

## **Rules of procedure and allocation of responsibilities and decision-making powers within the Faculty of Science**

*Approved by the faculty board 16 December 2020.*

The present regulations enter into force on 1 January 2021, when the following document will cease to apply: Rules of procedure and allocation of responsibilities and decision-making powers within the Faculty of Science (Reg. no STYR 2019/39, dated 5 February 2020).

*The decisions published in the English Rules and Allocation of responsibilities and decision-making powers are only translations of the Swedish originals. In the event of any discrepancy between the original and the translation, the original takes precedence.*

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## 1. Introduction

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The faculty's activities are primarily governed by the *Rules of procedure for Lund University* and the *Rules on the allocation of decision-making powers at Lund University* as well as a number of other university-wide rules.

At the faculty, the decision-making processes at all levels are to be transparent and easily accessible. The decision-making procedure shall be well-defined and clear. The responsibility lies with the faculty to establish the forms for the faculty activities. Changes to the organisation shall ordinarily be detailed in the present document. The ambition is, to the greatest extent possible, to gather different officials' responsibilities and decision-making powers within different areas in this document. The term of office for the members, with the exception of the student representatives, in all bodies under the Faculty Board including the Nominating Committee is three years and follows three months after the term of office of the Dean, the Pro-Dean and the Vice-Deans (from 1 April to 31 March).

In accordance with the *Rules of procedure for Lund University*, the objective is that within all committees, boards and other bodies there is to be a gender balance.

### 1.1 Student influence

In accordance with the *Rules of procedure for Lund University*, the students have the right to appoint representatives to preparatory and decision-making bodies. This applies to everything except the assessment of individual students' study performance and the processing of individual human resources matters. If a decision is to be made or drafted by one single individual, information is to be provided and consultation take place with a student representative well in advance of the decision being made or drafting concluded. The *Agreement on procedures to ensure student influence at the Faculty of Science*, reg. no STYR 2019/445 determines how such consultation is to take place. In addition, the *Policy and regulations for student influence at Lund University* is to be observed.

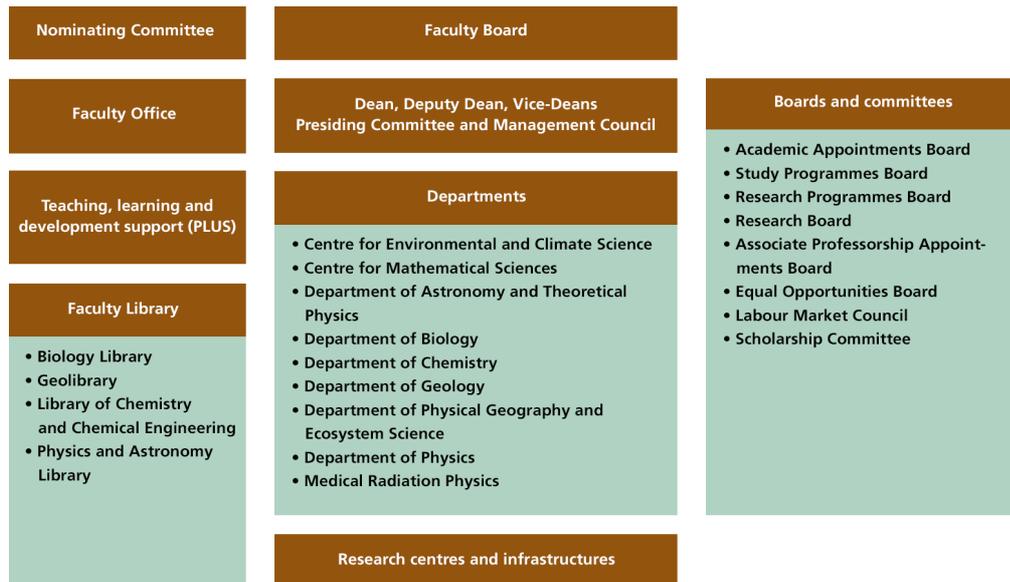
In cases where views need to be gathered on a matter through consultation and the matter concerns activities of importance to

education or the situation of the students, the students' unions within the faculty shall constitute a consultation body.

Representatives of students on the Faculty Board and its subordinate bodies are appointed by the students' union concerned.

## 2. Organisation of the faculty of science

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### **3. Management and preparatory and decision-making bodies at faculty level**

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#### **3.1 Faculty Board**

The Faculty of Science is led by a Faculty Board. In accordance with the *Rules of procedure for Lund University*, the Faculty Board has overall responsibility for education, research, innovation and external engagement, work on quality and development, the faculty library, organisation, finances, human resources, administration and communication matters.

The Faculty Board makes decisions on the establishment and elimination of departments and other units at the faculty. If there are valid reasons, the Faculty Board can decide on a form of management for a department/equivalent other than a board.

The work of the faculty shall be led by a Dean who is also chair of the Faculty Board. The Pro-Dean is vice-chair. The board shall include representatives of teaching staff, students and other staff, as well as external members.

The Faculty Board shall work with a focus on the future and identify long-term goals and visions for the faculty.

The Faculty Board has twelve members excluding student representatives. The composition of the Faculty Board is as follows:

- Chair
- Vice-chair
- Six representatives of teaching staff
- Two other staff members
- Two external members
- Three student representatives

The term of office for members of the Faculty Board is three years, with the exception of the student representatives. The employee organisations that have collective agreements with the University each have the right to appoint one representative to attend board meetings, speak and put forward proposals.

Representatives of teaching staff and other staff are appointed through elections by those with the right to vote at the faculty. Student representatives are appointed in accordance with the

regulations of Section 7 of the Student Union Ordinance (2009:769). The external members are to be appointed by the vice-chancellor following proposals from the faculty's Nominating Committee. Substitutes shall be appointed for the student representatives but not for other members.

The head of the Faculty Office and a meeting secretary are always co-opted to the board meetings.

### **3.2 Dean**

The Dean is the head of the faculty, and shall represent the faculty within and outside the University. The Dean shall strive to ensure that the research and education carried out within the activities of the faculty are of high quality, and promote collaboration with wider society. The Dean is responsible for the faculty's ongoing activities, and is to make sure that they are performed in accordance with current legislation, regulations, collective agreements and other agreements, and thereby ensure the proper exercise of public authority and the faculty's responsibilities as an employer. The Dean also has decision-making powers, delegated by the Faculty Board. The Dean is the line manager of the Heads of Department<sup>1</sup>, the Head of the Faculty Office and the Library Manager. The Dean is the chair of the Faculty Board, the Equal Opportunities Committee and the Local Health and Safety Committee.

The Dean shall have a deputy.

The Dean shall be appointed for three years by the vice-chancellor following proposals made through elections at the faculty. The Dean is to be a member of teaching staff with research expertise. The election of the Dean is to be finalised at least six months prior to the start of the term of office.

### **3.3 Pro-Dean**

The Pro-Dean is Deputy Dean. The Pro-Dean is vice-chair of the the Faculty Board. One of the vice-deans is to be Pro-Dean.

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<sup>1</sup> For departments that are shared with the Faculty of Engineering, the Dean is the line manager for those Head of Departments who are employees at the Faculty of Science.

The Pro-Dean shall be appointed for three years by the vice-chancellor following proposals made through elections by eligible members of staff at the faculty. The election of the Pro-Dean is to be finalised at least six months prior to the start of the term of office.

### **3.4 Vice-Deans**

There shall be three Vice-Deans at the faculty. One of the Vice-Deans is the Deputy Dean (Pro-Dean) and vice-chair of the Faculty Board. The Vice-Deans have responsibility for either first and second cycle education, third cycle education or research. The decision on which area of responsibility is allocated to each Vice-Dean is dependent on the individuals' previous main activities/experience and it is the faculty's Nominating Committee that proposes the division of responsibilities.

The Vice-Dean for third cycle education is chair of the Research Programmes Board and the Associate Professorship Appointments Board.

The Vice-Dean for first and second cycle education is chair of the Study Programmes Board.

The Vice-Dean for research is chair of the Academic Appointments Board and the Research Board.

The Vice-Dean who is Deputy Dean is appointed by the vice-chancellor following proposals made through elections at the faculty. The other two Vice-Deans are appointed by the Dean following proposals made through elections at the faculty. The Vice-Deans shall be members of teaching staff with research expertise. The term of office is three years. The election of Pro- and Vice-Deans are to be finalised at least six months prior to the start of the term of office.

### **3.5 Presiding Committee**

There is a presiding committee at the faculty, which acts as a working committee for the Faculty Board. The Presiding Committee addresses issues of an ongoing nature. The Dean

ordinarily takes decisions after consulting with the Presiding Committee.

The Presiding Committee consists of the Dean, the Pro-Dean, the Vice-Deans, the Head of the Faculty Office and two student representatives. Substitutes may be appointed for the student representatives.

The heads of human resources, finance and communication, the library manager and a meeting secretary are always co-opted to Presiding Committee meetings as expert officials.

### ***3.6 Management Council***

There is a Management Council that addresses issues of a more long-term and strategic nature. The Management Council ensures that operational issues reach the faculty management quickly and that the quality of decisions is higher by having the issues addressed from many angles before the Dean's decision. The Management Council is a forum for dialogue between the departments and the faculty management.

The Management Council consists of the Dean, the Pro-Dean, the Vice-Deans, Heads of Department (or equivalent) the Head of the Faculty Office as well as two student representatives. Substitutes may be appointed for the student representatives.

The heads of human resources, finance and communication and a meeting secretary are always co-opted to Management Council meetings as expert officials.

