

1. Rules of Procedure at Karlstad University 2019-11-01

Approved by the University Board on 2 October 2019

1.1 Introduction

Karlstad University is a public authority under the government. The university's operations fall under national laws and regulations. The budget proposition and other parliamentary decisions on resource allocations and government appropriations constitute the financial framework of activities. The leading positions are also appointed by the government.

The foundational regulations that govern higher education institutions are set forth in the Education Act (1992:1434), HL, and the Higher Education Ordinance (1993:100), HF. There are also a number of special ordinances regulating certain areas or certain matters. In addition, HE institutions are under the obligation to apply extensive legislation pertaining to public authorities.

The state as accountable authority shall establish higher education institutions for the provisions of

1. courses and study programmes based on scholarship or artistic practice and on proven experience, and
2. research and artistic research as well as development work.

The mandate of higher education institutions shall include third stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings. (Ch. 1 sect. 2 HL).

The board of a higher education institution shall supervise all of its operations and assume responsibility for the fulfilment of its mandate. A vice-chancellor who is directly accountable to the board shall be appointed to manage the operations of each higher education institution (Ch. 2 sects. 2 and 3 HL).

This Rules of Procedure is based on current legislation and clarifies the overall organisation decided by the university board, its delegation of authority, handling of matters and the forms of operations and activities. Within the scope the university board's overall decision on the organisation, the vice-chancellor's rules of procedures and delegation of authority are specified as well as the authority delegated to other bodies and decision-makers on important issues.

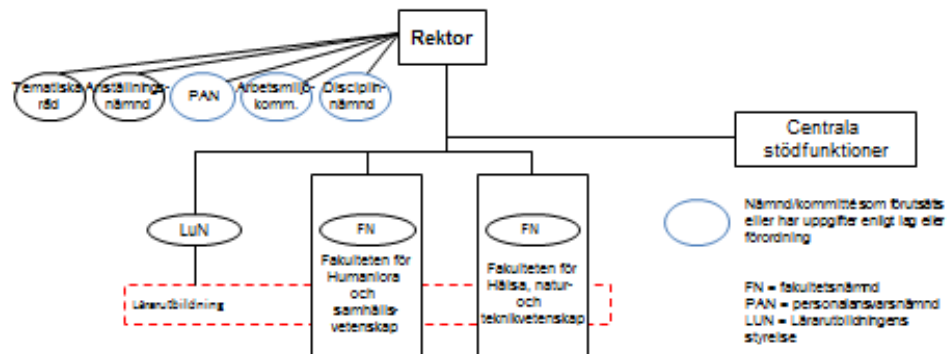
1.2 Overall organisation

The overall organisation is decided by the university board and is based on the organisation of education and research activities in two faculties. Each faculty has a faculty board and an administrative unit and a number of departments. Each faculty is headed by a dean, who is the chair of the faculty board. The vice chair acts as deputy dean.

Teacher Education at Karlstad University forms part of a matrix structure with a board for teacher education programmes. A dean heads the teacher education programmes and chairs the board. The vice chair acts as deputy dean.

Central support services provide strategic as well as operational support and services to the various units in the organisation. The university director heads central support services, which consist of

several units. The university library is part central support services and is headed by the library director (Revision implemented 2014-09-23).



1.2.1 University Board and the Vice-Chancellor

The university board is the highest body of authority. The board shall monitor all university operations and assume responsibility for the fulfilment of its mandate (Ch.2, sect 2 HL). The vice-chancellor has management responsibility and reports to the board. As a rule, the vice-chancellor decides on matters that are not in the board's area of responsibility. Vice-chancellor has the right to delegate tasks unless otherwise stipulated. Vice-chancellor has a deputy who substitutes when the vice-chancellor is not on duty.

1.3 Faculties

The university board has decided that the university's operational areas of providing education, research and third-stream activities shall be undertaken by two units called faculties.

The board has decided that the faculties shall have a uniform management structure, with the respective faculty board having the overall responsibility for faculty operations. Its chair, the dean, shall lead the board and act as the executive officer of the faculty.

Dean and the faculty board shall be supported by administrative staff, tasked to ensure uniform and correct exercise of public authority and efficient administration.

1.3.1 Departments

The university board has decided that each faculty shall be divided into units called departments. The head of department shall be called head.

1.3.2 Faculty administration

Directly under the dean, there shall be an administrative unit. The administration constitutes a common and unifying administrative resource for the whole faculty. This administration provides administrative support to the dean, faculty board, teachers and students. The faculty administration is led by an administrative head.

At each faculty office, there are also staff with organisational positions at central support service units.

