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The Faculty of Law's Guidelines for Appointment and Promotion of Teachers

Adopted by the Board of the Faculty of Law on 11 June 2015
(Appendix 2 revised on 21 May 2018)

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Paragraph 2 of the *Appointment Regulations for Uppsala University* (UFV 2010/1842) prescribes that “Domain/Faculty boards may issue complementary guidelines and assessment criteria for recruiting and promoting teachers” beyond the scope of the actual Regulations. At a meeting on 17 October 2013, the Board of the Faculty of Law decided to adopt guidelines as set out below.

1. General

These guidelines are intended for use in valuation of research, teaching and other qualifications to employ teachers until further notice and in promotion matters. The guidelines are addressed at all those involved in the above-mentioned cases, especially the Recruitment Group, external experts and applicants.

For the Department and Faculty of Law, the joint University guidelines need adapting to the Department’s specific circumstances. For all the factors to be considered, qualifications must be assessed in relation to operational needs. The need for expertise in the subject area of the job applied for is thus an essential criterion in teacher recruitment. If, for example, a candidate has advanced subject knowledge in a small-scale subject but little or no knowledge of other subjects within the framework of the job sought, this circumstance should be taken into account.

Teacher categories at the University are as follows:

- a) Under the Higher Education Act and Higher Education Ordinance: professor (including visiting and adjunct professor), associate professor (‘senior lecturer’).
- b) Under local decisions: associate senior lecturer, assistant professor, lecturer, adjunct senior lecturer, adjunct lecturer.

To review teacher appointments (not fixed-term lecturer or adjunct positions) and cases in which the status of Docent or Excellent Teacher is conferred, there is a Recruitment Group under the Faculty Board. The Group comprises four teachers, one doctoral student and one student. For the teachers, two deputies are appointed. For the PhD student and student representatives, personal deputies are appointed. The teacher representatives are appointed by the Faculty Board, which also appoints the Group Chair.

For professor or senior lecturer posts and applications for promotion, the Faculty Board appoints at least two people especially familiar with the subject area concerned. Referred to below as ‘subject specialists’, these individuals are assigned to appraise the applicants’ research and teaching expertise. Nominations for subject specialists are submitted by the Dean after consultation with subject representatives and the Research Committee Chair. Since the subject specialists must come from other higher education institutions (HEIs), and can therefore assess applicants’ teaching expertise in depth only with difficulty (for example, through classroom observation), the Faculty Board also appoints a special education expert. The head of department recommends an educational expert after consulting the Education Committee Chair.

As the education expert, a person associated with the Faculty and proficient in the theory and practice of education must be appointed. This expert’s task is to assess teaching expertise and other qualifications (except research expertise); report on the expertise of the candidates best suited to the position; rank them in order of preference; and explain the choice arrived at.

A decision on recruitment of, or promotion to, a professor is taken by the Vice-Chancellor, following the Faculty Board’s recommendation after the Recruitment Group’s review. A decision to appoint a senior lecturer or lecturer until further notice is taken by the head of the Department of Law according to the Recruitment Group’s recommendation.

Guidelines for granting **Docent** and **Excellent Teacher** status are contained in separate decision documents appended to this document. Guidelines for appointing a **programme professor** may be found in a public announcement of the special terms and conditions entailed by a programme professorship.

The paragraphs of the *Appointment Regulations for Uppsala University* governing general eligibility requirements and assessment criteria for teaching appointments are given below.

Appointment Regulations for Uppsala University

...

§ 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 capacity to carry out and develop the relevant duties and to assist in improving the work.

§ 5 One general eligibility requirement is that the applicant must have the personal traits required for good performance in the position.

§ 6 To be eligible for a teaching appointment, the applicant must have a documented ability to teach in either Swedish or English or both Swedish and English. In addition, requirements may be imposed concerning ability to teach in another language, based on current needs in the activity for which a teacher is to be recruited.

...

§ 17 Assessment criteria applicable to teaching appointments are, first, the degree of such expertise as eligibility for the post requires and, second, the other assessment criteria specified in the position profile. Which criteria are emphasised may vary, depending on whether the assessment involves eligibility criteria for an appointment, assessment criteria for ranking applicants, or promotion. The assessment criteria may be weighted differently, depending on the content of the work and the other conditions that have been defined for the appointment.

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

...

§ 21 Research expertise comprises research qualifications. In assessment of research expertise, research quality must be the primary consideration. The scope of research, mainly in terms of depth and breadth, must also be considered. Attention must be paid to the applicant's capacity to plan, initiate, lead and develop research and education in the third cycle; ability to acquire funding for research in competition; and demonstrated capacity to interact with others, both within academia and in the wider community.

...

§ 23 Teaching expertise comprises educational and teaching qualifications. In assessment of teaching expertise, teaching quality must be the primary consideration. The scope of teaching experience, in terms of depth and breadth, must also be considered. Moreover, attention must be paid to the applicant's capacity to plan, initiate, lead, and develop teaching and instruction, and ability to connect teaching with research in the subject concerned, subject didactics and teaching and learning in higher education. Ability to interact concerning issues of teaching and learning in higher education with actors inside and outside the University is also included in teaching expertise.

...