### ***3.7 Faculty Office and the Head of the Faculty Office***

The main task of the Faculty Office is to support the activities of the Faculty Board, the decision-making and preparatory bodies under the Faculty Board and the faculty management. The Faculty Office is also to provide service, information and advice to the departments. The work is led by the Head of the Faculty Office.

### ***3.8 Faculty Library and the Library Manager***

The role of the Faculty Library is to support research, third cycle education and teaching at first and second cycle education. The

faculty library consists of four library branches; the Biology Library, the Physics and Astronomy Library, the Geolibary and the Kemicentrum Library. A library branch may have several points of service. For the library branches at the departments that are shared with the Faculty of Engineering, the library branch belongs to only one faculty organisationally. The libraries at Kemicentrum and the Department of Physics belong to the Faculty of Science and the library at the Centre for Mathematical Sciences belongs to the Faculty of Engineering (STYR 2015/979). The work is led by the Library Manager.

Remit:

- offer needs-oriented library support on a par with the rest of the University to all employees and students within the library's area of service
- provide close and subject-adapted support for research and learning
- continuously adapt the libraries' activities according to prevailing needs
- collaborate with libraries at other faculties and the University Library, and with actors nationally and internationally.

### **3.8.1 Reference groups**

There is to be a reference group for each library branch.

Composition:

- Library Manager (chair)
- at least three representatives of teaching staff (all concerned departments or equivalent must be represented)
- at least one representative of library staff at the library branch
- at least one student representative

The teaching staff are appointed by the Head of Department.

### **3.9 Teaching, Learning and Development Support unit (PLUS)**

The overall remit of PLUS is to promote teaching and learning linked to research within the science subjects. Under the Study Programmes Board, and within the framework of the faculty's quality assurance system, PLUS plans and carries out the following:

- qualifying training in teaching and learning in higher education
- development work with regard to teaching and learning.

### **3.10 Academic Appointments Board**

In accordance with the *Lund University Appointment Rules* there shall be an academic appointments board at every faculty. The Academic Appointments Board is a preparatory body for the decision on appointments of teaching staff. The board has the overall responsibility for the process of awarding the distinction of ETP (Excellent Teaching Practitioner).

Composition:

- at least four representatives of teaching staff of whom one is chair and one is vice-chair
- two student representatives

The chair is the Vice-Dean for research. Substitutes are appointed for the members of the Academic Appointments Board. A member of teaching staff from the faculty's teaching academy may be co-opted for decisions on awarding an ETP distinction. The term of office is three years.

### **3.11 Study Programmes Board**

The Study Programmes Board coordinates the work on quality assurance and quality enhancement of the first and second cycle courses and study programmes at the Faculty of Science. This means that the Study Programmes Board takes the initiative in quality enhancement with regard to the conditions, design, implementation and results of the study programmes. The Study Programmes Board works to promote equal opportunities, internationalisation, sustainable development and widening participation in the educational activities. The board also monitors compliance with the regulations of first and second cycle education and promotes student influence on the study programmes.

The remit includes:

- working on student recruitment, marketing and external engagement matters, in collaboration with the faculty office's communications unit
- developing issues concerning the labour market and employability in collaboration with the faculty's Labour Market Council
- promoting the integration of gender equality and equal opportunity perspectives in education in collaboration with the faculty's Equal Opportunities Committee
- cooperate with the faculty's unit for Teaching, Learning and Development Support (PLUS) on matters concerning teaching and learning.

The Study Programmes Board is also a preparatory body for decisions by the Dean or Faculty Board on matters concerning first and second cycle education.

Composition:

- chair
- nine directors of studies (one from each department or equivalent)
- one external representative
- three student representatives

The Vice-Dean responsible for first and second cycle education is the chair. The board appoints the vice-chair from among its members. Substitutes may only be appointed for the student representatives. The term of office is three years.

### ***3.12 Research Programmes Board***

The Research Programmes Board coordinates the work on quality assurance and quality enhancement of third cycle education at the Faculty of Science. This means that the board takes the initiative in quality enhancement with regard to the conditions, design, implementation and results of the study programmes. The board also monitors compliance with the regulations of third cycle education and promotes doctoral student influence on the study programmes.

The remit includes:

- developing procedures to communicate work on quality assurance in collaboration with the faculty office's communications unit
- developing issues concerning the labour market and employability of doctoral students in collaboration with the faculty's Labour Market Council
- promoting the integration of gender equality and equal opportunity perspectives in third cycle education in collaboration with the faculty's Equal Opportunities Committee
- developing and offering supervisor training

The board is also a preparatory body for decisions by the Dean or Faculty Board on matters concerning third cycle education.

Composition:

- chair
- four teaching staff representatives
- two student representatives

The Vice-Dean responsible for third cycle education is the chair. Substitutes may only be appointed for the student representatives. The term of office is three years.

### **3.13 Research Board**

The Research Board shall have an overarching responsibility for monitoring and drafting matters concerning the financing of costly infrastructure and for the participation in major research programmes as well as the cooperation with MAX IV and ESS. The Board is also to coordinate and prepare matters relating to development, follow-up and evaluation of research quality.

Composition:

- Chair
- At least four teaching staff representatives
- One student representative

The Vice-Dean for third cycle education is the chair. The term of office is three years. A substitute may be appointed for the student representative.

Remit:

- to identify significant infrastructure needs that will require resources in the short and long term (up to 10 years) at the faculty.
- to maintain an open dialogue with infrastructure stakeholders at other faculties and higher education institutions as well as collaborate with them when needed.
- to pursue matters and prepare applications relating to the faculty's funding of infrastructure.
- to reach decisions on the faculty's cooperation on applications concerning infrastructure of national interest.
- to rank the faculty's applications to the Knut and Alice Wallenberg (KAW) foundation's research programmes, *scholars* and *fellows*, as well as the Göran Gustafsson Foundation for scientific and medical research.
- to monitor how the faculty can support research areas and environments that can be developed through the proximity to MAX IV and ESS.
- to otherwise manage issues related to research and infrastructure on request by the Dean

### **3.14 Associate Professorship Appointments Board**

The Associate Professorship Appointments Board serves as a preparatory body prior to decisions by the Dean on the appointment of associate professors. The board makes proposals regarding decisions on associate professorships to the dean and appoints experts for the assessment of applications for associate professorship.

Composition:

- six teaching staff representatives, two from each of the faculty's three subject areas (mathematics-physics, biology-geology and chemistry), of whom one is chair.
- two student representatives

The Vice-Dean for third cycle education is the chair. Substitutes may only be appointed for the student representatives. The term of office is three years.

### **3.15 Equal Opportunities Committee**

The Equal Opportunities Committee is a preparatory body in matters concerning gender equality and equal opportunities.

Composition:

- chair
- members of the active Action Group<sup>2</sup>
- chair or another member of the departments' equal opportunities groups. If there is no equal opportunities group, the Head of Department proposes another representative.
- the faculty's representative in the University's Management Council on matters pertaining to gender equality and equal opportunities
- two student representatives.

The Dean is the chair. The members are to be either members of the Department Board or on the department's Gender Equality Committee. Substitutes are to be appointed for members of the committee. Each employee organisation has the right to appoint a representative to attend committee meetings, speak and put forward proposals. The term of office is three years.

Remit:

- propose, and after a decision by the Dean, initiate measures to counteract all forms of discrimination and promote gender equality, equal treatment and equal opportunities.
- support the departments' work within gender equality, equal treatment and equal opportunities.
- educate and disseminate information on gender equality, equal treatment and equal opportunities.
- supervise the area and take initiatives on changes concerning work on gender equality and equal opportunities
- work for the integration of successful projects into regular activities and spread best practice.

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<sup>2</sup> Establishment and remit of active Action Group 1 June 2020–31 May 2022 (STYR 2020/949). The active Action Group's remit is to: 1) make an inventory of actions in effect within the area of equal opportunities 2) support initiatives at department level 3) initiate new projects through applications within the framework of the University's calls for applications regarding incentive funding 4) carry out those projects that have been granted funding in the central calls for applications and 5) evaluate how successful projects can best be integrated into regular activities.

### **3.16 Labour Market Council**

The Labour Market Council is to promote knowledge exchange and serve as a preparatory body for issues concerning the labour market and employability. The Labour Market Council reports to the Study Programmes Board on an ongoing basis, and to the Research Programmes Board when necessary.

Composition:

- nine members from the department (equivalent), of whom one is chair
- at least two external representatives
- two student representatives

The chair is appointed from among the members from the departments. Substitutes may only be appointed for the student representatives. The term of office is three years.

Remit:

- prioritise and initiate activities that provide students and doctoral students with increased labour market contacts during their studies
- prioritise and initiate activities that make students and doctoral students reflect on their skills in relation to the future professional role

### **3.18 Scholarship Committee**

The Scholarship Committee is a preparatory body prior to decisions by the Dean on matters concerning the allocation of travel and research grants from foundations.

Composition:

- a teaching staff representative from each of the faculty's three subject areas (mathematics-physics, biology-geology and chemistry), of whom one is appointed chair
- one student representative

Substitutes may only be appointed for the student representatives. The term of office is three years.

