



UMEÅ UNIVERSITY

# RULE FOR THE APPOINTMENT OF ACADEMIC LEADERSHIP POSITIONS

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<sup>1</sup> This document has been translated from Swedish into English. If the English version differs from the original, the Swedish version takes precedence.



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# 1. Description

This rule specifies regulations for appointment processes for academic leadership positions at university-wide level, faculty level and department level. The rule also addresses processes for appointing leadership positions for units and centres.

# 2. Background

Appointing the most suitable person to leadership positions is one of the most important decisions made by the University. A structured approach should be used throughout the appointment process, with focus on recruiting the right competencies in relation to the organisation's needs. The process should be characterised by professionalism, objectivity and equal opportunities. It is important to conduct an analysis of the organisation's current and future needs based on the position and objectives.

The position, responsibility and the overarching forms for filling a leadership position are regulated in the *Rules of procedure for Umeå University* and in the *Vice-Chancellor's decision-making and delegation procedure for Umeå University*. The document *Rule – Terms and conditions for academic leadership positions* regulates these terms and conditions. Additionally, an agreement is signed with each academic leader that states the terms, conditions and obligations for the specific manager.

The University's *Management and leadership policy* describes the University's approach, expectations on leadership, which leadership skills are required for the assignment and what support the leaders will receive.

The work environment perspective has been integrated into the following rule. Due to the content and nature of the document, the sustainability, collaboration, accessibility, student and international perspectives have not been integrated into the document.

The policy document is judged to have positive effects for gender equality at Umeå University, since the rule stipulates that gender equality is to be considered in appointment processes.

This rule is valid from 1 January 2022 and is to be applied to appointment processes begun as of this date.

# 3. Common basis

## 3.1. Gender equality

Gender equality is to always be considered in all aspects of appointing individuals to leadership positions. A gender-equal distribution is to be considered when appointing each management group and for the overall composition of leadership positions within the faculty and for the University as a whole.



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### 3.2. Strategic leadership and administrative support

University managers and leaders are to be given good potential for exercising strategic leadership, where professional operational support and support in developing their management and leadership skills are important prerequisites.

Administrative support is to be adapted based on each organisation's conditions and needs. This support can be available at different levels in the organisation, i.e., university-wide, faculty and department levels or similar. The administrative support at department level or similar is adapted based on the wishes of the Head of Department or equivalent based on the department's needs and is preferably coordinated with other organisational units to reduce vulnerability, increase financial viability and ultimately free up time for the core mission.

### 3.3. Mentorship

If desired and if the need exists, the employee appointed to the position for the first time can be offered a mentor to support and contribute to the development of the individual in their new role. In these cases, the appointing body assesses the need for mentorship and, if found, appoints a mentor. The appointment of a mentor is to occur in consultation with the individual appointed to the position. If the mentor is employed at the University, the individual's line manager is to be consulted. No salary supplement is paid to serve as a mentor.

## 4. Heads of Department and Deputy and Assistant Heads of Department

### 4.1. General information

Departments are led by a Head of Department, who is appointed by the Dean in consultation with the Vice-Chancellor. The Head of Department makes decisions in accordance with the *Vice-Chancellor's decision-making and delegation procedure* and the relevant faculty's delegations. Departments can have one or more Assistant Heads of Department. A Deputy Head of Department is also appointed to serve and make decisions in the absence of the Head of Department. The position of Deputy Head of Department can be combined with the position of Assistant Head of Department. Consider the gender equality perspective when appointing individuals to any of these positions.

### 4.2. Competence requirements

Normally, Heads of Department are to be permanently and full-time employed professors or associate professors. The following requirements apply when appointing a Head of Department:

- doctoral degree or equivalent;
- personal suitability;
- academic expertise.

It is possible to make an exception from the requirement to have a doctoral degree, but this should be done so sparingly. Anyone who meets the requirement for eligibility for employment as an associate professor or professor on artistic basis is considered to have met the requirement for a doctoral degree.



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The same competence requirements for Heads of Department apply to Assistant and Deputy Heads of Department.

The Head of Department is expected to continually develop their management and leadership skills. The position includes actively participating in professional development organised for managers and leaders at Umeå University.