§ 29 Administrative expertise is demonstrated, for example, through the capacity to plan, organise and prioritise work in an efficient and task-related manner, and the ability to impose and observe time frames. Expertise includes overall operational planning; the capacity 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.

...

§ 31 Management expertise is demonstrated through the capacity to lead operations and staff, make decisions, take responsibility and motivate others, providing them with what they needed for efficient achievement of common goals. Further examples of demonstrated expertise are abilities to coordinate the group; help create a sense of involvement, participation and enjoyment in work; and deal with conflicts.

2 Recruitment as professor

Higher Education Ordinance (Chapter 4, Section 3)

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

The assessment criteria for appointment as a professor are the degree of the expertise required as a qualification for employment. As much attention must be given to the assessment of teaching expertise as to the assessment of research or artistic expertise. Otherwise, each HEI itself determines what assessment criteria are to apply to the appointment of a professor. Ordinance (2010:1064).

Appointment Regulations for Uppsala University

See paragraphs 4–31 in section 1 above.

...

§ 32 Research expertise must have been demonstrated by the applicant's independent research work and its consistently high quality by international and national standards. The applicant must have demonstrated expertise in planning, initiating, leading and developing research; a capacity to obtain research funding in competition; and well-documented expertise in supervising third-cycle students. Applicants' contributions to the international and national academic community must be assessed on the basis of such criteria as the quality and scope of their scholarly publications in publishing channels most relevant to the subject. How far the applicants meet the requirement of international qualifications must be assessed according to the nature and specific circumstances of the subject.

§ 33 Teaching expertise must have been demonstrated by educational and teaching qualifications in accordance with § 23. Furthermore, the applicant must demonstrate well-documented expertise in supervision in the first, second and third cycles.

A prerequisite for having demonstrated teaching expertise is the applicant's completion of teacher training for higher education, relevant to work at the University and comprising at least ten weeks, or acquisition of the equivalent knowledge. If special circumstances apply, this training for teachers in higher education may be completed during the first two years' employment. The teacher training must also include third-cycle supervision.

Faculty of Law's guidelines

Research expertise

The subject boundaries stated in the announcement of employment as a professor must be the guiding principle for valuation of research qualifications. Assessment of research expertise comprises appraisals of, first, scholarly publications cited that are relevant to the research area and, second, the applicant's capacity for further research activity in the subject specialisation concerned. With the limitations of the employment's focus, both depth and breadth are of importance in a valuation of research qualifications and research expertise. In the assessment, work cited must be measured by the importance of its independent research quality. The starting points for the valuation of the applicant's research proficiency are proven familiarity with the subject and previous research, creativity and originality in the chosen research focus, and the depth of analysis and scope of research production, taking into consideration the time during which the applicant was active. In addition, a proven ability to interact and collaborate constructively with other researchers is important.

In the valuation of whether the applicant's research expertise is sufficient for employment as a professor, the starting point is that this expertise must *substantially exceed* the degree of expertise necessary for conferral of Docent status (see Appendix 1).

The applicant's research production must exceed the requirements for Docent status, which correspond qualitatively and quantitatively to an additional monograph on a par with a doctoral dissertation. This further production may consist of a monograph or equivalent scholarly achievement

in the form of numerous in-depth articles or the equivalent. The ability to tackle new research issues in research after the award of Docent status – and thereby provide evidence of broadening research – is a qualification. At least one of the research publications prepared after the conferral of Docent status should be in a language other than Swedish, preferably with international publication.

Normally, the applicant must have supervised at least one PhD student up to the doctoral examination, as either principal or assistant supervisor. The supervision must have been active.

If special reasons apply, the requirement of supervisor experience may be waived if, for example, the applicant has more than one year's experience of doctoral supervision that has not yet culminated in a disputation, combined with work tasks that have involved extensive contributions in teaching, supportive or reviewing work in education of doctoral students. Such contributions must consist of, or correspond to, tasks within the framework of doctoral supervision. They may, for example, be experience of leading research projects, management assignments focusing on research, or organisation and participation in courses in research education. Value must also be assigned to substantial experience of assignments such as serving as an 'opponent', examining committee member and expert referee.

The applicant must have shown the ability to obtain research grants in competition. If the applicant has secured a multiannual external research grant in competition with other researchers, and also successfully completed this research, this counts as a qualification.

In a balanced assessment of the applicant's research qualifications and expertise, additional factors must be considered, without being ranked. Examples are publication after peer review, presentation of research results (international and national) and research collaboration (international and national).

It is desirable for expert referees, in their statements of opinion, to reflect on whether the applicants have broadened their knowledge and tackled new research questions after receiving Docent status.

Teaching expertise

The subject boundaries stated in the announcement of a vacant position as a professor must be a starting point for the value of teaching qualifications. Assessment of teaching expertise comprises appraisals of, first, teaching qualifications cited and, second, the applicant's capacity for further teaching activity in the subject specialisation concerned. Subject depth and breadth alike have a bearing on the assessment, as do quantitative scope and educational quality and versatility. (See also section 10, "Instructions for drawing up a teaching-post application", below.)