## **4. Departments and equivalent**

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The Faculty of Science has the following departments and organisational units:

- The Department of Biology
- The Department of Physics (also a part of the Faculty of Engineering)
- The Department of Geology
- The Department of Astronomy and Theoretical Physics
- The Department of Physical Geography and Ecosystem Science
- The Department of Chemistry (also a part of the Faculty of Engineering)
- The Centre for Mathematical Sciences (also a part of the Faculty of Engineering)
- The Centre for Environmental and Climate Science (CEC)
- The Division of Medical Radiation Physics in Lund (also a part of the Faculty of Medicine)

### **4.1 Department Board**

In accordance to the *Rules of Procedure for Lund University*, a department is to be managed by a Department Board, which has, within the framework approved by the Faculty Board, the collective responsibility for education, research and quality and development work. In special circumstances, a department may be managed by only a head of department or in some other way.

The Department Board is to have nine to seventeen members of whom the majority are to be members of teaching staff with research expertise. Non-academic staff are to be represented. The students have the right to be represented by three members. The student representatives are appointed in accordance with section 7 of the Student Union Ordinance. The Head of Department is the chair of the board. Each Department Board takes the decision on whether substitutes are to be appointed.

Representatives for the employee organisations have the right to attend board meetings, speak and put forward proposals, and are appointed in accordance with the Staff Representatives

Ordinance. The term of office for department board members is three years, with the exception of the student representatives.

Department board members and any substitutes are appointed through elections by eligible voters within the department.

The Faculty Board has decided that the Department Boards are to have the following composition:

<b>Department</b>	<b>Head of Department</b>	<b>Members of teaching staff</b>	<b>Non-academic staff</b>	<b>Student representative</b>	<b>Total</b>
Astronomy and Theoretical Physics	1	5	2	3	11
Biology	1	8	3	3	15
Geology	1	5	2	3	11
Physical Geography and Ecosystem Science	1	5	2	3	11

For the departments that are shared with the Faculty of Engineering (the Department of Physics, the Department of Chemistry and the Centre for Mathematical Sciences), the composition of the Department Board is decided by the Dean in consultation with the Dean of the Faculty of Engineering.

Within the Faculty of Science there are also the following organisational units:

- The Division of Medical Radiation Physics  
The Division of Medical Radiation Physics is a division within the Department of Clinical Sciences, Lund, at the Faculty of Medicine. The division organisationally belongs to the Faculty of Science and is led by a head of division appointed by the Dean.
- The Centre for Environmental and Climate Science (CEC)  
CEC is managed by a board composed of a total of 9 members. The Chair and members except student representatives are appointed by the board of the Faculty of Science. The centre is led by a director appointed by the Dean.

The Dean also appoints the Deputy Director. For further details, see Regulations for the Centre for Environmental and Climate Science (CEC), STYR 2020/1222.

#### **4.2 Head of Department or equivalent**

In accordance with the *Rules of Procedure for Lund University*, the Head of Department is the manager of the department. The Head of Department shall strive to ensure that the research and education carried out within the activities of the department are of high quality and to promote collaboration between the department and wider society. The Head of Department represents the department within and outside the University.

In addition, the Head of Department is responsible, according to the *Rules of Procedure for Lund University*, for the department's ongoing activities and is to make sure that they are performed in accordance with the current legislation, regulations, collective agreements and other agreements, and thereby ensure the proper exercise of public authority and the faculty's responsibilities as an employer. In addition, the Head of Department has decision-making powers delegated by the Department Board and the Faculty Board.

The Head of Department has the responsibility to execute the directives and decisions by the Department Board concerning the orientation of the activities and external engagement as well as providing the faculties and Department Board with documentation for planning and follow-up.

The Head of Department is appointed by the Dean of the faculty for a period of three years following proposals from the department staff in accordance with the approved procedure.<sup>3</sup> The election of the Head of Department is to be finalised at least six months prior to the start of the term of office. The appointed Head of Department<sup>4</sup> shall be assigned the duties of the Assistant Head of Department for a period after being appointed Head of Department and the commencement of the position. The Head of

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<sup>3</sup> Appointment of the nominating committee, head of department, deputy and assistant heads of department, department board and director of studies at the department, STYR 2018/847 (in Swedish).

<sup>4</sup> Applies for the first term of office as head of department.

Department is to be a member of teaching staff with research expertise.

#### **4.3 Deputy Head of Department or equivalent**

In accordance with the *Rules of Procedure for Lund University*, the Head of Department is to have a deputy, who shall be called the Deputy Head of Department. The Deputy Head of Department is appointed by the Dean for a maximum of three years, following a proposal from the employees at the department, according to the approved procedure. The Deputy Head of Department shall be a member of teaching staff with research expertise.

#### **4.4 Assistant Head of Department or equivalent**

In accordance with the *Regulations on management duties at Lund University* (in Swedish) an Assistant Head of Department can be appointed. Responsibilities, duties and decision-making powers are regulated in the department's delegation rules. The Assistant Head of Department is appointed by the Dean for a maximum of three years following a proposal from the Head of Department. The Assistant Head of Department shall be a member of teaching staff with research expertise.

#### **4.5 Head of Division**

There may be division heads at the department. The Department Board takes decisions on the existence of divisions and division heads. The Head of Division is appointed by the Head of Department. Duties and decision-making powers are regulated in the department's delegation rules. The term of office is three years.

#### **4.6 Director of studies and assistant director of studies**

##### **4.6.1 First and second cycle education**

At each department or equivalent there shall be a director of studies with responsibility for first and second cycle education. The director of studies is the department's leader of teaching and learning activities. The director of studies is the faculty's contact person for matters concerning education and is a member of the

faculty's Study Programmes Board. Duties and decision-making powers are regulated in the department's delegation rules.

In cases where the size of the department or the organisation of activities require more than one director of studies, one or several assistant directors of studies may be appointed. The individual appointed as director of studies and assistant director of studies is to be employed as a member of teaching staff at the University for an indefinite term. Exceptions from the requirement of being a member of teaching staff can be made if there are special circumstances. The director of studies and assistant director of studies are appointed by the Dean following a proposal from the Head of Department. The term of office is three years, and should follow the term of office of the Study Programmes Board.

#### **4.6.2 Third cycle education**

According to the *Regulations for Third Cycle Education at Lund University*, the Faculty Board concerned shall appoint a director of studies or equivalent for each subject in which third cycle education is organised and decide in more detail what powers the directors of studies or equivalent are to have within their coordinating roles in issues related to third cycle education in the subject.

At the Faculty of Science, the director of studies shall:

- coordinate the work of the department representative
- monitor that rules and regulations for third cycle education are observed
- take responsibility for information on the programmes and courses offered
- review course syllabi prior to approval by the Research Programmes Board
- work to ensure that an adequate range of courses is offered within the subject area and that course evaluations are carried out for the courses offered
- act as a conversation partner and advisor and in this capacity be prepared to handle conflicts of different kinds in third cycle education
- otherwise fulfil the duties they are assigned by the Head of Department and Department Board.

In cases where the size of the department or organisation of the activities require more than one director of studies, one or several assistant directors of studies may be appointed. A person appointed director of studies or assistant director of studies shall be an associate professor, or meet the requirements for associate professorship at the Faculty of Science, and shall be employed for an indefinite term at the University as a member of teaching staff with good knowledge of how the education within the subject is organised. Exceptions from the requirement of being a member of teaching staff can be made if there are special circumstances. Supported by the right to sub-delegate, the director of studies and assistant director of studies are appointed by the Dean<sup>5</sup> following a proposal from the Head of Department. The term of office is three years.

#### **4.7 Department representative**

The department representative's role is to represent the department in relation to individual doctoral students and their supervisors, as well as monitoring that the University and the doctoral students fulfil their obligations in the educational project. This role involves:

- following consultation with the doctoral student and their supervisor, to submit a proposal for the individual study plan to the Head of Department, or if the Head of Department is a supervisor, to the Vice-Dean responsible for third cycle education
- to have the responsibility to schedule, and participate in, doctoral student appraisals in connection with the follow-up of the individual study plan, as well as when proposals for changes to the plan are needed, e.g. when a particular course or a particular credit-earning component is to be included in the doctoral student's education
- following an application from a doctoral student, submit a proposal for a decision on credit transfer to the Head of

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<sup>5</sup> When appointing a director of studies at departments belonging to both the Faculty of Science and the Faculty of Engineering who is to have duties as a director of studies for the department as a whole, decisions are taken by the deans of the faculties of science and engineering jointly. The decision is processed by the faculty where the director of studies is employed.

Department, or if the Head of Department is a supervisor, to the Vice-Dean responsible for third cycle education

- after ensuring that all course credits and compulsory components included in the individual study plan and required before the thesis defence/licentiate seminar have been completed and that the University has fulfilled its obligations in the doctoral student's third cycle education, request a thesis defence/licentiate seminar to the Vice-Dean responsible for third cycle education. The request for a thesis defence can also be made by the Head of Department
- when all courses are passed, report this in Ladok.

Depending on the size of the department or the organisation of the activities, at least one department representative shall be appointed. The number should be determined so that each department representative is never required to represent the department in relation to more than ten doctoral students. The individual appointed as department representative shall be an associate professor, or meet the requirements for associate professorship at the Faculty of Science, and shall be employed for an indefinite term as a member of teaching staff at the University with good knowledge of how the education within the subject is organised. Department representatives are appointed by the Dean following a proposal from the Head of Department in consultation with the director of studies. Exceptions from the requirement of indefinite-term employment may be granted if there are special circumstances.

In conjunction with the admission of a doctoral student, the Head of Department shall appoint the individual from among the department representatives who will represent the department in relation to the individual doctoral student and their supervisor. In making the selection, special consideration shall be given to the need for a general understanding of the specific subject area of the thesis to be able to follow the progression of the project and the conditions for the doctoral student's work.