### 4.3. Term of office

The term of office for a Head of Department is normally four (4) years, as stipulated in the *Rules of procedure for Umeå University*. An appointment as Head of Department for a continuous period of more than eight (8) years may only be considered in exceptional cases. If the Assistant Head of Department is appointed Head of Department, the combined term of office as Assistant Head of Department and Head of Department may not exceed a total of twelve (12) years.

Staff that have previously served as Head of Department can be reappointed for an additional term at the same department if at least four years have passed since the previous appointment ended.

The term of office for a Head of Department begins/concludes normally at the mid-year point or end of year. If a Head of Department position is vacated ahead of schedule, a new appointment process is conducted. If a Head of Department position is vacated ahead of schedule, the Dean may make an exception from the appointment process as stipulated in Section 4.5.

The term of office for Assistant and Deputy Heads of Department should adhere to the Head of Department's term of office.

### 4.4. Time for the position

Normally, the position as Head of Department is at least 50 per cent of a full-time position. The position's scope, conditions and needs at the department determine if the position should take more time. The scope of the position is determined in consultation with the Dean.

The scope of the position as Assistant and Deputy Head of Department (who is also an Assistant Head of Department) is determined by the Dean in consultation with the Head of Department.

### 4.5. Appointment process

The Dean, in consultation with the Vice-Chancellor, appoints Heads of Department, as stipulated in the *Vice-Chancellor's decision-making and delegation procedure*. The Dean also appoints Assistant Heads of Department and Deputy Heads of Department in consultation with the incoming Head of Department. Such decisions are to be preceded by consultation with both staff and students and with the trade unions.

Terms and conditions agreed upon between the Dean and the Head of Department (including Deputy and Assistant Heads of Department) are to be documented in writing. Work environment responsibility is to be delegated in connection with any such agreement. Normally when the new Head of Department is appointed, the terms and conditions are to be signed before the individual begins the position. The Dean is responsible for ensuring written terms and conditions are drawn up.



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The recruitment process when appointing a new Head of Department is divided into three parts – needs analysis, selection and decision – and uses the following steps.

- The Dean appoints an internal processing committee.
- The processing committee draws up a needs analysis that includes a description of the required qualifications for the position.
- All staff at the department are given the opportunity to submit nominations for a new Head of Department. Nominations may be submitted anonymously.
- The processing committee is to have the opportunity to propose individuals for Head of Department. The gender equality perspective is always to be considered.
- The received proposals are submitted to the Dean for review.
- Consultation with the Vice-Chancellor is to precede the Dean's decision.
- The Dean meets with the intended Head of Department and clarifies the basis for the position based on the agreed terms and conditions and the *Rule for systematic work environment management* at Umeå University.
- The proposal for Head of Department is coordinated with the trade union organisations in the Faculty Collaborative Group (FSG).
- The Dean appoints the Head of Department and all staff at the relevant department are informed of the decision.
- Assistant Heads/Deputy Heads of Department are appointed by the Dean in consultation with the incoming Head of Department.

### 4.6. Follow-up, evaluation and reappointment

At annual development discussions, the Dean and the Head of Department follow up the Head of Department's responsibilities as defined by the management position, the agreed upon terms and conditions and the University's *Management and leadership policy*. The follow-up covers leadership, how the organisation has developed, its financial status and delegation.

In connection with reappointment for a second four-year term, the development discussion is to cover an evaluation where either party may choose to terminate the appointment. The evaluation is to be conducted before the Dean's decision on possible reappointment. It is to be based on fulfilment of the commitments made in the agreement on the terms and conditions of the appointment and the results of development discussions during the term of office. After consultation with the Vice-Chancellor and the Faculty Collaborative Group (FSG), the Dean determines whether to reappoint the individual based on the conducted evaluation and the consultation with the Head of Department.

Equivalent evaluations prior to reappointment of Assistant Heads of Department/Deputy Heads of Department are to occur between the Head of Department and the Assistant Head of Department/Deputy Head of Department.

