Guidelines for Recruitment of Teachers

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GUIDELINES FOR PREPARATION AND DECISIONS REGARDING THE RECRUITMENT OF TEACHERS AND ASSESSMENT CRITERIA FOR PROMOTION

This document supplements the Appointments procedure for Luleå University of Technology adopted by the University Board on 20/02/2017 (US Decision) and covers the preparation, work plan and the practical application of the Appointments procedure in connection with the recruitment of teachers to the University and with applying the assessment criteria for promotion. In addition, it includes a description of the mandate and composition of the appointment boards. The HR unit is responsible for ensuring the Appointments procedure and Guidelines for recruitment of teachers are reviewed and revised on a regular basis; every three years or as necessary.

1. General procedures for the recruitment of teachers

1.1 INITIATING THE RECRUITMENT OF TEACHERS

The recruitment of teachers is initiated by the Head of Department. The Head of Department has the primary responsibility for conducting the recruitment of teachers. Information is provided to the union organisations in local cooperation. The department's responsibility for preparation principally lies at the beginning and at the end of the recruitment procedure and when the recruitment work is completed, at which point the induction of the new employee begins.

1.2 RECRUITMENT GROUP

When recruiting Professors or Chaired Professors, the Head of Department submits a proposal for a recruitment group to the HR specialist. The HR specialist raises the proposal with the HR Director for decision. The composition of the recruitment group is given in the Appointments procedure. When recruiting Associate Professors, Senior Lecturers and Associate Senior Lecturers, a recruitment group shall be appointed and determined by the Head of Department.

1.3 APPOINTMENT PROFILE

The written appointment profile is the starting point for the recruitment of teachers, with the exception of Post Doctors, for whom an advertisement is the starting point. The content of the appointment profile should be based on the University's Appointments procedure and the adopted subject description. The profile should also specify duties, eligibility requirements and grounds for assessment. In designing the profile, it is important to consider gender equality and diversity. Templates for appointment profiles for the different teacher categories are available on the intranet and should always be used.

The Vice-Chancellor makes decisions on the adoption of appointment profiles for Chaired Professors, Professors, Adjunct Professors and Associate Professors. The HR specialist presents the matter at the Dean's decision meeting in the relevant faculty board for decision on proposing the Vice-Chancellor's adoption of the appointment profile. The HR specialist forwards the matter to the Vice-Chancellor for a decision. For Senior Lecturers and Associate Senior Lecturers, the Head of Department makes decisions on the adoption of appointment profiles.
1.4 ADVERTISEMENT

All vacant positions must be advertised in an appropriate manner (Section 6 of the Employment Ordinance). Exemptions from advertising requirements apply to:

- invited Professors (Chapter 4, Section 7 of the Higher Education Ordinance)
- the right of precedence for re-employment and transfer

The appointment profile always forms the basis for the advertisement. The HR unit is responsible for ensuring that the profile content and advertisement content do not differ from each other.

The application period when advertising should be at least three weeks.

1.4.1 Dialogue with candidates

The Head of Department/recruitment group is responsible for compiling information for candidates during the recruitment procedure. The information documents are submitted to the HR specialist, who sends the information to the candidates.

1.5 RECEIVED APPLICATIONS

The HR unit is responsible for the processing and preparation of received applications. This includes (1) checking that the application is complete and that the documentation is translated in accordance with the appropriate application template, (2) requesting additional documentation as required.

The HR specialist consults with the appointed recruitment group to determine whether incomplete applications, which are not supplemented upon request within the set time frame, shall be forwarded to external experts.

1.6 EXTERNAL EXPERTS

The Chair of the appointment boards decide on the appointment of external experts at the proposal of the Head of Department. Experts must be active outside Luleå University of Technology, unless otherwise dictated by exceptional circumstances. The proposal must contain a CV, list of publications and an e-mail address for the sending of documents. It must be stated that checks have been made to ensure there are no conflicts of interest. Women and men must also be equally represented among the external experts, unless otherwise dictated by exceptional circumstances. No external experts should be enlisted recurrently within the same subject area (2 years). When two or more external experts are to be appointed, they should be posted at different higher educational institutions.

Reasons for exemption from the above must always be motivated in the Head of Department’s external expert proposal. If there are uncertainties regarding whether the proposed external experts have the right profile for assessing candidates or if a conflict of interest cannot be ruled out, the Chair refers the matter back to the Head of Department.

External experts have between four and eight weeks, depending on the number of candidates, to complete their review. The HR specialist sends a reminder to external experts before the assignment period expires. If a statement is not submitted on time, despite a reminder, another one will be sent. If a statement has not been received within two weeks of the second reminder,
another external expert may be appointed. The Head of Department may come to an agreement with external experts on a different schedule.