## **5. Work environment collaboration and other bodies**

### **5.1 Committees for work environment collaboration**

#### **5.1.1 Local Health and Safety Committee**

In accordance with the *local agreement on work environment at Lund University* there shall be a local health and safety committee at each faculty. The Local Health and Safety Committee is a collaborative body between the employer and the principal health and safety representative on issues concerning planning, implementation and follow-up of systematic work environment management within the faculty.

Composition:

- three employer representatives
- three employee representatives (at least one representative shall be the principal health and safety representative)
- two student health and safety representatives

Employer representatives:

- Dean
- Vice-Dean responsible for first and second cycle education
- Head of Faculty Office

Substitutes:

- Head of Department or Assistant Head of Department
- Vice-Dean responsible for third- cycle education
- Head of human resources

The Dean is the chair of the Local Health and Safety Committee. The committee shall appoint a deputy chair from among the employer representatives. Substitutes for the committee members are to be appointed, and they are to participate in meetings when the ordinary members are unable to attend. The Faculty Board appoints the employer representatives and their substitutes and the employee organisations shall appoint the employee representatives. The student health and safety representatives at the faculty have the right to appoint two

student health and safety representatives. The term of office is three years for the employer representatives.

The Local Health and Safety Committee's remit is described in the instructions for work environment collaboration in the local health and safety committee at Lund University, which is a supplement to the local collective agreement on work environment collaboration at Lund University.

### **5.1.2 Health, safety and environment (HSE) committees**

In accordance with the *local work environment agreement for Lund University*, at department level there can be HSE committees for one or several departments. The HSE committee is a preparatory and advisory body to the department management. The committees are appointed by the Faculty Board.

Composition:

- at least one employer representative (Head of Department or other decision-making representative) for each department or equivalent who is a member of the committee
- a health and safety representative for each department or equivalent who is a member of the committee
- student health and safety representatives have the right to attend and speak at committee meetings.

The employer representatives are appointed by the Dean. The term of office is three years, with the exception of the student health and safety representative.

At the faculty, there are the following HSE committees:

- Biology and Centre for Environmental and Climate Science
- Geocentrum
- Physics, Astronomy and Theoretical Physics and the Faculty Office (joint with the Faculty of Engineering)
- Kemicentrum (joint with the Faculty of Engineering)
- Centre for Mathematical Sciences (joint with the Faculty of Engineering)
- Medical Radiation Physics (joint with the Faculty of Medicine)

Within each committee's area of responsibility, the HSE committees shall:

- take initiatives for changes related to the systematic work environment management and environmental and safety issues
- follow up results and propose measures based on completed safety inspections

### **5.2 Specialised centres**

The Faculty Board can take decisions on the establishment of other work units and specialised centres. In cases where specialised centres are established they shall be led by a board and have a director. Decisions on regulations shall be taken in conjunction with the establishment. The remit of the specialised centre, composition of the board, term of office, the tasks of the board, and the director's duties shall be specified in the regulations. The Faculty Board is to appoint members of the board and, ordinarily, the Dean is to appoint a director. The term of office for the members of the board and director is normally three years.

### **5.3 Nominating committees**

In accordance with the *Rules of Procedure for Lund University*, a nominating committee is to be elected at each faculty, with the task of preparing nominations and proposing candidates for Dean, Pro-Dean, Vice-Deans and representatives of teaching staff with research expertise, representatives of non-academic staff, as well as external members in the Faculty Board.

The nominating committee at faculty level is composed of seven members excluding student representatives, i.e. five representatives of teaching staff with research expertise, two representatives of non-academic staff and two student representatives. The nominating committee appoints a chair from among its members. In addition, the employee organisations may appoint one representative each, who are given the right to attend meetings, speak and put forward proposals on the nominating committee. Student participation is limited to the task of preparing nominations and proposing candidates for Dean, Pro-Dean, Vice-Deans and external members. The nominating committee may consult an expert from the faculty office for the

preparation of proposals for the Dean, Pro-Dean and Vice-Deans. The Faculty Board prescribes that there shall be standing nominating committee at faculty level. The term of office is three years.

In cases of proposals for Vice-Deans, the faculty's nominating committee shall propose an allocation of duties for the proposed Vice-Deans as well as proposing which Vice-Dean shall be Pro-Dean. The area of responsibility proposed (first, second or third cycle education or research) is to be based on the candidates' previous principal activities/experience. The nominating committee should strive for the Dean and Pro-Dean to represent both genders and that the Dean and the Vice-Deans together represent the faculty's breadth of disciplines.

The nominating committee is to consult with the vice-chancellor prior to making a proposal for the Dean and Pro-Dean. The nominating committee can, following a decision by the Faculty Board, search for a Dean both within another faculty and outside Lund University.

In accordance with the *Regulations on the election to the Electoral College and elections at faculty and department level* (STYR 2017/211), a nominating committee is to be elected at each department, which proposes members and any substitutes for the Department Board, as well as the Head of Department and Assistant Head of Department. The nominating committee may consult an expert from the faculty office for the preparation of proposals for the Head of Department and Assistant Head of Department. The work to elect the Head of Department and Assistant Head of Department commences with a start-up meeting led by the Dean.

The Faculty Board prescribes that a nominating committee at department level is to consist of at least two members of teaching staff with research expertise and one member of non-academic staff. The students are to be given the right to attend, speak and make proposals on the election of the Head of Department and Assistant Head of Department. The employee organisations are to be given the right to attend and speak on the preparation of proposals for the Head of Department and Assistant Head of Department. The term of office is determined

by the Head of Department. The more detailed composition is approved by the Dean following a proposal from the Head of Department<sup>6</sup>. The Head of Department proposes the members after those at the department who are eligible to vote and nominate have had an opportunity to propose candidates. The members are then appointed through election by the employees at the department who are entitled to vote.

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<sup>6</sup> For shared departments, the decision is made jointly by the dean and LTH's dean.

## **6. Procedures for decision-making and meetings if boards and other preparatory and decision-making bodies**

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There is to be an expert official from the Faculty Office connected to each preparatory and decision-making body at faculty level. This person is normally appointed by the Head of the Faculty Office.

### **6.1 Presentation and decision**

In accordance with the *Rules of Procedure for Lund University*, decisions shall be taken after a presentation of the matter concerned (Government Agencies Ordinance, Section 20). Presentations are made against the background of the legal requirements for the preparation of matters in public administration. Presentation is taken to mean that the person responsible for the preparation of the matter and the drafting of a written proposal for a decision presents this in person to the person or body that is to make the decision. The Dean normally takes decisions in the Presiding Committee or Management Council. Decisions concerning individuals are not normally taken at a separate meeting. Decisions taken by the Faculty Board are to be prepared in the Presiding Committee or Management Council.

The chair of a board/committee is responsible for ensuring that matters are prepared in accordance with applicable statutes and the University's own rules and regulations. In cases where a specific document is drafted for a decision, the following must be made clear (Government Agencies Ordinance, Section 21):

- the date of the decision.
- the contents of the decision.
- who took the decision.
- who gave the presentation.
- who took part in the final processing without taking part in the decision

Decisions may be taken unanimously or through a vote. According to the Administrative Procedure Act (Section 19), members have the right to make a reservation against the

decision by having a dissenting opinion noted. A person who does not do so is deemed to have supported the decision.

## **6.2 Quorum**

The Higher Education Ordinance (Section 4) prescribes that the University Board is quorate when more than half of its members are present, including the chair. The same rule applies for all boards and committees within the faculties. Other bodies should also follow this rule.

## **6.3 Conflict of interest**

Processing and decision-making in all boards, committees and other decision-making and preparatory bodies at the faculty shall be characterised by objectivity and impartiality. A conflict of interest means a circumstance which makes it possible that a member or substitute may lack objectivity with regard to a certain matter. An individual with a conflict of interest is not ordinarily permitted to participate in the meeting when the matter is addressed. Anyone who knows of any circumstance that could constitute a conflict of interest is obliged to disclose it on their own motion (Section 18 Swedish Administrative Procedure Act).

## **6.4 Minutes**

Minutes shall be drawn up promptly and signed by the secretary and approved as soon as possible. Rapporteurs and other officials who are present for the final decision without having participated in the decision are entitled to have a dissenting opinion noted. This is to be recorded before the minutes are approved. Following approval of the minutes they should be registered according to current regulations.

Minutes shall be taken in all preparatory and decision-making bodies at faculty level. Furthermore, minutes shall be taken in all boards.

In matters where a specific document is not drawn up for decision, minutes shall be taken in such a way that the information according to Section 21 of the Government Agencies' Ordinance is clear.

### **6.5 Summons**

A summons, together with the agenda and other documents, is to be sent electronically or by post to the members at least five working days before the meeting.

### **6.6 Compulsory attendance and attendance rights**

Attendance is compulsory for members of bodies within the faculty. A *lawful excuse* (traffic problems, illness, extraordinary personal circumstances, teaching in cases that cannot be avoided) is normally required to be absent from a meeting. The secretary or chair of the concerned body is to be notified of any reason for absence.

Ordinarily, it is only members and eligible officials who participate in meetings. Substitutes participate in the absence of ordinary members.

## **7. Allocation of responsibilities and decision-making powers within the Faculty**

Decision-making powers are allocated within the University in a number of regulations and decisions. The present document, in addition to the allocation of responsibilities and decision-making powers by the Faculty Board, contains responsibilities and decision-making powers that the University Board, the vice-chancellor or the University Director have allocated in a number of other decisions. A list of integrated decisions is attached.