## 5. Heads of Section and Deputy and Assistant Heads of Section at departments

### 5.1. General information

Department sections are led by a Head of Section, who is appointed by the Head of Department in consultation with the Dean. Delegations by the Head of Department to Heads of Section are to be in writing. A section can have one or more Assistant Heads of Section. A Deputy Head of Section is



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also to be appointed to serve and make decisions in the absence of the Head of Section. The position of Deputy Head of Section can be combined with the position of Assistant Head of Section. Consider the gender equality perspective when appointing individuals to any of these positions.

### 5.2. Competence requirements

Normally, Heads of Section are to be permanently and full-time employed professors or associate professors. When appointing a Head of Section, the following requirements apply:

- doctoral degree or equivalent;
- personal suitability;
- academic expertise.

It is possible to make an exception from the requirement to have a doctoral degree, but this should be done so sparingly. Anyone who meets the requirement for eligibility for employment as an associate professor or professor on artistic basis is considered to have met the requirement for a doctoral degree.

The same competence requirements for Heads of Section apply to Assistant and Deputy Heads of Section.

The Head of Section is expected to continually develop their management and leadership skills. The position includes actively participating in professional development organised for managers and leaders at Umeå University.

### 5.3. Term of office, time for the position, appointment process, follow-up and reappointment

The Dean determines the procedure for appointing Heads of Section at the faculty, including rules for terms of office. Normally, the equivalent process for appointing the Head of Department applies for appointing a Head of Section. The Dean also decides the time for the position and how reappointment is done.

## 6. Directors and Deputy and Assistant Directors of units

### 6.1. General information

Units<sup>2</sup> are led by a Director appointed by the Dean, Library Director or University Director in consultation with the Vice-Chancellor. The Director makes decisions in accordance with the *Vice-Chancellor's decision-making and delegation procedure* and other relevant delegations. A unit can have one or more Assistant Directors. A Deputy Director is also to be appointed who serves and makes decisions in the absence of the Director. The position of Deputy Director can be combined with the position of Assistant Director.

Director of a unit is normally a position, but there can be exceptions, which are then to be specified in the unit's instructions. In such cases, the deviating provisions specified in the instructions take

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<sup>2</sup> In Swedish: *arbetsenhet*.





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precedence over provisions in this rule, such as term of office. Consider the gender equality perspective when appointing individuals to any of these positions.

### 6.2. Competence requirements

Normally, Directors are to be permanently and full-time employed professors or associate professors. When appointing a Director, the following requirements apply:

- doctoral degree or equivalent;
- personal suitability;
- academic expertise.

It is possible to make an exception from the requirement to have a doctoral degree, but this should be done so sparingly. Anyone who meets the requirement for eligibility for employment as an associate professor or professor on artistic basis is considered to have met the requirement for a doctoral degree.

For Assistant and Deputy Directors, the same competence requirements apply as for Directors.

Directors are expected to continually develop their management and leadership skills. The position includes actively participating in professional development organised for managers and leaders at Umeå University.

### 6.3. Term of office

The term of office for Directors of a unit is normally four (4) years. An appointment as Director for a continuous period of more than eight (8) years may be considered only in exceptional cases. If an Assistant Director is appointed Director, the combined terms of office as Assistant Director and Director may not exceed a total of twelve (12) years. Exceptions to provisions for individual units may be specified in each unit's instructions.

Staff that have previously served as Director can be reappointed for an additional term at the same unit if at least four years have passed since the previous appointment ended.

The term of office for a Director begins/concludes normally at the mid-year point or end of year. If a director position is vacated ahead of schedule, a new appointment process is conducted. If a director position is vacated ahead of schedule, the Dean may make an exception from the appointment process as stipulated in Section 6.5.

The term of office for Assistant and Deputy Directors should correspond to the Director's term of office.

### 6.4. Time for the position

The position of Director is normally at least 50 per cent of a full-time position. Determining factors for a scope beyond this are workload, conditions and the needs of the unit. The scope of the position is determined in consultation with the Dean.

The scope of the position as Assistant and Deputy Director is determined by the Dean in consultation with the Director.