1.6.1 Incomplete external expert statements

The HR specialist is responsible for performing an initial check of the external expert statement and consults the Chair of the appointment board regarding the need for any additional information or clarification. Thereafter, the external expert statement is returned to the external expert for additional information. Where required, the external expert's involvement may be managed via telephone before or in conjunction with meetings of the appointment board or, alternatively, an additional external expert can be appointed.

1.6.2 Exemption from expert assessment

If there is only one candidate in the recruitment procedure and he/she has previously undergone expert assessment in the subject/related subjects and for a similar teaching position, the Chair of the appointment board may grant exemption from expert assessment. It is the Head of Department who, in a decision, proposes the appointment board Chair's granting of an exemption from expert assessment with reference to the already existing statements by an external expert. Normally the external expert statements invoked must not be older than two years. The same is true when applying assessment criteria for promotion.

If there is only one internal candidate for an Associate Senior Lecturer position in his/her doctoral subject, exemption from expert assessment may be granted without reference to previous external expert statements. The Head of Department also proposes exemption in these cases.

When assessing a permanently employed Lecturer for a Senior Lecturer position in the subject in which he/she has recently completed a doctorate, no expert assessment is required.

2. Special recruitment issues

2.1 INVITED PROFESSORS

The Vice-Chancellor may decide to invite a Professor without advertisement if this is of particular importance to a certain activity at Luleå University of Technology. This rule should be used restrictively and has a special preparation plan.

Based on the recruitment group input, the Head of Department can initiate a dialogue with the Vice-Chancellor regarding the proposal of an Invited Professor. The proposed person is to be a prominent Professor in the subject area to which the appointment applies. The proposal must be well reasoned and make clear why this appointment is of special significance to the activity in question and why a normal recruitment procedure is not applicable.

The proposal of the Head of Department, together with a full CV and list of publications for the person proposed, is submitted to the HR specialist, who presents the matter to the Vice-Chancellor for decision on the application of an invitation procedure. The matter is then prepared by the appointment board and in principle follows the same process as other recruitment procedures. The difference is that it is possible to omit time-consuming stages, such as the external expert statement, since the level of competence has already been guaranteed in other ways.
2.2 CHAIRED PROFESSORS

A Chaired Professor has a permanent position as Professor and a fixed-term assignment as Chaired Professor. The Vice-Chancellor decides any extension of the assignment. If the Vice-Chancellor decides not to extend the assignment, the permanent position as Professor remains in force.

2.2.1 Chaired Professor's leave of absence

When a Chaired Professor applies for a leave of absence for other employment in accordance with a collective agreement, the Vice-Chancellor must assess whether it is possible for him/her to fulfil the assignment as Chaired Professor. If this is not assessed possible, a new Chaired Professor is to be recruited.

2.3 RECRUITMENT OF PERMANENTLY EMPLOYED LECTURERS

A person may be appointed Lecturer in cases where a special skill is of importance to the institution or when expertise at the level of Professor, Associate Professor or Senior Lecturer is not available. The Vice-Chancellor may authorise the recruitment of a permanently employed Lecturer at the request of the Head of Department.

Before recruitment begins, the Head of Department is to submit a statement of reasons for the recruitment need. The HR specialist presents the matter at the Dean's decision meeting in the relevant faculty board for decision on proposing the Vice-Chancellor's approval or rejection of this permanent employment. The HR specialist forwards the matter to the Vice-Chancellor for a decision. The Head of Department is responsible for ensuring the establishment of a qualifications development plan in connection with employment. The development of qualifications may relate to the maintenance of professional knowledge and/or academic qualifications.

2.4 ADJUNCT LECTURERS

A person whose principal employment is outside of higher education may be employed as an Adjunct Professor, Adjunct Associate Professor, Adjunct Senior Lecturer or Adjunct Lecturer. The employment period for an Adjunct Professor is regulated in Chapter 4, Section 11 of the Higher Education Ordinance and may not exceed 12 years. For other Adjunct Lecturers, the employment period is regulated in collective agreements and may not exceed two years with the possibility of extension for no more than two years at a time.

When appointing Adjunct Lecturers, the Head of Department is responsible for establishing an agreement with the principal employer. This type of agreement regulates matters such as salary conditions and other costs, intellectual property rights, resources in terms of premises and equipment and the duties that the Adjunct Lecturer is to perform. An agreement template is available on the intranet.

