer of appointment. The head of department is summoned to this meeting.

In the minutes, the Academic Appointments Board is to report how a proposed applicant's research and teaching expertise have been taken into consideration. The gender equality aspect constitutes what is referred to as a factual basis for a decision between two candidates who are equally qualified, or almost equally qualified, in relation to the assessment criteria. The Academic Appointments Board is to take account of the gender equality aspect in its final consideration of the applicants' qualifications.

If applicants of different legal genders have applied for a position, the way in which the gender equality aspect has been considered must also be specified, even when it has not been a determining factor.

## Application

The applicant is responsible for submitting the application in correct and complete form. Complementary information and statements may be requested if necessary, usually if an application document is incomplete and where the shortcoming can easily be remedied. Complementary information from the applicant after the application deadline is only accepted if the qualifications were earned before the application deadline and are stated in the application. The general rule is that applications are to be submitted before the application deadline in order to be considered. However, if special circumstances apply, the Academic Appointments Board may, after consulting the dean and the head of department, take a late application into consideration.

## Promotion

An **associate senior lecturer** is to be promoted to senior lecturer after application, if the applicant is qualified for such a position and otherwise considered suitable after a review according to the qualification requirements and assessment criteria specified in the Appointment Rules and the vacancy announcement. The application is to be submitted at the latest six months before the end of employment. For more information, see the Appointment Rules, 6.2.1 *Promotion from a position as associate senior lecturer*.

The decision on review for promotion from a position as **lecturer** to a position as senior lecturer is to be based on strategic considerations. These considerations are to include an assessment of whether the employee has made documented contributions to the development of the organisation and has been deemed suitable for promotion. For more information, please consult the Appointment Rules, 6.2.2 *Promotion from a position as lecturer*.

In case of promotion to senior lecturer, external expert assessment is to be carried out if it is not obviously unnecessary for the review of expertise (Appointment Rules 5.3.2 *Expert assessment and statement*).

## Expert statements

***Expert statements are to be provided separately.*** They constitute the most important basis for the Academic Appointments Board's position and the decision of the faculty board/vice-chancellor, so it is important that the experts' arguments and conclusions are independent of one another. Expert statements are addressed in the Appointment Rules, 5.3.2 *Expert assessment and statement*.

As far as possible, the statements are to address all the assessment criteria on the basis of the Appointment Rules and the subject content and work duties of the position as specified in the vacancy announcement. If an expert has found it difficult to take one of the assessment criteria into account, this is to be reported in the statement. The weighting of the criteria and qualifications used by the experts to evaluate the applicants is to be clearly specified in the statements, to guide the board members' position.

Information on qualification requirements, assessment criteria and training in teaching and learning in higher education is provided in the Appointment Rules, 4. The formulation “As much attention shall be given to the assessment of teaching expertise as to the assessment of research or artistic expertise” that features in the Appointment Rules for professorships and senior lecturerships entails that teaching and research expertise are to be assessed equally carefully, but *not* that these types of expertise are automatically to be *equally weighted*. The weighting of research qualifications relative to teaching qualifications is determined on the basis of the Appointment Rules and the vacancy announcement text.

The statements on those who are not included in the shortlist should be approximately half a page long per applicant and are to include a justification for their exclusion from the shortlist.

The assessment of the shortlist should be approximately two to three pages long per candidate. The experts are to rank more than one candidate. The final summary and weighting is to be at least one page long. This should clearly state the reasons for the ranking and how large and clear the overall differences between the ranked candidates are.

Applicants who withdraw their application before the statements from the experts or external experts are not to be assessed.

It is important that the statements are formulated so that not only the members of the Academic Appointments Board get a stable basis on which to take a position in the matter but also to enable the decision-making body to have clear documentation and the applicants understand the background for the decision. Where necessary, the Academic Appointments Board may ask the experts to provide written clarifications.

### **External expert statements for postdoc appointments**

For appointments to postdoc positions, the main basis for assessment is the research plan submitted together with the application. Any articles and letters of recommendation submitted with the application are not to be taken into account.

The expert statement is to cover the applicant’s general skills, the significance of the research issues, the originality and potential for innovative research of the research project, its theoretical relevance, its methodological relevance and feasibility, as well as a summarising assessment of its research quality.

The expert statement should be one page long for the applicants who are assessed as belonging in the shortlist and include a concluding summary weighing up the applicants’ qualifications and project presentations. A clear ranking of the applicants who are primarily to be considered is to conclude the statement. For the other applicants, it is sufficient to provide a justification of half a page per applicant at most.

### **Appeals**



Decisions on appointment can be appealed through the Higher Education Appeals Board, which reviews the University's decision. The appeals window is three weeks from the announcement of the decision on appointment. Information on how to lodge an appeal is provided in the announcement. The experts are invited and the proposed successful candidate is offered the opportunity to make a statement on the appeal. The Academic Appointments Board then meets once again to process the appeal. The Academic Appointments Board's proposal to reject or approve the appeal is passed on to the body responsible for the appointment, i.e. the faculty board, and for professorships the vice-chancellor, who in turn makes a statement to the Higher Education Appeals Board before its decision. Decisions by the Higher Education Appeals Board cannot be appealed. Further information is available in the document on *Guidelines for appeal at Lund University* (reg. no STYR 2019/1260) and on the website of the Higher Education Appeals Board [www.onh.se](http://www.onh.se).

### **The principle of public access to official documents**

Lund University is a public authority. Like all other Swedish public authorities, the University is subject to the constitutional principle of public access to official documents. This entails an obligation to release official documents on request, either as copies or to be viewed on site. Application documents and expert statements are examples of such official documents. More information on the release of official documents is available in *Lund University's regulations on the release of official documents in electronic form* (reg. no STYR 2018/84).

## Reference documents

*Lund University's appointment rules, STYR 2019/1077*

*New procedure to increase gender equality in the recruitment of professors, STYR 2016/1133*

*Guidelines for appeal at Lund University (STYR 2019/1260)*

*Professors at the Faculties of Humanities and Theology – expectations, person specifications, preparation for recruitment, STYR 2018/1641*

*Revision of the HT faculties' "professors programme", STYR 2018/1641).*

*Lund University's regulations for the release of official documents in electronic form (STYR 2018/84).*

**Process chart for the Academic Appointments Board (LFN)**