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HISTFILFAK 2020/66

Guidelines Supplementing the Appointment Regulations for Uppsala University

Faculty of Arts

Adopted by the Board of the Faculty of Arts on 20 October 2020.
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Guidelines Supplementing the Appointment Regulations for Uppsala University

Section (§) 2 of the *Appointment Regulations for Uppsala University* (UFV 2019/1673) prescribes that: “Disciplinary domain/faculty boards are to issue guidelines and assessment criteria for recruiting and promoting teachers to complement these Appointment Regulations.”

The Board of the Faculty of Arts decided at a meeting on 20 October 2020 to adopt these Guidelines.

The Guidelines are based on Sweden’s *Higher Education Ordinance* and the *Appointment Regulations for Uppsala University*. Relevant parts of these documents are quoted below. Matters regulated at a higher level are not repeated at a lower one. For every type of employment, rules at three different levels must thus be taken into consideration.

The Faculty Board wishes to issue a particular reminder of the following provision in Section 3 of the *Appointment Regulations* (AR):

“The pertinent domain/faculty board as well as the recruiting head of department/equivalent are obligated to oversee that employment matters are dealt with impartially, to consider only objective criteria in assessments, to ensure that expertise in work receives primary consideration unless there are special reasons for some other consideration, and to safeguard that the recruitment process is transparent and free from discrimination.”

1 Preparing appointment and promotion matters (AR Sections 79–84)

At the Faculty of Arts there is a Recruitment Committee comprising two groups. Since these groups’ members serve as alternates for one another, broad expertise is maintained throughout the Committee.

The **recruitment group** is responsible for preparing matters of the following types:

- appointment as professor (including visiting professor and adjunct professor)
- appointment as senior lecturer
- appointment as assistant senior lecturer
- review of applications to be granted Excellent Teacher status.

Other matters of a similar nature may also arise.

The **docent/promotion group** is responsible for preparing matters of the following types:

- promotion from senior lecturer to professor
- promotion from lecturer to senior lecturer
- promotion from assistant senior lecturer to senior lecturer
- review of eligibility as senior lecturer (in transfer or equivalent matters)
- review of applications for admission as docent (associate professor).

Other matters of a similar nature may also arise.

The constitution of each group is regulated in the Rules of Procedure for the Faculty of Arts (HISTFILFAK 2021/22).

Each group forms a quorum if at least half of its members, including the chair or vice chair, are present.

The Faculty Board's delegation procedure clarifies who has decision rights in certain issues relating to the recruitment process. Examples are decisions to initiate teacher recruitment, including decisions about the appointment profile, the selection of external experts and appointment nominations.

Ahead of a recruitment being initiated, the departments, with reference to Sections 75–76 of the Appointment Regulations, should actively seek out potential applicants and, in particular, urge individuals of the underrepresented gender to apply. The departments should also, at an early stage, seek to engage external experts, for whom proposals may be made as early as when the appointment profile is decided (AR Section 90).

2 Eligibility requirements and assessment criteria

(a) General

Appointment Regulations for Uppsala University

Section 4 When the University appoints new teachers, it must select the applicants who, following a qualitative overall assessment of their competence and expertise, are judged to have the best potential to perform and develop the relevant duties and to contribute to the positive development of the department/equivalent.

Section 5 One general qualification required is that applicants must be able to work with other people and otherwise meet the demands of suitability required to perform their duties well.

Section 6 To be eligible for a teaching appointment, an applicant must have a documented ability to teach in either Swedish or English or in both these languages. In addition, the ability to teach in another language may be required, based on current needs in the recruiting department/equivalent. In the case of promotion to a higher teaching position, applicants must normally demonstrate sufficient proficiency in Swedish to be able to participate in the University's internal procedures.

Section 16 To qualify for a teaching appointment, an applicant must have shown sufficient expertise in both research and teaching. Assessment criteria applicable to teaching appointments are, first, the degree to which the applicant possesses the expertise required to qualify for the position and, second, the other assessment criteria stated in the person specification for the position. Which criteria are emphasised may vary, depending on whether the assessment involves eligibility criteria for appointment and promotion, or assessment criteria for ranking applicants. The assessment criteria may be weighted differently, depending on the content of the work and the other conditions for the position that have been defined on the basis of operational needs.