*Please note that the allocation of duties within environment and safety as well as regulations on the allocation of duties within systematic work environment and fire safety management are not included in this document. Rules regarding the right to use public agency funds (approval rules) are also not included.*

### **7.1 Decision-making powers of the Faculty Board**

#### **General administration and organisation**

- decide on the faculty's organisation, division into departments and form of departmental management, including the composition of the Department Boards (with the exception of departments that are part of both the Faculty of Science and the Faculty of Engineering)
- decide on the establishment and composition of other work units and specialised centres
- decide on the establishment of HSE committees<sup>7</sup>
- decide on the establishment of decision-making and preparatory bodies under the Faculty Board and the composition of such bodies
- appoint substitutes on local HSE committees<sup>8</sup>
- approves the faculty's rules of procedure and allocation of responsibilities and decision-making powers, policy documents, development plans and other regulations and work instructions

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<sup>7</sup> Local collective agreement on work environment collaboration for Lund University.

<sup>8</sup> As per the local collective agreement on work environment collaboration for Lund University.

**Education and research**

- decide on regulations as well as general and precedential matters concerning first, second and third cycle education
- decide on policy documents and development plans
- approve the departments' first and second cycle education assignments, following preparation by the Study Programmes Board
- establish and abolish main fields of study in the first and second cycles
- approve programme syllabi for first and second cycle study programmes including specific admission requirements. Revisions that do not entail changes to the principal content of the programme syllabi are delegated to the Study Programmes Board
- approve the selection criteria for first cycle study programmes that are not intended for new entrants to higher education (within the frameworks approved by the University Board in the admission rules for first and second cycle education), and for second cycle courses and study programmes
- approve the range of programmes, entry points and first and second cycle courses, following preparation by the Study Programmes Board
- approve the design of diplomas and diploma supplements
- decide on the specialisations of professional degrees, in applicable cases
- establish and abolish third cycle subjects, in accordance with the Regulations for third cycle education at Lund University
- decide on admission rules for third cycle education, in accordance with the regulations in the admission rules for doctoral education at Lund University
- approve the procedures for preparing decisions on admission to third cycle education. This decision-making power may not be sub-delegated
- approve general syllabi for third cycle programmes (including specific admission requirements). This decision-making power may be delegated to another body at faculty level, however not to an individual officer
- decide on grading scales within third cycle education
- recommend candidates for honorary doctorates

***Finance***

- decide on the detailed budget for the faculty, including education and research assignments and resources for these, as well as the size and allocation of the faculty-wide costs
- decide on the total budget for the faculty
- approve the department budgets including the range of courses offered
- approve the faculty's annual financial report; statement of accounts and balance sheet\*

***Human resources***

- decide on proposals for the vice-chancellor to inform about vacant posts of professor

***Premises and other infrastructure***

- decide on documentation for new construction and renovation projects that exceed SEK 5 million
- decide on equipment and furnishing for new construction and renovation projects that exceed SEK 5 million

***7.2 General information on the allocation of decision-making powers***

Below is a short summary of the principles of delegation within the Faculty of Science:

- sub-delegation can take place when regulations and general principles are *applied*. The right to take *decisions on matters of principle* should not be sub-delegated.
- a superior level has the right to take decisions on behalf of subordinate levels
- in individual cases requiring urgent handling, the Dean has the right to take decisions on behalf of the Faculty Board, a so-called emergency delegation. The Faculty Board is to be informed of the decision at the following meeting
- delegation is accompanied by responsibility. A decision on sub-delegation is an active transaction and the person who sub-delegates is still responsible for ensuring that the individual who received the delegation has the conditions to fulfil the assignment. The person who sub-delegates also has the responsibility to continuously follow up on the delegation

decision and a condition for a delegation decision is information to the superior level

- a delegation must be in writing and reported in minutes or a decision, as well as being registered.
- if it is unclear whether a particular matter is covered by a delegation, or if there is doubt about whether sub-delegation is possible, the recipient of the delegation is to return the matter to the body or individual who made the delegation to have it clarified
- the delegation of decision-making powers can be revoked at any time
- a sub-delegation may concern a group of matters or an individual matter, and the delegation is to be given to a body or organisational function

### ***7.3 Allocation of responsibilities and decision-making powers to different bodies and functions***

#### **7.3.1 Dean**

##### ***General administration and organisation***

- decide on the composition of the Department Board for the Department of Physics, the Department of Chemistry and the Centre for Mathematical Sciences. Decisions are taken in consultation with the Dean of the Faculty of Engineering.
- approve the composition of department nominating committees. For departments that are shared with the Faculty of Engineering, this is done in consultation with the Dean of the Faculty of Engineering
- appoint members to bodies at university level and takes decisions on proposals for members in cases when the members are to be appointed by the vice-chancellor or the University Board
- appoint the Vice-Deans who are not the Deputy Dean
- appoint members to bodies under the Faculty Board
- appoint the employer's representatives on health and safety committees
- decide on the appointment of Heads of Department or equivalent, Deputy Heads of Department or equivalent, and where the role exists, Assistant Heads of Department

- decide on the size of the Faculty Office and the Faculty Library within the economic frameworks approved by the board
- award honorary doctorates
- sign data processing agreements concerning the faculty or the activities of several departments within the same faculty.<sup>9</sup>
- provide statements on consultation papers

### ***Education and research***

- decide on the admission of doctoral students with funding other than a doctoral studentship
- sign *letter of invitation*/equivalent as the basis for residence permits for future doctoral students with external grants as funding
- decide on admissions to part-time studies within a third cycle programme.
- decide on cases where admission to third cycle education is only for a licentiate degree
- decide on policies and principles for the defence and distribution of theses
- decide on the submission of requests to the vice-chancellor to withdraw a doctoral student's right to supervision and other study resources as well as provide proposals for decisions concerning doctoral students' requests to have their right to study resources restored and other documentation.<sup>10</sup>
- issue certificates for professional degrees as well as for general first and second cycle degrees
- issue certificates for licentiate and doctoral degrees
- decide on the appointment of associate professors\*
- decide on the allocation of research and travel grants following a proposal from the Scholarship Committee
- sign international exchange agreements (except for Erasmus agreements) concerning student exchange in the first, second and third cycles

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<sup>9</sup> In accordance with the vice-chancellor's delegation of authority to sign data processing agreements, reg. no STYR 2019/920.

<sup>10</sup> Processing decisions regarding withdrawal and recovery of the right to supervision and other resources for a doctoral student, reg. no V 2017/458.

- appoint the director of studies and assistant director of studies for third cycle programmes as well as for first and second cycle programmes
- appoint department representatives

### *Finance*

- decide on temporary increases of faculty-wide overheads during the financial year. Permanent increases to these costs are decided by the Faculty Board
- decide on faculty-wide investments that occur during the year.<sup>11</sup> Investments exceeding SEK 1 million each or SEK 3 million in total are decided by the Faculty Board
- approve the faculty's four-monthly financial reports as well as forecasts and financial assessments
- decide on setting up scholarships (for first and second cycle students, and for postdoc scholarships). This decision-making power may not be sub-delegated
- decide on allocation of faculty-wide scholarships (for first and second cycle students, and for postdoc scholarships). May be delegated to the Head of the Faculty Office.<sup>12</sup>

Act as a faculty signatory for:

- grant agreements of less than SEK 8 million when the Head of Department is the grant recipient
- all agreements covering more than one department and that does not require a signature by the vice-chancellor or the university director
- contract research agreements and collaboration agreements between SEK 800 000 and SEK 4 million. In calculating the value of collaboration agreements, the payment that the University receives (financial or otherwise) is to be added to the University's contribution
- Memorandum of Understanding and Letter of Intent in cases where an agreement is to be signed by the Dean
- all agreements on externally employed doctoral students

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<sup>11</sup> Decisions are to be taken following a consultation with the Presiding Committee or Management Council. Decisions are to be presented at the following board meeting and contain a strategic assessment of the significance of the investment for the faculty's organisation.

<sup>12</sup> Regulations regarding educational and postdoctoral scholarships at Lund University (STYR 2020/1283).

- education agreements and applications that only concern the faculty

The Dean does not sub-delegate the right to sign agreements. Please note that the relevant Head of Department must approve all agreements that concern departmental activities prior to the signing by the Dean.