In assessment of the applicant's educational qualifications and teaching expertise, factors considered must include the following:

- the extent of teaching experience (for appointment, a minimum of one year's aggregate full-time teaching at HEI level should normally be required)
- level (whether the applicant has taught at basic, advanced or postgraduate level)
- educational environment (where experience was gained, such as Uppsala University's Department of Law, another Swedish or foreign HEI, in training practitioners, etc.)
- teaching in a foreign language
- forms of teaching
- the breadth of teaching in terms of subject specialisation, level, environment and forms of teaching
- course management experience and experience from course management
- educational awareness and development work
- experience of producing teaching materials.

The relative importance of the factors listed above is determined in the individual case, based on the subject boundaries of the appointment advertised.

It should be noted that operational needs (see 1 above) must be considered in, for example, application of the guidelines for assessing teaching expertise.

Over and above these conditions for appointment as professor, research-leading activities on an appreciable scale are required. In the assessment of this requirement, emphasis is laid on experience of doctoral supervision; see above, under “Research expertise”.

The following rules apply to appointments as **adjunct professor** and **visiting professor**:

Swedish Higher Education Act and Higher Education Ordinance

Chapter 3, Section 3 of the Act

A professor must be appointed until further notice without a time restriction, unless otherwise pursuant to the second paragraph.

A professor may be appointed for a fixed term, if the appointment concerns [...]

2. an adjunct post at a higher education institution for someone mainly employed outside the higher education sector (adjunct professor) [...]. (SFS 2010:701)

...

Chapter 4, Section 11 of the Ordinance

An adjunct professor must be employed until further notice but for no longer than until a specified date. Such an appointment may be extended. The total period of employment may not, however, exceed 12 years. In other respects, the post is subject to the provisions of the Employment Protection Act (1982:80). (SFS 2010:1064)

Chapter 4, Section 12 of the Ordinance

A visiting professor must be employed until further notice but for no longer than until a specified date. Such an appointment may be extended. The total period of employment may not, however, exceed five years. In other respects, the post is subject to the provisions of the Employment Protection Act (1982:80).

Appointment Regulations for Uppsala University

§ 45 For appointment as adjunct professor, adjunct senior lecturer and adjunct lecturer, with the exception of teaching expertise, the same qualifications apply as to the relevant teacher category.

...

§ 103 In the appointment of an adjunct teacher, an agreement must be drawn up between Uppsala University and the primary employer. The agreement must contain the conditions for the appointment, such as duties, payroll costs and other expenses, resources in the form of premises and equipment, ownership of findings, the right of publication, and secrecy.

3 Promotion to professor

Higher Education Ordinance (Chapter 4, Section 3)¹

A person who has demonstrated both research and teaching expertise is eligible for appointment as a professor except in disciplines in the fine, applied or performing arts. [. . .]

[. . .] As much attention must be given to the assessment of teaching expertise as to the assessment of research or artistic expertise.

Appointment Regulations for Uppsala University

See paragraphs 4–33 in sections 1 and 2 above.

§ 46 Promotion may be requested only by teachers employed at the University until further notice, who are working there at the time of application, and by associate senior lecturers.

...

¹ This provision refers to the appointment of professors, but is also applicable to promotions.

§ 48 The subject area must normally be the same as for the applicant's previous employment, but a change must be feasible if special circumstances apply.

...

§ 50 A senior lecturer must be promoted to professor and a lecturer to senior lecturer if they apply for this in writing, are eligible for such positions and have been deemed suitable on the basis of the specific criteria adopted by the board of the respective domain or faculty.

§ 51 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 special circumstances apply.

§ 52 The domain or faculty board may, before announcing a vacant position as lecturer or senior lecturer, decide to provide an opportunity for direct promotion. This means that an applicant can, in conjunction with the position, apply for and be granted promotion to a senior position.

Faculty of Law's guidelines

For promotion to a professor, the same standards of research and teaching expertise are required as for appointment as a professor; see Section 2 above. For promotion, assessment of research and teaching expertise is limited to the subject within which promotion is applied for.

Applicants for a lecturer appointment can simultaneously apply for promotion to professor unless the focus of the appointment prompts a restriction on the scope for promotion and this restriction is explicitly stated in the public announcement (see Appointment Guidelines, § 52).

4 Recruitment as senior lecturer

Higher Education Ordinance (Chapter 4, Section 4)

A person eligible for a lecturer appointment is

1. except in disciplines in the fine, applied or performing arts, one who has demonstrated teaching expertise and obtained either a doctorate or equivalent research expertise or other professional skill relevant to the content of the appointment and the duties it will involve. [...]

For a lecturer appointment, the degree of proficiency that is required for eligibility applies as an assessment criterion for the appointment. As much attention must be paid to examining teaching expertise as to reviewing other eligibility conditions under the first paragraph. Otherwise, each higher education institution decides which assessment criteria to apply when appointing a lecturer. (SFS 2010:1064)

Appointment Regulations for Uppsala University

See paragraphs 4–31 in section 1 above.

§ 35 Teaching expertise must have been demonstrated by educational and teaching qualifications in accordance with § 23. A prerequisite for having demonstrated teaching expertise is the applicant's completion of teacher training for higher education, relevant to work at the University and comprising at least ten weeks, or acquisition of the equivalent knowledge. If special circumstances apply, this training for teachers in higher education may be completed during the first two years' employment.