Section 17 Qualifications must be documented in a manner that makes it possible to assess both their quality and their scope.

Section 20 Research expertise refers to research qualifications. In assessing research expertise, research quality must be the primary consideration. Consideration must also be given to the scope of the research, in terms primarily of its depth and breadth. Furthermore, consideration must be given to the capacity to plan, initiate, lead and develop research and third cycle (doctoral) education, the ability to obtain research funding in competition, and the ability to collaborate and engage with the wider community through research.

Section 22 Teaching expertise refers to educational qualifications. In assessing teaching expertise, teaching quality must be the primary consideration. Consideration must also be given to the scope of teaching experience, in terms of both breadth and depth. Furthermore, consideration must be given to the capacity to plan, initiate, lead and develop education, and to the ability to base teaching on research. Teaching expertise should also include the ability to collaborate and engage with the wider community through education.

Section 28 Administrative expertise is demonstrated, for example, by the ability to plan, organise and prioritise work in an efficient and appropriate manner, and the ability to specify and keep to time frames. Such expertise includes overall operational planning, the ability to manage resources in a way that reflects operational priorities, and the ability to work in a structured manner based on awareness of goals and quality.

Section 30 Management expertise is demonstrated by the ability to lead operations and staff, make decisions, take responsibility and motivate others, providing them with the conditions needed for efficient achievement of shared goals. Expertise may also be demonstrated by an ability to coordinate the group, to help create a sense of involvement, participation and job satisfaction, and to deal with conflicts.

Section 46 Applications for promotion may only be made by teachers employed at the University on indefinite-term contracts who are actively engaged in their role at the time of application, and by associate senior lecturers.

Section 48 The subject area must normally be the same as for the applicant's previous position, but this can be changed if there are special reasons for doing so.

Section 49 Promotion of a senior lecturer to professor or of a lecturer to senior lecturer entails an assessment of competence and a change in title. A senior lecturer or lecturer who has been promoted is not entitled to changed duties or terms of employment.

Section 50 A senior lecturer must be promoted to professor and a lecturer to senior lecturer if they apply for this in writing, are qualified for such a position and have been deemed to meet the specific requirements adopted by the relevant disciplinary domain or faculty board.

Section 58 Promotion from senior lecturer to professor may take place no earlier than five years following completion of the doctoral degree, to ensure sufficient experience of independent research work and supervision of doctoral students, unless there are special reasons.

(b) Appointment as professor

Higher Education Ordinance (Chapter 4, Section 3)

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

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

Appointment Regulations for Uppsala University

See Sections 4–30 under 2 (a) above.

Section 31 Research expertise must have been demonstrated by the applicant's independent research contributions and by achievements that are of very high quality by international standards. The applicant must have demonstrated expertise in planning, initiating, leading and developing research; an ability to obtain research funding in competition; and well-documented expertise in supervising third cycle (doctoral) students. The applicant's contributions to the international and national scientific community must be assessed on the basis of such criteria as the quality and scope of scholarly publications. The international track record required must be assessed in light of the nature and specific circumstances of the subject.

Section 32 Teaching expertise must have been demonstrated by an extensive educational portfolio in accordance with Section 22. Furthermore, the applicant must demonstrate well-documented expertise in supervision at first cycle (undergraduate) level, second cycle (Master's) level and third cycle (doctoral) level.

A prerequisite for considering that the applicant has teaching expertise is that the applicant has completed at least ten weeks of teacher training for higher education that is relevant to the organisation and its activities, or has equivalent knowledge. If there are special reasons, the teacher training for higher education may be undertaken during the first two years of employment. The teacher training must also include third cycle (doctoral student) supervision.

The Faculty Board's supplementary guidelines

In recruiting a professor, the Faculty Board may form a group for the purpose of identifying potential applicants for the appointment, and also possible external experts who are available. The group must include representatives from the department concerned, one of whom must serve as convener in the group.