### ***Human resources***

- decide on providing information on vacant positions as senior lecturer, adjunct senior lecturer, associate senior lecturer, lecturer, adjunct lecturer. (Decisions to provide information on vacant positions as professor are taken by the vice-chancellor following a proposal from the Faculty Board).
- decide on appointments and the discontinuation of recruitment processes for senior lecturers, adjunct senior lecturers, associate senior lecturers, adjunct lecturers, lecturers, the Head of the Faculty office and the Library Manager. (The decision on appointments of professors, visiting professors and adjunct professors and the discontinuation of recruitment processes for professors is taken by the vice-chancellor following a proposal from the Dean). Decisions on appointments may not be sub-delegated
- decide on proposals to the vice-chancellor for appointments of professors, visiting professors and adjunct professors
- decide on assessments for promotion to senior lecturer and professor. Decisions are taken following consultation with the relevant department. Decisions on assessments of promotions are to be based on strategic considerations. The considerations are to include an assessment of whether the employee has made documented contributions to the development of the organisation and been assessed as suitable for promotion
- decide on promotions to positions as senior lecturer
- decide to make proposals to the vice-chancellor to promote senior lecturers to the position of professor
- decide on employment after the standard retirement age for professors and senior lecturers
- decide on changes to specialisations/subjects for teaching staff (with the exception of professors)

- decide on salaries for new members of teaching staff, excluding professors.
- ensure that the University's target is observed during salary reviews and other salary decisions concerning teaching staff
- propose statements to the Higher Education Appeals Board concerning appealed decisions on appointments of professors.
- produce statements to the Higher Education Appeals Board concerning the Dean's decision on human resources matters
- decide on salary supplements for assignments at a department/equivalent in accordance with current regulations (excluding Heads of Divisions).
- sign local agreements on salaries (RALS).
- decide on leave of absence including parental leave and partial leave for children under 12, as well as revoking such periods of leave, for professors.
- endorse professors' applications for partial pension prior to a decision by the head of human resources.
- endorse decisions on stationing abroad prior to the head of department's signing of URA agreements. This applies to all teaching staff except postdocs
- assess secondary employment reported by the Head of Department and the Vice-Deans. Assess secondary employment reported by departmental employees, in consultation with the Head of Department.
- decide that an employee must terminate their secondary employment or prohibit an employee from undertaking secondary employment. This decision-making power may only be delegated to a body or officer at faculty level.
- Decide on salaries (pay review and other salary decisions) for the Head of the Faculty Office and Library Manager. Decisions on salary for the Head of Faculty Office are to be made in consultation with the University Director.
- decide on other issues concerning the Head of Faculty Office and the Library Manager such as:
  - scheduling of employees' working hours within the scope of applicable collective agreements
  - the employees' performance of duties
  - annual leave
  - rehabilitation measures

- leave of absence and withdrawal of leave
- assess secondary employment. If necessary, decide (in writing) that an employee must terminate their secondary employment
- decide on the termination of fixed-term employment, including probationary employment
- approve the time of termination of employment upon requests for dismissal
- endorse applications for partial pension prior to the decision by the University's director of human resources
- decide on the termination of employment in cases where termination is required under law and collective agreements, and in accordance with decisions from the Swedish Social Insurance Agency on the grounds of illness
- changes to terms of employment

#### ***Premises and other infrastructure***

- decide on documentation for new construction and renovation projects if the costs are added to the rent or exceed SEK 500 000 but are less than SEK 5 million
- decide on equipment and furnishing for new construction and renovation projects if the costs are added to the rent or exceed SEK 500 000 but are less than SEK 5 million
- decide on the continued leasing of premises if it involves an annual cost increase of more than SEK 500 000

#### **7.3.2 Vice-Deans**

The Vice-Dean for research has some decision-making powers as chair of the Academic Appointments Board. These are stated in section 7.3.3.1 Chair of the Academic Appointments Board.

The Vice-Dean for third cycle education has the following decision-making powers:

- decide on the admission of a doctoral student to a third cycle programme in cases where the Head of Department (or equivalent) is a supervisor.
- decide on the drafting and approval of an individual study plan and the annual follow-up of the plan, following a proposal

from the department representative, in cases where the Head of Department (or equivalent) is a supervisor.

- decide on the examining committee, chair and critical reviewer for thesis defences, in accordance with the special regulations approved by the Dean.
- decide on the time and place for a thesis defence.
- decide on the period during which a thesis is to be available (shortened notification of the date of a thesis defence).
- decide on the time, place, chair and critical reviewer at a licentiate seminar
- appoint supervisor and decide on the change of a supervisor in cases where the Head of Department (or equivalent) is a supervisor.
- appoint an examiner to take a decision on the grade for a licentiate seminar
- decide on credit transfers for previous studies or professional experience, following a proposal from the department representative, in cases where the Head of Department is a supervisor.

The Vice-Dean for first and second cycle education has the following decision-making powers:

- discontinue study programmes and entry points for education in the first and second cycles
- decide on the award of scholarships for tuition fees
- decide in individual admission cases that concern admission to a later stage of a programme leading to a first or second cycle professional degree
- decide on the distribution of work within the Teaching, Learning and Development Support unit (PLUS)
- decide on the recruitment and appointment of PLUS staff within a given budgetary framework and decide to suspend the appointment of PLUS staff
- decide on other issues concerning appointment of PLUS staff such as:
  - scheduling of employees' working hours within the scope of applicable collective agreements
  - the employees' performance of duties
  - annual leave

- rehabilitation measures
- leave of absence and withdrawal of leave
- assess secondary employment. If necessary, decide (in writing) that an employee must terminate their secondary employment
- decide on the termination of fixed-term employment, including probationary employment
- approve the time of termination of employment upon requests for dismissal
- endorse applications for partial pension prior to the decision by the University's director of human resources
- decide on the termination of employment in cases where termination is required under law and collective agreements, and in accordance with decisions from the Swedish Social Insurance Agency on the grounds of illness
- changes to terms of employment

### **7.3.3 Academic Appointments Board**

- make proposals to the Faculty Board or Dean for the appointment of all teaching staff except for postdocs
- make proposals for the promotion of teaching staff
- appoint external experts to assess the applicants' skills in the recruitment and assessment for promotion of teaching staff
- provide instructions to external experts concerning the design of statements
- decide on awards of ETP distinctions and admission to the faculty's teaching academy following a recommendation by the assessment group

#### ***7.3.3.1 Chair of the Academic Appointments Board***

- decide that all or parts of an appointment matter shall be processed in a recruitment committee
- appoint members of the approved recruitment committee. Parts of the preparation may be processed by a recruitment committee, which is to consist of at least one member from the Academic Appointments Board, a student representative and a department representative.
- appoint a group of assessors to process ETP applications

### **7.3.4 Study Programmes Board**

- approve first and second cycle course syllabi, including specific admission requirements, field-specific admission requirements and selection model, as well as required reading
- approve course syllabi for contract education and training in teaching and learning in higher education.
- decide on departmental affiliation of study programmes within the faculty's area of activity
- decide on grading scales for first and second cycle education (within the scope determined by the University Board)
- decide on supplementary regulations regarding the division into semesters (division into periods)
- decide on revisions of programme syllabi that do not involve changes to the main content
- prepare supporting documentation for the Faculty Board's decision on the range of study programmes, entry points and first and second cycle courses
- prepare supporting documentation for the Faculty Board's decision on the departments' educational assignment within first and second cycle education
- decide on faculty-wide rules and guidelines regarding the implementation of first and second cycle education
- prepare supporting documentation for the Faculty Board's decision on action plans concerning first and second cycle education

### **7.3.5 Research Programmes Board**

- establish faculty-wide third cycle courses and appoint an examiner for these
- approve third cycle course syllabi
- approve guidelines for general syllabi
- approve rules for the procedure of calling for applications to third cycle education
- approve the application form for third cycle education.
- handle other issues related to third cycle education that are not concerned with matters of principle

### **7.3.6 Faculty Office and the Head of the Faculty Office**

The Head of the Faculty Office has the following decision-making powers:

#### ***General***

- represent the public authority in negotiations with an employee organisation prior to any decisions that the employer intends to take or which the employee organisation wants to persuade the employer to take (except for disputes or collective agreement negotiations)

#### ***Finance***

- sign all agreements within the EU's Seventh Framework Programme and Horizon 2020, with the exception of agreements with employees and agreements within special programmes (see the management rules for research projects within the EU's Seventh Framework Programme, reg. no IA 39 6932/2006 and LU's management rules for research projects within the EU framework programme Horizon 2020, reg. no STYR 2014/203).

#### ***Human resources***

- decide on the distribution of work at the Faculty Office
- decide on the recruitment and appointment of staff at the Faculty Office within the approved budgetary framework, and decide to suspend the appointment of staff at the Faculty Office
- decide on other issues regarding the appointment of staff at the Faculty Office such as:
  - decide on salaries (salary review and other salary decisions for TA staff at the Faculty Office). This is to be done in consultation with the head of the Human Resources division
  - scheduling of employees' working hours within the scope of applicable collective agreements
  - the employees' performance of duties
  - annual leave
  - rehabilitation measures
  - leave of absence and the withdrawal of leave

- assess secondary employment reported. If necessary, decide (in writing) that the employee must terminate their secondary employment
- the termination of fixed-term employment, including probationary employment
- the time of termination of employment upon requests for dismissal
- endorse applications for partial pension prior to the decision by the University's director of human resources
- decide on the termination of employment in cases where termination is required under law and collective agreements, and in accordance with decisions from the Swedish Social Insurance Agency on the grounds of illness
- changes to terms of employment

**The head of finance has the following decision-making powers:**

- sign payment orders for cost centres within the faculty
- be responsible for ensuring that the accruals/income recognition in the financial reports are correct
- decide on amendments to the departments' annual financial reports

**The head of human resources has the following decision-making powers:**

- represent the public authority in negotiations with an employee organisation prior to any decisions that the employer intends to take or which the employee organisation wants to persuade the employer to take (except for disputes or collective agreement negotiations)
- decide on the appointment of TA staff, except staff at the Faculty Office and the Library.
- decide on employment after the standard retirement age for all staff except professors and senior lecturers
- decide to suspend an appointment, except in cases where a decision to suspend is taken by the Dean, the Head of the Faculty Office or the Library Manager.