Board of the Faculty of Law's guidelines

Research expertise

The subject boundaries stated in the announcement of a vacant position as a lecturer must be a starting point for the value of research qualifications. Assessment of research expertise comprises appraisals of, first, scholarly publications cited that are relevant to the appointment and, second, the applicant's capacity for further research activity in the subject specialisation concerned. With the limitations

associated with the focus of the position, both breadth and depth have a bearing on valuation of the applicant's research qualifications and expertise. In the assessment, publications cited by the applicant must be assigned their due importance associated with their independent scholarly quality, regardless of the forms and forums in which they were published and their reach. The starting points for valuing applicants' research expertise are their proven familiarity with the subject and previous research, their creativity and originality in their chosen research specialisation, and the analytical depth and scale of their research production, taking into account the period in which the applicants have worked. A demonstrated ability to interact and constructively collaborate with other researchers is important.

In a balanced assessment of the applicant's research qualifications and expertise, weight must be assigned to factors including the following (listed in no particular order):

- publication after peer review
- presentation of research results (internationally or nationally)
- research collaboration (internationally or nationally)
- publication in more than one language
- international publication
- supervision of PhD students
- receipt of external funding for research projects.

Teaching expertise

The subject boundaries stated in the announcement of a vacant position as a lecturer must be a starting point for the value of teaching qualifications. Assessment of teaching expertise comprises appraisals of, first, the educational qualifications cited and, second, the applicant's capacity for further teaching activity in the subject specialisation concerned. Subject depth and breadth alike have a bearing on the assessment, as do quantitative scope and educational quality and versatility. (See also Section 10, "Instructions for drawing up a teaching-post application", below.)

In an assessment of the applicant's teaching qualifications and expertise, factors considered must include the following:

- the extent of teaching experience (for employment, a minimum of one year of combined full-time teaching at university level is normally required)
- level (if the applicant taught at basic, advanced or postgraduate level)
- educational environment (where experience was gained, such as Uppsala University's Department of Law, another Swedish or foreign HEI, in training practitioners, etc.)
- teaching in a foreign language
- forms of teaching
- the breadth of teaching in the subject specialisation, level, environment and forms of teaching
- course management experience and experience from course administration
- educational awareness and development work
- experience of producing teaching materials.

The relative importance of the factors listed is determined in the individual case, on the basis of the subject boundaries in the appointment advertised.

It should be noted that operational needs (see 1 above) must be taken into account in, for example, application of the guidelines for assessing teaching expertise.

5 Promotion from associate senior lecturer to senior lecturer

Higher Education Ordinance (Chapter 4, Section 4)

A person eligible for a lecturer appointment is

1. except in disciplines in the fine, applied or performing arts, one who has demonstrated teaching expertise and obtained either a doctorate or equivalent research expertise or other professional skill relevant to the content of

the appointment and the duties it will involve. [...] As much attention must be paid to the assessment of teaching expertise as to the assessment of other eligibility criteria according to the first paragraph.

Appointment Regulations for Uppsala University

See paragraphs 4–31 and 35 in sections 1 and 4 above.

§ 55 Associate senior lecturers must be promoted to senior lecturer if they apply for this in writing, are qualified for such a post and are deemed suitable for such a post on the basis of the specific criteria established by the respective domain or faculty board and according to the following criteria:

§ 55a The applicant must be considered to have the potential, as senior lecturer, to initiate and independently drive forward research of high scientific quality. The research qualifications must be documented in such a way as to enable assessment of both quality and scope.

§ 55b The applicant must have demonstrated teaching expertise by teaching at the first and second cycle. Teaching qualifications must be documented in such a way as to enable assessment of both quality and scope.

§ 55c A prerequisite for having demonstrated teaching expertise is the applicant's completion of teacher training for higher education, relevant to work at the University and comprising at least ten weeks, or acquisition of the equivalent knowledge.

§ 56 A written application to be considered for promotion to senior lecturer must have been received by the relevant domain or faculty board at the latest six months before the appointment as associate senior lecturer ends or is expected to end. An associate senior lecturer may be considered for promotion to senior lecturer only on one occasion. 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.

Faculty of Law's guidelines

Regarding eligibility in research and teaching, see Section 55 of the University's Appointment Regulations and also the Faculty's guidelines for appointing a senior lecturer. In addition, the applicant must have performed his or her duties satisfactorily.

6 Promotion from lecturer to senior lecturer

Higher Education Ordinance (Chapter 4, Section 4)

A person eligible for a lecturer appointment is

1. except in disciplines in the fine, applied or performing arts, one who has demonstrated teaching expertise and obtained either a doctorate or equivalent research expertise or other professional skill relevant to the content of the appointment and the duties it will involve. [...] As much attention must be paid to the assessment of teaching expertise as to the assessment of other eligibility criteria according to the first paragraph.

Appointment Regulations for Uppsala University

See paragraphs 4–31 and 35 in sections 1 and 4 above.

§ 46 Promotion may be requested only by teachers employed at the University until further notice, who are working there at the time of application, and by associate senior lecturers.

...

§ 48 The subject area must normally be the same as for the applicant's previous employment, but a change must be feasible if special circumstances apply.

...

§ 50 A senior lecturer must be promoted to professor and a lecturer to senior lecturer if they apply for this in writing, are eligible for such positions and have been deemed suitable on the basis of the specific criteria adopted by the respective domain or faculty board.