The appointment profile for recruitment of a professor is adopted by the Faculty Board, following consultation with the Vice-Chancellor. The appointment profile must state how various assessment criteria are to be balanced against one another. Here, it is normally stated that research expertise carries most weight. The other conditions that must apply to enable the applicant to perform the duties of the position well are also specified in the appointment profile.

For appointment as professor, the following supplementary assessment criteria normally apply in addition to what is prescribed in the *Higher Education Ordinance* and the *Appointment Regulations for Uppsala University*:

- In the assessment of research expertise, international visibility and scientific positions of trust must be included, in a suitable manner, as indirect measures of research quality and recognition (cf. AR Section 34). "Scientific positions of trust" refers to assignments as PhD thesis opponent and examination committee member; assignments as external expert; assignments as referee (for journals and publishers); and membership of scientific editorial committees.
- In the assessment of teaching expertise, it is important to bear in mind that "experience" is a quantitative measure that does not itself witness to expertise (cf. AR Section 3).
- Assessment of "corresponding knowledge" for eligibility as a teacher is carried out by the Recruitment Committee and the reasons for it explained in the minutes of its meeting.
- The applicant must normally have supervised at least one doctoral candidate from the latter's admission to PhD studies to the public defence, unless special reasons apply.
- Experience of management responsibilities, demonstrated by taking charge of the departmental environment, research environment or similar, is regarded as a qualification.

- As methods of selection, besides statements from experts, trial lectures, interviews and solicitation of references may be used.
- Two external experts are appointed by the Faculty Board according to nominations from the department where the appointment is placed. Two external experts must be appointed in recruitment of a professor. In exceptional cases, where special reasons apply, three experts may be appointed.
- A decision to appoint a special educational expert is made by the Dean following consultation with the Recruitment Committee (see delegation regulations). The experts should participate in interviews and trial lectures.

(c) Promotion to professor

Higher Education Ordinance (Chapter 4, Section 3)¹

A person who has demonstrated both research and teaching expertise shall be qualified for employment as a professor except in disciplines in the fine, applied or performing arts. [...] As much attention shall be given to the assessment of teaching expertise as to the assessment of research or artistic expertise.

Appointment Regulations for Uppsala University

See Sections 4–58 under 2 (a) and Sections 31–32 under 2 (b) above.

The Faculty Board's supplementary guidelines

The same eligibility requirements and assessment criteria as for appointment as professor apply to promotion from senior lecturer to professor.

Since promotion does not involve a competitive situation, the Recruitment Committee and external experts must ensure that they settle the content of expertise as professor. The following points should serve as aims:

- In the assessment of research expertise, clear progression is an important assessment criterion, as is documented impact of the applicant's research results in the scientific community. This requires international publications. Success in obtaining external research grants, and also successful experience of initiating and leading research, will be used as an assessment criterion.
- Teaching expertise must primarily relate to supervision and teaching at doctoral level. Supervision and teaching at Master's level are also regarded as qualifications. Teaching expertise must be well documented in documents submitted.

(d) Appointment as senior lecturer

Higher Education Ordinance (Chapter 4, Section 4)

Those qualified for appointment as a senior lecturer are

1. except in disciplines in the fine, applied or performing arts, a person who has demonstrated teaching expertise and been awarded a PhD or has the corresponding research competence or some

¹ This rule refers to filling an appointment as professor, but also applies to promotion.

other professional expertise that is of value in view of the subject matter of the post and the duties that it will involve [...]

The assessment criteria for appointment as a senior lecturer shall be the degree of the expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of other qualifying criteria laid down in the first paragraph above. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of a senior lecturer.

Appointment Regulations for Uppsala University

See Sections 4–30 under 2 (a) above.

Section 35 Teaching expertise must have been demonstrated by an educational portfolio in accordance with Section 22.

A prerequisite for considering that the applicant has teaching expertise is that the applicant has completed at least ten weeks of teacher training for higher education that is relevant to the organisation and its activities, or has equivalent knowledge. If there are special reasons, the teacher training for higher education may be undertaken during the first two years of employment.