- make statements to the Higher Education Appeals Board concerning decisions in human resources matters not taken by the Dean
- decide on salaries (for new appointments and other salary decisions) for all TA staff except Faculty Office staff
- decide on leave of absence, except parental leave and partial leave for children under 12, as well as revoking such periods of leave, for all employees at the faculty except professors and Faculty Office staff. (The Dean takes decisions on leave of absence for professors. The Head of the Faculty Office and the Library Manager takes decisions on leave of absence for Faculty Office staff respectively Library staff. The Head of Department takes decisions on parental leave and partial leave for children under 12, as well as revoking such periods of leave, for all employees except professors)
- enter into individual agreements on remote work for TA staff at the faculty.<sup>13</sup>
- endorse applications for partial pension prior to the decision by the University's director of human resources. This applies to all staff except professors and TA staff at the faculty office and the Library.
- approve the time of termination of employment upon requests for dismissal of all staff
- decide on the termination of employment due to the statutory retirement age in accordance with the rules in legislation and collective agreements as well as in the case of illness in accordance with a decision by the Social Insurance Agency (except professors and the Head of the Faculty Office).

**The faculty's international officer has the following decision-making powers:**

- as an officer with administrative responsibilities, sign all agreements within the EU projects, in accordance with the management rules for research projects within the EU's Seventh Framework Programme, reg. no IA 39 6932/2006 and LU's management rules for research projects within the EU

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<sup>13</sup> Guidelines for remote work for technical and administrative staff, P 2018/3874.

framework programme Horizon 2020, reg. no STYR 2014/203).

- sign Erasmus agreements on behalf of the faculty's department.
- decide on the admission of exchange students (through a so-called Letter of Acceptance) who have received a place on a course or on a study programme component and who have come here through the faculty's exchange programme
- decide on the nomination and ranking of applicants from the faculty to the University's central exchange programme. The decision is only made after the departments concerned have been consulted on the matter and had the opportunity to comment on the students' applications. The consultation procedure may be bypassed by the international officer if it is clearly unnecessary or the decision cannot be postponed due to lack of time
- decide on the nomination of students for exchange studies at a university abroad, with which the faculty has an exchange agreement. Such cases are processed in the same manner as in the point above
- issue a Letter of Intent to a prospective scholarship fellow (e.g. applicant to the Swedish Institute). The subject area concerned must first submit their approval

### **7.3.7 Faculty Library and the Library Manager**

The Library Manager has the following decision-making powers:

- decide on the distribution of work at the Library
- submit proposal for the library budget (approved by the Faculty Board). This may not be sub-delegated.
- decide on the recruitment and appointment of staff at the Library within the approved budgetary framework, and decide to suspend the appointment of staff at the Library
- decide on other issues regarding the appointment of staff at the Library such as:
  - decide on salaries (salary review and other salary decisions for TA staff at the Library). This is to be done in consultation with the head of the Human Resources division
  - scheduling of employees' working hours within the scope of applicable collective agreements

- the employees' performance of duties
- annual leave
- rehabilitation measures
- leave of absence and the withdrawal of leave
- assess secondary employment reported. If necessary, decide (in writing) that the employee must terminate their secondary employment
- the termination of fixed-term employment, including probationary employment
- the time of termination of employment upon requests for dismissal
- endorse applications for partial pension prior to the decision by the University's director of human resources
- decide on the termination of employment in cases where termination is required under law and collective agreements, and in accordance with decisions from the Swedish Social Insurance Agency on the grounds of illness
- changes to terms of employment

### **7.3.8 Department Board**

- set up preparatory and decision-making bodies within the department's area of responsibility and decide on the composition of such bodies. May not be sub-delegated
- make budget proposals for the department (to be approved by the Faculty Board). May not be sub-delegated.
- decide on policy and strategic issues that, pursuant to the provisions in the present document or other rules, are not to be decided by the Faculty Board, bodies under the Faculty Board or the Dean
- decide on the inclusion of substitutes on the Department Board

### **7.3.9 Head of Department or equivalent**

#### ***General administration and organisation***

- propose members to bodies under the Faculty Board. May not be sub-delegated
- propose the composition of the Nominating Committee (to be approved by the Dean) and propose members of the Nominating Committee after the employees at the department who are entitled to vote and nominate have had the opportunity to propose candidates

- appoint teaching staff representatives to the library branch reference group
- approve all agreements and applications that concern the department's operations, regardless of whether the authorised signatory is someone else
- sign data processing agreements that concern the department's operations<sup>14</sup>
- issue statements on reports that concern the department's subject areas.

### *Research*

- decide on forms of research reporting and quality enhancement

### *Third cycle education*

- propose a director of studies and possibly an assistant director of studies (to be appointed by the Dean)
- decide on the admission of full-time third cycle students with a doctoral studentship (decided by the Vice-Dean of third cycle education if the Head of Department is the supervisor). The decision shall observe the *Guidelines for advertising study places and preparing decisions on admission to research studies at the Faculty of Science* (STYR 2014/731). This decision-making power may not be sub-delegated
- decide on an exemption from the general admission requirements for individual applicants in connection with admission when there are special reasons. May not be sub-delegated
- appoint supervisors for doctoral students and decide on a change of supervisor. May not be sub-delegated (performed by the Vice-Dean of third cycle education if the Head of Department is the supervisor). At least two supervisors must be appointed for each doctoral student. The person appointed principal supervisor must be employed at Lund University and be an associate professor or be deemed by the Dean to have the equivalent expertise. Exemptions from the

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<sup>14</sup> In accordance with the vice-chancellor's delegation of authority to sign data processing agreements, reg. no STYR 2019/920

requirement for employment at Lund University may be granted if there are special reasons

- enter into agreements on contract education. This decision-making power may not be sub-delegated.
- decide on special permission to participate in courses within the scope of a contract education or other credit-earning components
- in consultation with the director of studies, propose to the Dean the persons to be appointed department representatives, and thereby eligible for appointment in accordance with the following point
- for every doctoral student, in connection with admission, appoint one of the department representatives to represent the department in relation to the individual doctoral student and their supervisor, in accordance with section 4.7
- following a proposal from the department representative (applies to the Vice-Dean of third cycle education if the Head of Department is the supervisor):
  - decide on individual study plans in connection with admission and in case of changes resulting from the annual follow-up (performed by the Vice-Dean of third cycle education if the Head of Department is the supervisor). This decision-making power may not be sub-delegated
  - appoint examiners for courses and other credit-earning components. This decision-making power may be delegated to a director of studies or department representative. It may not be delegated to the doctoral student's supervisor
  - decide on credit transfer for previous studies. This decision-making power may be delegated to a director of studies or department representative. It may not be delegated to the doctoral student's supervisor

### ***First and second cycle education***

- propose a director of studies and possibly assistant director of studies (for appointment by the Dean)
- propose the examiner for a course
- cancel first and second cycle courses and offers alternative first and second cycle course options

- decide on the number of places on first and second cycle study programmes, on programme specialisations and on first and second cycle courses, within the scope of the educational assignment
- decide on the revision of reading lists
- approve assessed components/exam codes within courses
- decide on the design of recommended study routes
- produce supporting documentation for courses to be offered as well as the parts of the faculty budget that include educational assignments, for further processing by the Study Programmes Board and the Faculty Board.
- ensure access to study guidance for students
- decide on individual admission matters concerning admission from a waiting list, deferment of studies and leave from studies pertaining to first and second cycle education
- decide on individual admission matters concerning admission to a later stage of a programme that leads to a general first or second cycle degree
- decide on the transfer of credits from previous studies or professional experience to be included in a degree

### ***Finance***

- manage the department's ongoing finances and accounting
- follow up on results
- appoint procurement coordinators and be responsible for ensuring that the department's purchases comply with applicable objectives, legislation, rules and guidelines. The basic principle is that any costs that are charged to the University as a result of errors in the department's handling of its procurement matters are to be charged to the department
- decide on the allocation of scholarships (for first and second cycle students and for postdoctoral scholarships). This decision-making power may not be sub-delegated
- serve as signatory within the department concerned in the following cases:
  - grant agreements of less than SEK 8 million. When the Head of Department is the grant recipient, the Dean is the signatory
  - contract research agreements and collaboration agreements of less than SEK 800 000. In calculating the

value of collaboration agreements, the payment that the University receives (financially or in another form) is to be added to the University's contribution

- Memorandum of Understanding and Letter of Intent in cases where the agreement concerned is to be signed by the Head of Department and in cases where the value of the future agreement is unknown
- licensing agreements (agreements in which the University grants licensing/usage rights)
- agreements on degree projects
- Material Transfer agreements (agreement that gives a party the right to use material)
- confidentiality agreements
- agreements with employees
- applications that are not to be signed by the vice-chancellor or Dean

The Head of Department (or equivalent) may delegate the right to sign agreements to a Head of Division within the department. This decision-making power, in turn, may not be sub-delegated. The sub-delegation must be made in writing and to a specific person. The sub-delegation must be registered, continually updated and, if necessary, revoked.