Faculty of Law's guidelines

Regarding qualifications in research and teaching terms, see Section 50 of the AO and the Faculty's guidelines for appointing a senior lecturer. In addition, the applicant must have been employed as a teacher at a university or equivalent for at least three years.

7 Recruitment as associate senior lecturer or assistant professor

Higher Education Ordinance (Chapter 4, Section 12a, paragraph 3)

A person eligible for employment pursuant to the first paragraph is one who has been awarded a PhD or attained equivalent research competence. Preference should be given to a person who was awarded a PhD or attained equivalent research competence no more than seven years prior to the expiry of the application period.

Appointment Regulations for Uppsala University

§ 11 A position as associate senior lecturer or assistant professor is intended to confer a qualification for a teaching appointment subject to high eligibility requirements. Appointment as associate senior lecturer or assistant professor may take place once. During the appointment, the associate senior lecturer or assistant professor must obtain research and educational qualifications to qualify for a more senior position.

...

§ 15 The duties of an associate senior lecturer and an assistant professor must include research and teaching, as well as administration.

...

§ 38 Eligibility for appointment as an associate senior lecturer or assistant professor requires teaching expertise in accordance with § 23. This must have been demonstrated by the applicant's educational and teaching qualifications. In assessment of teaching expertise, quality of teaching must be the prime consideration. Scope, including both breadth and depth, must also be taken into account.

To acquire teaching expertise, the applicant should have participated in teacher training for higher education of relevance to operations at the University, comprising at least five weeks, or be considered to have acquired the equivalent knowledge. If it has not been possible to acquire this qualification prior to employment, qualifying training for teachers in higher education must be completed during the first two years of employment.

...

§ 40 In addition to the criteria generally applied to appointments of associate senior lecturers or assistant professors, special weight should be attached to the applicant's potential to contribute to future development of both research and teaching.

...

§ 68 One precondition for appointing an associate senior lecturer is the existence of a documented operational need and financial scope for a senior lecturer appointment within the relevant subject area.

8 Recruitment as lecturer

Appointment Regulations for Uppsala University

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

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

§ 43 Teaching expertise must have been demonstrated by educational and teaching qualifications in accordance with Section 23.

A prerequisite for having demonstrated teaching expertise is the applicant's completion of teacher training for higher education, relevant to work at the University and comprising at least ten weeks, or acquisition of the equivalent knowledge. If special circumstances apply, this training for teachers in higher education may be completed during the first two years' employment.

9 Instructions for experts

General

As a basis for the experts in their work, reference is made to the announcement of the employment in question (if applicable), the *Appointment Regulations for Uppsala University* (including quotations from the Higher Education Ordinance) and the Faculty's supplementary guidelines.

A public announcement of the appointment as senior lecturer states how the recruitment will balance research and teaching expertise, and that equal care must be taken in applying these two assessment criteria. The "Eligibility requirements" and "Assessment criteria" parts of the announcement state the factors intended to be particularly important in assessment of the qualifications.

A special teaching expert is appointed to assess teaching and other qualifications. Nevertheless, the two subject specialists also assess the teaching qualifications and weigh them in the assessment of the applicants. The rankings of the applicants must relate, first, to research, teaching and other qualifications separately and, second, a balanced scorecard of these assessment criteria. The experts' written opinions should clearly state which criteria were used to assess the applicants' expertise.

Assessment of the applicants' qualifications and proficiency is based on the standards and instructions contained in the section of these guidelines governing recruitment or promotion to the position in question. In the disposition of expert statements, the layout of the instructions to applicants (see Section 10 of this document) may serve as a starting point. The statements become public records when they are received at the University. In cases where there is competition between applicants or an applicant's eligibility is questionable, the experts are expected to attend a meeting (usually by telephone) with the Recruitment Group, but not in the Group's decision.

Possible relationships between applicants and experts involving conflict of interest, such as supervision or co-authorship, should be noted early in the recruitment process.

Should such documentation be lacking in the application documents so that a final assessment becomes impossible, experts are advised to contact the Faculty for supplementary information.

Criteria for judging qualifications

To assess research and teaching expertise, refer to the Faculty's guidelines for the appointment concerned (see Sections 1–6 above). Special reference should also be made to Section 21 of the *Appointment Regulations for Uppsala University (AR)* for assessment of research qualifications, and Section 32 for professors' appointments. To review teaching qualifications, see especially Sections 23, 33 and 35, and for administrative and management qualifications Sections 29 and 31, of *AR*.

In assessment of applicants' qualifications, the quality of their contributions should be the decisive criterion. This also applies to assessment of teaching and other qualifications.

Instructions for special teaching experts

It is the teaching expert's task to judge the applicant's teaching expertise and apply the other assessment criteria, except for what the subject specialist's task is to appraise. This includes assessing the applicant's:

- ability to inspire enthusiasm in and stimulate students
- ability to link research to teaching
- ability to collaborate and social skills
- ability to conduct student-activating teaching.