The agreement is signed by the principal employer and the Head of Department and shall be appended to the Vice-Chancellor's decision on the appointment of Adjunct Professors and Adjunct Associate Professors and to the Head of Department's decision on the appointment of Adjunct Senior Lecturers and Adjunct Lecturers. The agreement shall constitute an element of the appointment and be stored in the employee's personal file.
2.5 VISITING LECTURERS

Decisions on Visiting Lecturers are made by the Vice-Chancellor or Head of Department with no preceding preparation by the appointment board. When appointing a Visiting Lecturer who is a Professor or Associate Professor, the Head of Department writes a statement of reasons for the recruitment. This statement, together with a CV and list of publications for the person in question, is sent to the HR specialist, who brings the matter to the Vice-Chancellor for a decision. For other categories of Visiting Lecturer, the Head of Department makes appointment decisions.

Exceptions are cases where the Vice-Chancellor has made a decision on an external expert assessment of criteria for promotion to a position higher than that held by the person at his/her own university. The Head of Department submits a proposal for assessment to the HR specialist, who takes the matter to the Vice-Chancellor for a decision. The matter then follows the usual procedure of an appointment board.

2.6 ASSESSMENT CRITERIA FOR PROMOTION

It is the Head of Department that decides on assessment criteria for promotion. In the decision, the Head of Department shall justify the benefit to the subject area in terms of research and education for the assessment in question. It should contain an explanation of the need for more qualified duties and a larger area of responsibility for the candidate.

If the assessment lies outside of the subject appropriate to the appointment, this must be justified in writing by the Head of Department. The justification must include the benefit to the University. The Vice-Chancellor will make a decision following a proposal from the Dean of the faculty board in question.

Supervision of doctoral students must be evidenced.

2.7 RECRUITMENT AND ASSESSMENT FOR NON-ESTABLISHED SUBJECTS

Proposals regarding recruitment in non-established research or third-cycle subjects must be justified in writing by the Head of Department. The justification must include the benefit to the University. The Vice-Chancellor will make a decision following a proposal from the Dean of the faculty board in question.

3. The procedure of the appointment board

3.1 SELECTION OF CANDIDATES AND INTERVIEW IN THE APPOINTMENT BOARD

When carrying out recruitment procedures and applying the assessment criteria for promotion, interviews are normally always conducted in the appointment board. Where there is more than one eligible candidate, the Chair of the appointment board shall make a decision on which candidates shall be called to an interview. Before the decision is made, the Chair shall consult the department with the support of the HR specialist. If the recruitment procedure has several qualified candidates, at least two candidates will normally be interviewed. The interview and presentation need not be conducted if the Chair considers this clearly unnecessary. Reasons for exemption from an interview are to be stated in the Chair’s decision. In matters of recruitment or assessment criteria for promotion on artistic grounds, another form of assessment may be included as a means to guarantee artistic qualification.
In connection with the interview, candidates are to give a personal presentation. The department can enlist external recruitment support for in-depth interviews and tests as required, with the support of the HR specialist. If the appointment board deems it necessary, external experts may participate by telephone in the board's preparatory work and/or in interviews.

3.2 TAKING REFERENCES

The recruitment group is responsible for the taking of references prior to the appointment board decision. The decision basis must state that references have been taken, or the reasons for omitting references. References may be omitted if there is good personal knowledge of the candidate. A template for references is available on the staff intranet. The candidate must be informed before any references are taken.

3.3 DECISIONS IN THE APPOINTMENT BOARD

The appointment board submits a proposal to the Vice-Chancellor regarding the appointment of Chaired Professors, Professors, Adjunct Professors and Associate Professors after the procedure of recruitment or assessment criteria for promotion.

For the recruitment and assessment of other teacher categories by the appointment board, the board submits an appointment proposal to the Head of Department.

3.3.1 The taking of minutes and conflict of interests in the appointment board

If the appointment board’s decision differs from the assessment of the external experts in material aspects, this shall be specifically justified.

A member of the board with a conflict of interest cannot participate in the appointment board’s decision. The board’s decision protocol must specify that checks have been made, with any conflict of interests between a candidate and a member of the appointment board noted.

4. Appeal

In accordance with Chapter 12, Section 2 of the Higher Education Ordinance, decisions on higher education appointments may be appealed to the Higher Education Appeals Board (ÖNH), with the exception of employment as a third-cycle student.

Decisions rejecting the assessment criteria for promotion with reference to employment as a university teacher cannot be appealed.