### ***Human resources***

- decide on the distribution of work at the department
- decide on whether or not to advertise a vacant position as postdoc, and decide to appoint or suspend the appointment of postdocs. May not be sub-delegated
- decide on whether or not to issue a call for applications for a TA staff member or doctoral student.
- decide on the employment of an admitted doctoral student (including extension)
- decide on incremental salary raises for doctoral students.
- decide on intermittent employment and associated reporting of hours worked and decide on remuneration for assignments within the department
- decide on the termination of a probationary period of employment. May not be sub-delegated

- decide on the termination/notice of termination of a fixed-term appointment
- approve the date of termination of employment following requests for termination from all department staff
- decide on stationing abroad by signing a URA agreement. In cases concerning teaching staff (except postdocs), the decision must be endorsed by the Dean
- sign *letters of invitation*/equivalent that support residence permits for persons who are to be financed by scholarships for advancement in research
- draw up a written agreement between the department and the scholarship holder, clarifying the nature of the grant and the applicable social conditions. Such an agreement shall include a plan for the scholarship holder's advancement, financing and length of stay, and must be signed before the scholarship holder begins their studies or research at Lund University. The Head of Department is responsible for any consequences resulting from an incorrect decision.
- decide whether or not to receive a scholarship holder (award of scholarship) for advancement in first and second cycle education as well as research. This decision-making power may not be sub-delegated
- approve applications for partial pension prior to a decision by the University's director of human resources.
- decide on parental leave and partial leave for children under 12, and revoking of such leave, for all employees at the department except professors. The Dean takes decisions on all leave of absence for professors
- assess reports of secondary employment by department employees in consultation with the Dean. This decision-making power may not be sub-delegated. Decisions (in writing) that the employee must terminate their secondary employment are made by the Dean.
- decide on other issues regarding the employment of the department's employees, including:
  - scheduling employees' working hours within the scope of applicable collective agreements
  - employees' performance of their work duties
  - annual leave

- rehabilitation measures.
- Decide on annual duties plan for employees
- propose salaries for new employees and other salary decisions.
- ensure that the appointment or re-appointment to a post is supported by the Department Board.

***Premises provision and other infrastructure***

- decide on additional leasing of premises, which entails an annual cost increase of less than SEK 500 00.
- decide on documentation for new construction and renovation projects of no more than SEK 500 000 per project when the project does not affect the future rent.
- decide on equipment and furnishings for new construction and renovation projects of no more than SEK 500 000 when the department pays for it with its own funds
- decide on the organisation of IT operations and other infrastructure activities
- decide on the extent of cleaning and other services.

## **Appendix 1: Allocation of decision-making powers for certain agreements and applications**

Regulations on the allocation of decision-making powers at Lund University APPENDIX Reg. no STYR 2019/1540

Allocation of decision-making powers for certain agreements and applications

Delegation from vice-chancellor to head of administration, deans, heads of department and the board of MAX IV Laboratory.

### ***Limits***

The delegations in these regulations apply only to the types of agreement and application defined below (with the exception of delegations to the head of administration). Other types of agreement, such as purchasing agreements and tenancy agreements, have separate delegation rules.

### ***Definitions***

Within the University, a large number of agreements are signed, with varying content related to research and education. The agreement's type is key to determining who has the power to sign it. To determine the type of agreement, the following definitions are used:

***grant agreement*** –for funding not requiring any service in return. This means that the party giving the grant has not made any demands to receive goods or services or to enjoy special privileges in exchange for the funding. It is not considered a service in return if the terms agreed state that the recipient is to use the funding for a certain purpose or is to report how it has been used

***industry-employed doctoral student agreement*** – an agreement on third cycle education where the doctoral student is employed by the external funding party

***licensing agreement*** – an agreement where the University gives licensing rights/usage rights to, for example, software

(agreements in which the University buys licensing rights or usage rights are dealt with elsewhere)

***collaboration agreement*** –refers to collaborations with one or more parties that are not fully funded and where there is a requirement for services in return (see below under contract research agreement)

***contract research*** agreement – fully funded commission where the commissioning party makes demands for services in return (e.g.in the form of delayed publication, confidentiality, rights to results etc.)

***contract education agreement*** – an agreement relating to the Ordinance on Contract Education agreement – an agreement with another higher education institution on education, e.g. joint programmes, exchange agreements and agreements with collaborating partners on, for example, students' degree projects

In addition, there are:

- agreements on degree projects
- material transfer agreements – give the right to use material (both the University and other parties can give this right)
- confidentiality agreements – usually signed in conjunction with discussions on future collaborations
- letters of intent /memoranda of understanding – state the intention to enter into an agreement
- consultancy agreements – agreements in which the University sells consultancy services (agreements on purchasing consultancy services are dealt with elsewhere)
- agreements with employees
- In addition, there are the following specific agreements:
- agreements within EU research programmes
- agreements with the National Institutes of Health

Agreements with employees refer to **agreements in which employees** are given rights to results (e.g. licensing rights, rights

of option), accept certain restrictions (e.g. delayed publication), etc., in order for the University to fulfil its commitments to other parties in the agreements listed above.

**Applications** refer to applications for external funding for research and education.

### ***Managing agreements and applications***

The head of department is responsible for the activities of the department and must therefore always approve all agreements and applications that explicitly concern the activities of the department, regardless of whether he/she is the person with the power to sign on behalf of the University or not (see below).

The Legal Service Office draws up, negotiates and reviews agreements of the types listed above. Individuals responsible for signing agreements are advised to contact the Legal Services Office well in advance for advice and support.

The following applies unless otherwise stated under *Special conditions*.

The following people have the right to sign agreements on behalf of Lund University:

#### ***Vice-Chancellor***

The vice-chancellor signs in the following cases:

- all agreements of the types listed above that cover multiple departments at more than one faculty (or equivalent)
- grant agreements of SEK 8million and above
- contract research agreements and collaboration agreements of SEK 4 million and above. In calculating the value of collaboration agreements, the remuneration or other form of payment that the University receives is added to the University's services in return
- memoranda of understanding and letters of intent, in cases where the intended agreements are to be signed by the vice-chancellor
- agreements where the other party's terms are that the vice-chancellor is to sign

- education agreements and applications that concern more than one faculty(or equivalent)1
- education agreements and applications that concern a joint programme leading to a joint degree
- applications in cases where the call for proposals states that the vice-chancellor is to sign

### ***Head of Administration***

The head of administration has the right to sign all agreements within the areas of responsibility of the head of administration as defined in the Regulations on the allocation of decision-making powers at Lund University (p. 2) and all agreements within University administration. Furthermore, the head of administration has the right to sign agreements in the following cases:

- all contract education agreements
- agreements with LU Innovation System AB

The head of administration may delegate the right to sign agreements to other administrative officers. The delegation is to be in writing and indicate a specific officer. The written delegations are to be filed together, updated regularly and repealed when necessary.

### ***Dean***

Dean also refers to the chair of the Board of the Specialised Centres and the chair of the Board of the Cultural and Public Centres.

The dean of a faculty signs in the following cases:

- all agreements of the types listed above that cover multiple departments and that are not to be signed by the vice-chancellor or head of administration in accordance with the above
- contract research agreements and collaboration agreements in the interval SEK 800 000–SEK 4 million. In calculating the value of collaboration agreements, the remuneration or other form of payment that the University receives is added to the University's services in return
- memoranda of understanding and letters of intent, in cases where the intended agreements are to be signed by the dean
- all industry-employed doctoral student agreements
- education agreements and applications that concern only the faculty

The dean may delegate the right to sign agreements to other officers. The delegation is to be in writing and indicate a specific officer. The written delegations are to be filed together, updated regularly and repealed when necessary.

### ***Head of Department***

Head of department also refers to directors of specialised centres and cultural and public centres.

All agreements and applications that concern the department shall be approved by the head of department. The head of department signs for the department concerned in the following cases:

- grant agreements of less than SEK 8 million
- contract research agreements and collaboration agreements of less than SEK 800000. In calculating the value of collaboration agreements, the remuneration or other form of payment that the University receives is added to the University's services in return
- memoranda of understanding and letters of intent, in cases where the intended agreements are to be signed by the head of department and in cases where the value of the future agreement is unknown
- licensing agreements (agreements where the University gives licensing rights/usage rights)
- agreements with collaboration partners on degree projects
- material transfer agreements
- confidentiality agreements
- agreements with employees
- applications that are not to be signed by the vice-chancellor or dean

The head of department may delegate the right to sign agreements to other officers. The delegation is to be in writing and indicate a specific officer. The written delegations are to be filed together, updated regularly and repealed when necessary.

### **The Board of MAX IV Laboratory**

The Board of MAX IV Laboratory signs for MAX IV all agreements of the types listed above with the exception of

- the following agreements that, pursuant to the regulations above, are to be signed by the vice-chancellor:
  - all agreements of the types listed above that cover multiple departments at more than one faculty (or equivalent)
  - memoranda of understanding and letters of intent, in cases where the intended agreements are to be signed by the vice-chancellor
  - agreements where the other party's terms are that the vice-chancellor is to sign
  - education agreements and applications that concern more than one faculty(or equivalent)
  - education agreements and applications that concern a joint programme leading to a joint degree
  - applications in cases where the call for proposals states that the vice-chancellor is to sign
- grant agreements of SEK 150 million or higher, which are to be signed by the vice-chancellor
- agreements on the overall funding of MAX IV Laboratory, which are to be signed by the vice-chancellor

The Board of MAX IV Laboratory may delegate the right to sign agreements to other officers. The delegation is to be in writing and indicate a specific officer. The written delegations are to be filed together, updated regularly and repealed when necessary. The vice-chancellor is to be continually informed of the delegations of the Board of MAX IV Laboratory.

### **Special conditions**

Special rules pursuant to separate decisions apply to the EU framework agreements and to agreements with the National Institutes of Health. In accordance with these special rules, the head of the relevant faculty office signs these agreements with the exception of agreements involving more than one faculty.

For the following agreements of this kind, there are specific administrative routines:

- EU Horizon 2020: Lund University's administrative rules for research projects within the European Commission's framework programme Horizon 2020 (2014–2020), reg. no STYR 2014/203
- EU Seventh Framework Programme: Handläggningsordning för forskningsprojekt inom EU:s sjunde ramprogram (Administrative procedure for research projects within the EU 7th Framework Programme), reg. no A 39 6932/2006