The basis for the judgement is the applicant's stated circumstances and documentation (including referee statements), and reviews from others capable of judging the applicant's expertise in terms of the stated requirements. The teaching expert must draw up documentation for the assessment, including oral information provided by others. The expert must obtain information from the course director, director of studies and others familiar with the applicant's teaching proficiency. It is valuable if the special teaching expert – after consultation with the applicant and subsequent follow-up – can observe a teaching session for each applicant.

Further information on the assessment of teaching expertise is obtainable from the University's Unit for Academic Teaching and Learning (<https://katalog.uu.se/organisation/?orgId=X247:1>).

10 Instructions for drawing up a teaching-post application

Applicants should submit their accounts of research, teaching and other qualifications under the headings given below. The items listed below each heading – and also the headings – are only examples of the most common components, from which a selection can and should be made with reference to the specific requirements of the post in question.

The application procedure requires a full application, excluding research work, to be submitted in **four** hard (paper) copies, and to include documents according to the summary below. **Three** hard copies of research work are submitted.

Research qualifications

Guidelines for judging research qualifications and research expertise are given in Sections 2–8 above. The application should give primary emphasis to research production. Otherwise, the items listed are not ranked:

1. research production
2. researcher supervision
3. comments on the applicant's own research
4. research collaboration and external research assignments
5. qualifications in popularisation of research
6. participation in national and international conferences, courses and other meetings
7. funding situation, government research grants
8. legislative assignments
9. research policy assignments, such as membership of research councils
10. research assignments in the research community, for example as 'opponent', examining committee member or expert
11. advanced service with legal duties outside the University

12. other research qualifications, such as honorary doctorates, national and international prizes and academy membership.

Assessments reported in, for example, national research evaluations and the ability to obtain external funds awarded after quality review are indicators that may be included in the assessment of applicants' qualifications, and should therefore be reported by the applicant.

Teaching qualifications

Introduction

Guidelines for judging teaching qualifications and expertise are given in sections 2–8 above. The basis for this judgement is the applicant's stated circumstances and documentation (including referee statements), and reviews from others capable of judging the applicant's skill in these respects.

The concept of 'teaching qualifications' may include contributions to and experience of education at basic level (undergraduate, Bachelor or first cycle, including some professional degrees), advanced (Master or second cycle, including other professional degrees) level, or research level (third cycle). Broad, solid and up-to-date knowledge in the subject taught by the applicant is a necessary, but insufficient, prerequisite for teaching expertise. Applicants should specify their teaching qualifications under the headings listed below.

The applicant may also attach information from others, such as statements by a head of department or director of studies. Moreover, information about results, such as development work, course evaluations and student results are attached.

The applicant's teaching qualifications should be compiled in a teaching qualification portfolio, which should contain not only quantitative information but also the kinds of information that allow qualitative assessments of the applicant's teaching expertise.

Teaching contributions

Scale

This refers to the quantitative scale of teaching carried out.

Breadth

Here, the breadth of teaching contributions, such as whether full courses or parts of courses have been implemented and what subjects were covered.

Level

This indicates the level at which teaching has been conducted (basic, advanced or research).

Environment

Here, the environment in which the teaching was conducted, whether at university or elsewhere other than in a higher education institution (HEI), is specified. Whether teaching has been conducted abroad and/or in foreign languages may also be stated here.

Forms of teaching

State here whether the teaching was conducted in the form of lessons, seminars, lectures or supervision, or in some other form.

Course responsibilities

Specify here whether the applicant has experience as a course director or person responsible for coordinating part of a course (not a one-off seminar).

Reviews and awards

Here, applicants list any awards they have received for their teaching activities in a broad sense (including teaching materials production), and include evaluation results over a longer period, such as from colleagues or students, and statements from the head of department or director of studies.

Examination

This refers to the scale, level and forms of the applicant's degree qualifications.

Reflection on applicant's own teaching contributions

An in-depth analysis of the applicant's teaching contributions should be presented under this heading. The traditional list of qualifications that are, in any case, covered under other headings is insufficient. Instead, the account should consist in a reflection on the teaching, with the applicant's self-description as a teacher and examples to illustrate what is described. The aim is to provide a fair and nuanced image of the applicant as a teacher. Applicants should describe *what* they do, *how* they do it, *why* they do it this way and what *results* it brings.

Teacher training

Under this heading, the applicant specifies teacher training: – training participated in and education the applicant was responsible for and/or implemented. Examples of what is specified here are courses in teaching and learning in higher education, teacher training, academic studies in education, and other relevant training such as in-house training, teacher exchanges, education conferences and seminars, and study visits for educational purposes.

Teaching development work and research on education

This section lists experience in, for example, course development, experimental and development projects, evaluations and investigations of educational issues, research on education and teaching, or publications on educational matters. Moreover, qualifications from planning and administration of study programmes, such as assignments as a member of an education committee or equivalent, senior faculty administrator or director of studies, are specified here.

Teaching materials

Here, books and articles published by the applicant and used in teaching, as well as compendia and course materials, are presented.

Other contributions

Activities that may be mentioned here are expert assignments, consultancy work related to educational issues and work experience relevant to education. Work as a rapporteur at government offices, courts or public agencies, for example, may confer an educational qualification.

Other qualifications

What might be considered 'other qualifications' may be part of the applicant's research or teaching qualifications. In so far as any qualification is neither research nor teaching, it may be listed under 'Other qualifications'. The applicant should specify such qualifications under the headings below.