The appeal period expires three weeks after the decision has been adopted. An appeal submitted in time must be promptly forwarded to the ÖNH, together with other documents pertaining to the appointment matter, in accordance with the document “Guidelines for the processing of appeals at LTU”. The HR specialist is responsible for ensuring that documents are sent to the ÖNH and for support to the appointment board and the Vice-Chancellor. The ÖNH makes a decision – a decision that cannot be appealed.
5. About appointment boards

5.1 MANDATE AND COMPOSITION OF THE APPOINTMENT BOARDS

The mandate of the appointment board includes representing the University when it is recruiting and assessing the qualifications of teachers in virtue of current Acts, Ordinances, Appointments procedure and guidelines. The HR unit is responsible for the preparation of matters in accordance with the Appointments procedure and guidelines.

The Vice-Chancellor decides the number of boards and the more precise composition of the boards. The teachers in the appointment boards are appointed by the Vice-Chancellor after a joint proposal from the faculty boards. The HR unit prepares proposals regarding teacher members for the faculty boards. The student unions appoint their members, normally one student and one third-cycle student. Women and men are to have equal representation in the boards other than under exceptional circumstances. These circumstances must be stated in the faculty boards’ proposal for decision. The unions are to be asked to appoint one member of each gender.

There are two appointment boards at the University. Appointment board 1 normally prepares matters for the technical field and Appointment board 2 for the philosophical field. Exceptions can be made in order to achieve a more even distribution of work between the appointment boards. The appointment boards consist of a Chair, Vice-Chair (from the opposite field), two teacher members, one third-cycle member and one student member. In Appointment board 2, one of the teacher members shall represent artistic activities. Where needed, the members of the boards may act as deputy members of the opposite board.

The Vice-Chancellor makes the decision in matters concerning new members of the appointment boards, following proposals from the faculty boards. The assignment is to be advertised internally. Before a decision is made in the faculty board, support for the proposal must first be gained from the dean of the opposite faculty board.

5.2 REQUIREMENTS PROFILE FOR TEACHER MEMBERS OF APPOINTMENT BOARDS

Teacher members of the appointment board must hold a permanent position at the University. Exempted from this rule are teacher members making artistic assessments; these may hold a fixed-term position on artistic grounds in accordance with the Higher Education Ordinance. The Chair must be employed as a Professor and have experience of managerial assignments (Chaired Professor, Head of Division or equivalent). The Vice-Chair must be employed as a Professor or Associate Professor and have experience of managerial assignments. The teacher members must be employed as a Professor, Associate Professor or Senior Lecturer.

5.3 TERM OF BOARD MEMBERSHIP

The term of board membership is normally three years, with the possibility of extension for another three years. If any of the members is elected as Chair, that person’s term of membership may be extended for another three years in addition to their previous terms of membership. To ensure the continuity of the boards’ work, it is important that not all members are replaced at the same time. This should therefore be taken into consideration before making decisions on terms of board membership.
5.4 BOARD QUORUM

The appointment board may make decisions when at least half of the members are present, including the Chair or the Vice-Chair and one further member in addition to the student and third-cycle members. The agenda is to include a report of any conflicts of interest as a standing item. Where there is disagreement on a decision, an open vote must be held, whereby each member states how he/she is voting. Where the voting is even, the Chair has the casting vote.

5.5 MEETINGS OF THE APPOINTMENT BOARD

The appointment board holds meetings according to a schedule established for each semester. Extra meetings may be held if there are special grounds to do so.

Meetings of the appointment board are attended by the concerned Head of Department or the person designated by that Head of Department. The department representative only has a consultative role and does not participate in the decision. When making artistic assessments, the appointment board has opportunity to obtain support from the Artistic Committee of the Board of the Faculty of Humanities and Social Sciences.

Teacher members must maintain a professional approach to the matters dealt with and be able to devote the time necessary for active participation in the work of the appointment board.

5.6 JOINT BOARD MEETINGS FOR QUALITY ASSURANCE

To assure the quality of the appointment boards' work, the HR unit is responsible for meetings of the appointment board members and the Vice-Chancellor's office at least twice per year, by acting as convenor and preparatory body. The agenda is established by the HR unit in consultation with the Vice-Chancellor or a third party designated by the Vice-Chancellor and the Chairs of the appointment boards. The HR Director is responsible for inviting the Chairs to the Vice-Chancellor's council once per semester for an update on the recruitment work.

5.6.1 Follow-up of recruitment matters

With a view to the continuous quality assurance of implemented recruitment stages, the HR unit is responsible for follow-up meetings regarding completed and ongoing matters at least twice a year in collaboration with staff from the Office of Education and Research. The HR unit is responsible for ensuring that information from these meetings is reported at the joint meetings with the appointment boards.