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### 6.5. Appointment process

Decisions on appointing Directors are made by the Dean, Library Director or University Director (appointing body) in consultation with the Vice-Chancellor, as stipulated in the *Vice-Chancellor's decision-making and delegation procedure*. The appointing body also appoints Assistant Directors and Deputy Directors in consultation with the incoming Director. Such decisions are to be preceded by consultation with both staff and students and with the trade unions. The below appointment process for Directors applies for those units where there are permanently employed professors or associate professors. For other units, appropriate parts of the following process can be used based on the situation in the unit.

The terms and conditions agreed upon between the appointing body and the Director and for Deputy and Assistant Directors are to be documented in writing. Work environment responsibility is to be delegated in connection with any such agreement. Normally when the new Director is appointed, the terms and conditions are to be signed before the individual begins the position. The appointing body is responsible for ensuring written terms and conditions are drawn up.

The recruitment process for appointing a new Director is divided into three parts: needs analysis, selection and decision and follows the following steps.

- The Dean, Library Director or University Director appoints an internal processing committee.
- The processing committee draws up a needs analysis that includes a description of the required qualifications for the position.
- All staff at the unit are to have the opportunity to submit nominations for a new Director. Nominations may be submitted anonymously.
- The processing committee is to have the opportunity to propose individuals for the position of Director. The gender equality perspective is always to be considered.
- The received proposals are submitted to the Dean for review.
- Consultation with the Vice-Chancellor is to precede the decision by the appointing body.
- The appointing body speaks with the intended Director, where terms and conditions for the position are clarified based on the agreement of the position's terms and conditions and the *Rule for systematic work environment management at Umeå University*.
- Proposals for Director are coordinated with the trade union organisations in the Faculty Collaborative Group (FSG).
- The appointing body appoints the Director and all staff at the relevant unit are informed of the decision.
- Any Assistant/Deputy Directors are appointed by the appointing body in consultation with the incoming Director.

### 6.6. Follow-up, evaluation and reappointment

At annual development discussions, the Dean and the Director follow up the Director's responsibilities based on the management assignment, the agreed upon terms and conditions and the University's *Management and leadership policy*. The follow-up covers leadership, how the organisation has developed and delegation.

In connection with reappointment for a second four-year term, the development discussion is to cover an evaluation where either party may choose to terminate the appointment. The evaluation is to be conducted before the Dean's decision on possible reappointment. It is to be based on fulfilment of the commitments made in the agreement on the terms and conditions of the



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appointment and the results of development discussions during the term of office. After consultation with the Vice-Chancellor and the Faculty Collaborative Group (FSG), the Dean determines whether to reappoint the individual based on the conducted evaluation and the consultation with the Head of Department.

Equivalent evaluations prior to reappointment of Assistant Directors/Deputy Directors are to occur between the Director and the Assistant/Deputy Directors.

## 7. Directors and Deputy and Assistant Directors for centres

### 7.1. General information

Centres are led by a Director. A centre can have one or more Assistant Directors. At centres, a Deputy Director can be appointed to serve and make decisions in the absence of the Director. The position of Deputy Director can be combined with the position of Assistant Director. Consider the gender equality perspective when appointing individuals to any of these positions.

### 7.2. Competence requirements

Each centre's instructions specify any skills requirements for Directors of a centre. The appointing body also determines the skills requirements for the Director.

### 7.3. Term of office

The term of office for Directors of a centre is normally four (4) years. The appointing body determines the term of office at the time of appointment.

### 7.4. Time for the position

The appointing body determines the scope of the assignment as Director.

### 7.5. Appointment process

Normally, the Director and any Assistant and Deputy Directors are appointed by the appointing body, i.e., the Dean for a faculty-internal centre or the Vice-Chancellor for centres which are faculty-wide or together with the accountable authority outside of Umeå University.

For joint centres with other higher education institutions, decisions on appointing Directors can be delegated to the centre's steering committee. The appointing body is defined in each centre's instructions.

Any specific appointment processes for Directors or a centre are specified in each centre's instructions.

### 7.6. Follow-up and reappointment

Forms for follow-up and reappointment of Directors of a centre are specified in each centre's instructions.