External contacts and information ('cooperation')

Examples may be participation as a presenter at conferences etc. Other activities associated with what Swedish legislation defines as universities' 'third task', that is, active information and communication efforts (cooperation) through, for example, debate articles and comments on official reports, are also specified under this heading.

Administrative and management tasks

Examples of activities to be specified here are research and HR administration, financial administration, educational administration, decision-making, management and miscellaneous tasks.

Guidelines for granting Docent status

1. Purpose of granting Docent status at the Faculty of Law

The purpose of granting the title or position of ‘Docent’² at the Faculty of Law is to clearly recognise a person’s special academic expertise. Docent status may be conferred if it may be beneficial to the research and education. A Docent is required to be active in education at postgraduate (research) level in various ways, such as providing proficient supervision and undertaking the role of ‘opponent’ in disputations (public defences of PhD theses). Obtaining Docent status therefore presupposes academic qualifications over and above a doctoral degree.

Docent status may normally be conferred only in a subject in which education at doctoral level is provided at the Faculty. A person who has gained Docent status at another higher education institution cannot be granted Docent status in the same subject at the Faculty of Law in Uppsala.

2. Consultation

A person wishing to be granted Docent status is recommended first to raise the matter informally with the Chair of the Research Committee. The Chair must then consult one or more subject representatives on the case. Advice not to continue does not constitute a formal impediment to proceeding with the application.

3. Conferral requirements for applicants not employed at the Faculty of Law

If the applicant has no position, whether until further notice or time-limited, at the Faculty of Law, subject representatives must issue special statements of opinion on how the grant of Docent status could benefit research and education at the Faculty. Benefit to research and education at the Faculty of Law may consist in the fact that, depending on the applicants’ expertise and availability, they may become engaged as teachers and supervisors in education at research level (licentiate or PhD, that is, third-cycle degrees³), as members of the Examining Committee, as teachers in education at basic (undergraduate, Bachelor or first-cycle) level or advanced (Master or second-cycle) level, or in other central activities at the Faculty of Law.

4. Research expertise

The boundaries of the research education subject in which the applicant wishes to obtain Docent status govern the valuation of research qualifications. Assessment of research expertise comprises appraisals of, first, scholarly publications cited that are relevant to the research area and, second, the applicant’s capacity for further research activity in the subject specialisation concerned. Subject to the limitations associated with the research education subject, breadth and depth alike have a bearing on

Translator’s notes:

² At the Faculty of Law, ‘Docent’ is a title or non-salaried position granted to applicants with (a) proven ability to conduct high-quality, independent academic research over and beyond the basic requirements for a doctorate and (b) proven teaching skills. Docent status corresponds approximately to the following titles or positions in academic systems outside Sweden: a Reader in the UK, a *Privatdozent* in Germany and an Associate Professor in the US.

³ See <http://www.uu.se/en/students/degrees-and-careers/degrees/levels-and-degrees/>.

valuation of the applicant's research qualifications and expertise. In the assessment, publications cited by the applicant must be assigned the due importance associated with their independent research quality, regardless of the forms and forums in which they were published and their reach. The criteria for judging the applicant's research expertise are demonstrated familiarity with the subject and previous research, creativity and originality in the chosen research specialisation, along with the analytical depth and scale of research production, taking into account the period during which the applicant has been working. In addition, the applicant's demonstrated ability to interact and constructively collaborate with other researchers is considered.

In the valuation of whether the applicant's research expertise is sufficient for conferral of Docent status, the starting point is that this expertise must *substantially exceed* the degree of skill that is necessary to obtain a doctorate.

A doctoral thesis of high quality that is supplemented by several high-quality articles written after the disputation confers Docent status in terms of research. Considering the quality of the PhD thesis, research production on a considerably larger scale may be required for the period after the disputation. At least one of the scholarly publications written after the disputation should be in a language other than Swedish, and preferably be published internationally.

Moreover, applicants must be able to show evidence that their research expertise has been broadened by further research production after the doctoral thesis. Another qualification is if the applicant has been awarded a multi-year external research grant in competition with other researchers.

In a balanced assessment of the applicant's research qualifications and expertise, further factors to which weight must be assigned include the following, listed in no particular order:

- publication after peer review
- presentation (international or national) of research results
- research collaboration (international or national)
- supervision of PhD students.

It is desirable for the expert's statement to contain reflections on whether the applicant has achieved greater breadth and tackled new research questions after obtaining the doctorate.

5. Teaching expertise

Teaching of the subject concerned at basic, advanced or research level (first, second and third cycle respectively), comprising at least 100 teaching hours and declared by a director of studies (or equivalent) to be of good quality, can normally constitute a sufficient qualification. Also judged as teaching qualifications are administrative contributions to planning and management of teaching, production of teaching materials, supervision, experience of teaching law to practising lawyers and presentation of materials in popularised form. Teaching carried out within the framework of a doctoral studentship counts as an educational qualification.

6. Procedure

Decisions in cases involving conferral of Docent status are taken by the Board of the Faculty of Law.

An application for Docent status must be sent in triplicate (three hard copies) to the Board of the Faculty of Law, Box 256, SE-751 05 Uppsala, Sweden.