The Faculty Board's supplementary guidelines

Where necessary, in the recruitment of a senior lecturer, a search group may be formed for the purpose of identifying potential applicants for the appointment, and also possible external experts who are available. The group is selected by the department board. The appointment profile for recruitment of a senior lecturer is adopted by the Dean by delegation from the Faculty Board. The appointment profile must specify how various expertise criteria are balanced against one another. Here, it is specified that equal weight must normally be assigned to research and teaching expertise.

For appointment as senior lecturer, the following supplementary guidelines and assessment criteria normally apply beyond what is prescribed in the *Higher Education Ordinance* and the *Appointment Regulations for Uppsala University*.

- In the assessment of teaching expertise, it is important to bear in mind that “experience” is a quantitative measure that does not itself witness to expertise (cf. AR Section 3).
- To be eligible for employment as senior lecturer, however, the applicant is required to have at least one year’s full-time teaching experience. This experience must be of a relevant kind. The idea underlying this criterion is that a certain amount of teaching experience is required for any qualitative assessment of the applicant’s teaching ability at all to be feasible. Relatively little teaching experience may be accepted if the applicant has good experience of education in other respects, such as appropriate teacher training, experience of educational development work, production of teaching materials, course administration, various types of teaching inputs etc. Another reason may be the acute need for teaching staff and the small number of applicants to the department concerned.
- To be considered, the applicant must also meet the other skills requirements that are explicitly defined in the appointment profile.
- External experts are appointed by the Dean following nominations from the department concerned. Two experts must be appointed to assist in recruiting a senior lecturer. Following consultation with the Recruitment Committee, the Dean may decide to appoint a third expert and/or a special expert in education.

- As methods of selection, alongside statements from experts, use may be made of trial lectures, interviews and taking-up of references.
- Where necessary, the experts may be invited to take part in trial lectures and interviews.

(e) Promotion from assistant senior lecturer to senior lecturer

Appointment Regulations for Uppsala University

Section 63 A person who is employed as associate senior lecturer must, upon written application, be promoted to senior lecturer if they are considered, upon expert assessment, to satisfy the qualification requirements that have been set by the relevant disciplinary domain or faculty board and have been set out in the job vacancy information.

Section 64 The applicant must have demonstrated research expertise and be considered to have the potential, as senior lecturer, to initiate and independently pursue research of high scientific quality in accordance with Section 34. The research qualifications must be documented in such a way as to enable assessment of both quality and scope.

Section 65 Applicants must have demonstrated teaching expertise in accordance with Section 35 through teaching, examination and supervision at both first cycle (undergraduate) and second cycle (Master's) level, and through planning, development and evaluation, and be considered able as senior lecturer to assume educational leadership roles and further develop teaching activities. Teaching qualifications must be documented in such a way as to enable assessment of both quality and scope.

Section 66 A prerequisite for considering that the applicant has teaching expertise is that the applicant has completed at least ten weeks of teacher training for higher education that is relevant to the organisation and its activities, or has equivalent knowledge.

Section 67 The applicant must have demonstrated collegial responsibility and be considered capable of contributing to the development of the University.

Section 68 A written application to be considered for promotion to senior lecturer must have reached the relevant disciplinary domain or faculty board six months, at the latest, before the appointment as associate senior lecturer ends. An associate senior lecturer may be considered for promotion to senior lecturer only once. The decision to grant or reject the application for promotion must be made at the latest two months prior to the end of employment as associate senior lecturer.

The Faculty Board's supplementary guidelines

In the assessment of promotion from assistant senior lecturer to senior lecturer, the same requirements apply as for appointment as senior lecturer (*Appointment Regulations for Uppsala University*, Sections 34–35, and 2(d) in these Faculty of Arts Guidelines). For promotion to be approved, the applicant must have satisfactorily fulfilled the work duties as assistant senior lecturer.