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# 8. Dean, Deputy Dean and Associate Dean

## 8.1. General information

Faculties are led by a Dean appointed by the Vice-Chancellor. Deans make decisions in accordance with the *Vice-Chancellor's decision-making and delegation procedure*. Faculties have a Deputy Dean and potentially one or more Associate Deans. The Deputy serves and makes decisions in the absence of the Dean.

Specific forms for appointing the Dean and Deputy Dean are defined prior to each term of office in special provisions from the Vice-Chancellor. Associate Deans are appointed by the Dean. Consider the gender equality perspective when appointing individuals to any of these positions.

## 8.2. Competence requirements

Normally, Deans are to be permanently and full-time employed professors. When appointing a Dean, the following requirements apply: <sup>3</sup>

- doctoral degree or equivalent;
- personal suitability;
- academic expertise.

It is possible to make an exception from the requirement to have a doctoral degree, but this should be done so sparingly. Anyone who meets the requirement for eligibility for employment as a professor on artistic basis is considered to have met the requirement for a doctoral degree.

Additional competence requirements for the Dean and Deputy Dean are regulated in the *Rules of procedure for Umeå University*. Competence requirements beyond what is defined in the *Rules of procedure* are determined by the Vice-Chancellor in special provisions.

If an Associate Dean is appointed, this individual is to be a permanently employed professor or associate professor at Umeå University.

## 8.3. Term of office

The term of office for the Dean and Deputy Dean is regulated in the *Rules of procedure for Umeå University*. More detailed provisions for the term of office beyond what is specified in the *Rules of procedure* are approved by the Vice-Chancellor in special provisions.

The Dean determines the term of office for the Associate Dean. The term of office for the Associate Dean can be at most the term of office for the Dean.

## 8.4. Time for the position

The position as Dean normally is at least 50 per cent of a full-time position. Determining factors for the scope are the situation and requirements at the faculty, workload and division of working hours between the Dean and the Deputy Dean. The scope of the position is determined in consultation with the Vice-Chancellor.

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<sup>3</sup> According to the *Rules of procedure for Umeå University*, adopted by the University Board, the Dean is to be a permanently employed professor or associate professor. This rule is based on the framework adopted by the Board and specifies that the Dean normally is to be a permanently employed professor.



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The scope of the position as Deputy Dean is determined by the Vice-Chancellor in consultation with the Dean and Deputy Dean.

The Dean determines the scope of the position as Associate Dean.

### 8.5. Appointment process

The appointment process for the Dean and Deputy Dean is regulated in the *Rules of procedure for Umeå University*. Beyond what is specified in the *Rules of procedure*, the Vice-Chancellor determines more detailed provisions for appointment of the Dean and Deputy Dean in special provisions.

Associate Deans are appointed by the Dean and in accordance with the forms determined by the Dean.

The terms and conditions agreed upon between the Vice-Chancellor and the Dean and Deputy Dean are to be documented in writing. Work environment responsibility is to be delegated in connection with any such agreement. Normally, when the new Dean is appointed, the terms and conditions are to be signed before the individual begins the position. The Vice-Chancellor is responsible for ensuring written terms and conditions are drawn up.

### 8.6. Follow-up and reappointment

At annual development discussions, the Vice-Chancellor and the Dean are to follow up the Dean's responsibilities based on the management assignment, the agreed upon terms and conditions, and the University's *Management and leadership policy*. The follow-up covers leadership, the development and results of the organisation, and delegation.

The Dean and the Deputy Dean follow-up the Deputy Dean's assignment annually.

The Dean determines forms for follow-up and decides on reappointment of Associate Deans.

## 9. Director and Deputy and Assistant Directors for the Umeå School of Education

### 9.1. General information

The Umeå School of Education is led by a Director appointed by the Vice-Chancellor. One or more Assistant Directors are also to be appointed. One of the Assistant Directors is also to be appointed as Deputy Director to serve and make decisions in the absence of the Director. The Vice-Chancellor appoints the Director and Assistant and Deputy Directors of the Umeå School of Education. Consider the gender equality perspective when appointing individuals to any of these positions.