The application must contain a list of qualifications, an academic CV including the applicant's research publications, and other documents intended to substantiate the applicant's research expertise.

The subject representative must nominate two experts to judge the applicant's eligibility for Docent status. These nominees should be professors at another faculty. Only if there are special reasons why experts from the applicant's own faculty should be engaged may this be done. One 'special reason' may be that the expertise required for assessing the case is lacking outside the faculty concerned.

When the application and the subject representative's nominations of experts and also, where required under section 3 above, the statement made by the subject representative has been received by the Board of the Faculty of Law, the Board appoints experts. These experts must then issue statements of opinion concerning the applicant's research expertise. It must be clear from these statements whether the conferral of Docent status is supported or not. The Recruitment Group must then submit a statement, containing a recommendation for a decision, to the Faculty Board.

11 June 2012 (revised 21 May 2018)

Guidelines for granting Excellent Teacher status

1. Purpose of granting Excellent Teacher status at the Faculty of Law

The purpose of conferring the status of ‘Excellent Teacher’ (ET) at the Faculty of Law is to clarify a person’s specific teaching expertise. In the *Guidelines for Admittance of Excellent Teachers* (UFV 2010/1842; revised on 15 May 2012) adopted by the Vice-Chancellor, the term ‘Excellent Teacher’ is used for teachers who have attained a high level of teaching expertise. This level is clearly distinguished from the basic level, in a manner analogous to how a Docent’s research expertise differs from that of the doctoral degree. What is required to attain the higher level is defined by the assessment criteria adopted, which are based on the definition and criteria for teaching proficiency in accordance with Section 23 of the *Appointment Regulations for Uppsala University* (UFV 2010/1842; the Swedish document was revised on 21 February 2018, but an updated version in English is not yet available). These guidelines are further clarified by the Faculty of Law’s guidelines for recruiting teachers (JURFAK 2015/49). In the following, further instructions are provided for those who seek recognition as ETs at the Faculty of Law.

2. Eligible to apply

Teachers (lecturers, senior lecturers or professors) employed until further notice at Uppsala University are eligible for ET status.

3. Procedure

Applications for Excellent Teacher (ET) status may be submitted on a regular basis throughout the year. The application is submitted to the Faculty Board, which appoints two teaching experts proposed by the head of department in consultation with the Education Committee Chair. One of the experts must be, or have been, employed as a teacher at the Department of Law of Uppsala and one must not have such previous experience of being a Faculty teacher. Interviews and classroom observation visits can be used in assessing the applicant.

The experts should be particularly familiar with the subject area. They will, individually and independently, report on the applicant’s proficiency and justify their standpoint. Collaboration or consultation between the experts may not occur. The experts’ statements are submitted to the Recruitment Group, who issue the final recommendation.

The Faculty Board makes the decision on whether to confer ET status on an applicant, in the light of the evidence invoked by the applicant, the experts’ opinions and the Recruitment Group’s recommendation. In case of rejection, a renewed application may be submitted not less than one year after the decision.

4. Application

The application for ET status must document the applicant’s educational activity with a teaching qualification portfolio that enables the experts to judge the applicant’s teaching expertise within the assessment criteria set out in point 5 below. Applicants must, as far as possible, provide

documentation of their expertise with respect to each assessment criterion. They must also demonstrate the ability to analyse, problematise and reflect critically on their own contributions, and to explain their basic view of teaching theory and practice and their own role from a learning perspective. The applicants' own reflection on their basic educational approach should clarify their basic attitude towards problem-based education.

5. Criteria for assessment

5.1 Teaching expertise

Applicants must be able to document their ability to carry out high-quality teaching for extended periods, corresponding to at least five years' full-time teaching.

In their applications, they must show how they provide their support for the students' development of their own understanding. This should be shown by the applicants reflecting on their own way of teaching and otherwise interacting with the students, and on the implications this has for the students' learning. The applicants should also describe their experience of various forms of teaching.

'Forms of teaching' means such activities as supervision individually and in groups, lessons, various types of seminars, lectures, etc. The various groups of students taught are those in the Law Programme, other students, practising lawyers, other practitioners from different backgrounds or other groups, and also contributions to the exchange of knowledge between the University and the outside world.

The applicants should, as far as possible, demonstrate an attitude of awareness regarding the bearing of examinations and the forms of examinations on students' learning. This reflection should also include such aspects as how the applicants, in their role as teacher, support the students' development of understanding, critical thinking and scholarly approach, and how the students are trained in professional skills.

5.2 Teaching on a research basis

All teaching must rest on a scholarly foundation, both in terms of the subject and in educational respects. In their applications, the applicants must show how this aim has been applied in preparation and implementation of their teaching. Applicants must also demonstrate how far and in what manner their own teaching practice has been influenced by research on educational theory and practice.

5.3 Educational development and leadership

The applicants should show how they have contributed to organisational development and a learning organisation. Their own experience of teaching and educational development, both good and bad, that has contributed to their personal development and been used to strengthen their collegial sharing of experience should be presented, and reflections on this sharing should be expressed. The applicant must demonstrate well-functioning educational leadership in such roles as teaching mentor, course director, programme manager or director of studies. Educational leadership can be demonstrated through teacher teamwork and cooperation with students.