In the assessment of promotion, particular attention is paid to the work carried out during the person's employment as assistant senior lecturer. In their applications, the applicants must include a special account of their work during their employment as assistant senior lecturer.

To ensure optimal implementation of the review, applicants are recommended to submit their applications for promotion to the Faculty Board, if possible, eight months before the employment period ends.

(f) Promotion from lecturer to senior lecturer

Higher Education Ordinance (Chapter 4, Section 4)

Those qualified for appointment as a senior lecturer are

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

The assessment criteria for appointment as a senior lecturer shall be the degree of the expertise required as a qualification for employment. As much attention shall be given to the assessment of teaching expertise as to the assessment of other qualifying criteria laid down in the first paragraph above. Each higher education institution determines itself what assessment criteria are otherwise to apply to the appointment of a senior lecturer.

Appointment Regulations for Uppsala University

See Sections 4–50 under 2 (a) above and Section 35 under 2 (d) above.

The Faculty Board's supplementary guidelines

The same assessment criteria as for appointment as senior lecturer apply to promotion from lecturer to senior lecturer. See above.

Since promotion does not involve a competitive situation, the Recruitment Committee and external experts must ensure that they settle the content of expertise as senior lecturer.

(g) Appointment as lecturer

Appointment Regulations for Uppsala University

Section 41 To be eligible for appointment as lecturer, applicants must have a higher education degree and have demonstrated teaching expertise.

Section 42 In appointments to the post of lecturer, the requirement for research expertise is replaced by a requirement for depth in the subject.

Section 42 In appointments to the position of lecturer, in-depth subject study is required rather than research competence.

Section 43 Teaching expertise must have been demonstrated by an extensive educational portfolio in accordance with Section 22, or by some other means in the area of activity that the education involves.

A prerequisite for considering that the applicant has teaching expertise is that the applicant has completed at least ten weeks of teacher training for higher education that is relevant to the organisation and its activities, or has equivalent knowledge. If there are special reasons, the teacher training for higher education may be undertaken during the first two years of employment.

The Faculty Board's supplementary guidelines

Administration of matters relating to appointment as lecturer takes place at the department where the employment is located. The faculty management must approve the Department's initiation of a recruitment.

In appointment of a lecturer, particular weight is assigned to teaching expertise, which means that an applicant with superior teaching skills takes precedence over an applicant with greater research expertise.

(h) Appointment as assistant senior lecturer

Higher Education Ordinance (Chapter 4, Section 4a)

A person qualified for appointment as an associate senior lecturer is a person who has been awarded a PhD or has the corresponding research expertise. Primary consideration should be given to a person who has been awarded a PhD or achieved the equivalent expertise within five years of the deadline for application for employment as an associate senior lecturer.

Appointment Regulations for Uppsala University

Section 38 Appointment as an associate senior lecturer requires research expertise in accordance with Section 20. The research expertise must be of good quality and promise good prospects of an academic career in the relevant subject area for the position.

Section 39 For an appointment as an associate senior lecturer, teaching expertise in accordance with Section 22 must be taken into account. To acquire teaching expertise, the applicant should have completed at least five weeks of teacher training for higher education of relevance to the organisation and its activities, or have equivalent knowledge. If it has not been possible to acquire this qualification before appointment, qualifying training for teachers in higher education must be undertaken during the first two years of employment.

(i) Adjunct teacher

Appointment Regulations for Uppsala University

Section 45 For appointment as adjunct professor, adjunct senior lecturer and adjunct lecturer, with the exception of teaching expertise, the same qualifications are required as for the relevant teacher category.

The Faculty Board's supplementary guidelines

Eligibility requirements for adjunct teachers are the same as those for the equivalent appointments without adjunct status. As the prospective employee has often not worked in a traditional academic environment, teaching eligibility must be assessed with reference to partially different criteria than the normal ones, such as competence in producing good teaching materials or presentations of research findings at conferences, in museum catalogues or in summaries of exhibition catalogues.

(j) Nominations for appointment as professor

See *Appointment Regulations for Uppsala University*, UFV 2019/1673, Sections 101–106.