### 9.2. Competence requirements

Normally, Directors are to be permanently and full-time employed professors or associate professors. When appointing a Director, the following requirements apply:

- doctoral degree or equivalent;
- personal suitability;



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- academic expertise.

It is possible to make an exception from the requirement to have a doctoral degree, but this should be done so sparingly. Anyone who meets the requirement for eligibility for employment as an associate professor or professor on artistic basis is considered to have met the requirement for a doctoral degree.

For Assistant and Deputy Directors, the same competence requirements apply as for Directors.

### 9.3. Term of office

The term of office for Directors and Assistant and Deputy Directors is regulated in the *Instructions for the Umeå School of Education at Umeå University*.

### 9.4. Time for the position

The position as Director for the Umeå School of Education entails at least 50 per cent of full-time work. Determining factors for the scope are the situation and requirements at the Umeå School of Education, workload, and division of working hours between the Director and the Assistant Director. The scope of the position is determined in consultation with the Vice-Chancellor.

The scope of the assignment as Director, Deputy Director and Assistant Director is determined by the Vice-Chancellor in consultation with the Director.

### 9.5. Appointment process

The appointment process for Director and Assistant Director for the Umeå School of Education is determined by the Vice-Chancellor in special provisions.

### 9.6. Follow-up and reappointment

Forms for following up the position as Director and Assistant Director for the Umeå School of Education are determined by the Vice-Chancellor in special provisions.

## 10. Pro-Vice-Chancellor and Deputy Vice-Chancellor

### 10.1. General information

According to Chapter 2 of the Higher Education Ordinance (1993:100), the Vice-Chancellor is to have a deputy who will serve in place of the Vice-Chancellor when the Vice-Chancellor is not available. Umeå University's *Rules of procedure* also specify that the Vice-Chancellor's deputy is called the Pro-Vice-Chancellor and that this individual is appointed for at most six years based on the Vice-Chancellor's recommendation and the term of office is normally to match the Vice-Chancellor's term of office. Chapter 2, Sections 10–11 of the Higher Education Ordinance and the University's *Rules of procedure* specify what applies in general for the position as Pro-Vice-Chancellor.

In accordance with the *Rules of procedure for Umeå University*, the Vice-Chancellor may appoint one or more Deputy Vice-Chancellors with areas of responsibility defined by the Vice-Chancellor. The Vice-Chancellor defines the Deputy Vice-Chancellor's assignment and areas of responsibility



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when making the appointment and with any subsequent decisions. The Deputy Vice-Chancellor reports directly to the Vice-Chancellor. Gender equality is to be considered when determining the make up of the University Management.

### 10.2. Competence requirements

The Pro-Vice-Chancellor is to meet the qualification requirements for Vice-Chancellor and Pro-Vice-Chancellor in accordance with Chapter 2, Section 11 of the Higher Education Ordinance. The Pro-Vice-Chancellor and any Deputy Vice-Chancellors are normally also to be permanently employed professors at Umeå University.

### 10.3. Term of office

The term of office is determined individually. The University Board determines the term for the Pro-Vice-Chancellor and the Vice-Chancellor determines the term for the Deputy Vice-Chancellor.

### 10.4. Time for the position

The scope of the position is defined individually in special provisions. Time for professional development is to be included in the Pro-Vice-Chancellor's/Deputy Vice-Chancellor's position.

### 10.5. Appointment process

The Pro-Vice-Chancellor is appointed by the University Board. The appointment process is regulated in the *Rules of procedure for Umeå University*.

Forms for appointing Deputy Vice-Chancellors are determined by the Vice-Chancellor in special provisions.

### 10.6. Follow-up and reappointment

At the annual development discussion, the Vice-Chancellor and Pro-Vice-Chancellor/Deputy Vice-Chancellor are to follow up the commitments based on the assignment and the specific agreement and, when needed, discuss any changes to the assignment. The follow-up covers leadership, the development and results of the organisation, and delegation/allocation of duties.

The Vice-Chancellor determines forms for reappointment of Deputy Vice-Chancellors.

Forms for reappointment of Pro-Vice-Chancellors are regulated in the *Rules of procedure for Umeå University*.