1.4 *Board for Teacher Education*

Teacher Education at Karlstad University forms part of a matrix structure with a board for teacher education programmes. A dean heads the teacher education programmes and chairs the board. The vice chair is deputy dean. Administrative support is provided by an administrative office headed by an administrative head.

1.5 *Central support services*

The central services shall give administrative, drafting, and executive support to the board, vice chancellor and the faculty offices, thereby ensuring that procedures in the administration and exercise of authority at Karlstad University are uniform, conforming to law, and efficient.

The vice chancellor has decided on the organisation of the support services within the scope of the general decision of the university board.

The university director is head of the central support services and has responsibility for university management and the overall responsibility for common administrative procedures at the university.

1.5.1 *University library*

A university library shall make works from its own collections available to other higher education libraries without charge. (Ch. 2, sect. 16 HF). According to the university board's decision, the university library and the Ingesund School of Music are units under the university director. The library is headed by the library director.

1.6 *Centre and forum organisations*

Apart from the faculty departments, Karlstad University also includes two forms of organisation for internal and external cooperation on research and/or educational issues. These are called centre or forum organisations.

1.7 *Student influence*

Ch. 2 sect 7 of HL stipulates that students have the right to influence university education. Higher education institutions shall ensure that students take an active part in developing courses and programmes. Students are entitled to representation when decisions or preparations are made that have a bearing in their courses or programmes.

Students' insight into and influence on university activities shall be ensured through organised consultation. In consultation, studies and student situation shall be discussed in relation to the university's activities. The vice-chancellor is responsible for organising the consultation.

The basic principle is that students shall have influence and co-responsibility at all levels of the organisation and at a point in the process when real influence is possible to impact decisions. Students shall have the opportunity to representation in all preparatory and decision-making bodies and all boards, and councils, except for the staff disciplinary board.

Student associations which have been granted the status as student union have the right, in their areas of responsibility, to organise and nominate representatives to bodies where matters that have a bearing on students' situations are decided and prepared. If there is no student union, the university should organise direct or indirect elections of student representatives.

1.8 *University management: responsibilities and tasks*

The management of the university is exercised by the university board and its main executive, the vice-chancellor. For certain types of labour law issues, the board has established a staff disciplinary board and a disciplinary board for student matters.

1.8.1 **University Board**

The mandates and tasks of the university board and their executions are detailed in the policy document "Rules of Procedure for the University Board". The tasks of the university board are primarily stipulated in the Higher Education Act and the Higher Education Ordinance.

In addition, a board for a higher education institution shall have the responsibility and tasks specified under sect. 3 of the Government Agency Ordinance and Ch 2 sect. 8, ordinance on annual accounts and budgeting.

Chapter 2 sections 8, 10 and 15 of HF stipulate that the board also decides on the nominee for the position of vice-chancellor, appoints the vice-chancellor's deputy and decides on establishing a staff disciplinary board (Ch. 2 sect. 2 HF).

1.8.2 **Vice-Chancellor**

The vice-chancellor is responsible for operations under the board. Vice-chancellor is the executive and also a member of the board. It rests on the vice-chancellor as agency head to ensure that operations are conducted according to law and efficiently. The vice-chancellor shall be guided by the university's strategies and objectives and make operative decisions within the budget and organisational structure that university board has decided.

Other issues than those referred to in Ch. 2 sect. 2 HF shall, according to Ch. 2 sect. 3 HF be decided by the vice-chancellor unless

1. otherwise prescribed by law or ordinance, or
2. by the university board.

If, however, in this ordinance or elsewhere, it is provided that a certain duty is incumbent on the vice-chancellor, the governing body may not assume that duty (Ch. 2 sect. 3 HF). Vice-chancellor therefore has the authority to decide on all issues that are not for the university board, the disciplinary board or staff disciplinary board to decide, unless the university board has decided otherwise.

The vice-chancellor may delegate her/his tasks unless otherwise prescribed.

1.8.3 **Vice-chancellor's deputy**

The vice-chancellor shall have a deputy to act in her/his place when not on duty. The deputy replaces the vice-chancellor to the extent that the vice-chancellor decides. Vice-chancellor's deputy shall be appointed by the board. (Ch. 2 sect. 10 HF).

1.8.4 University director

The university director is the highest official, reporting to the vice-chancellor on legal, administrative and economic issues at the university, in a way regulated by the delegations and assignments that the vice-chancellor decides on. The vice-chancellor has appointed the university director to be head of the central support services.

The university director represents the university in her/his areas of responsibility.

1.9 Internal audit

The university has an internal audit section with the duty to review and propose improvements of the university's processes for risk management, governance, control and management. The internal audit section reports to the university board.

1.10 Staff disciplinary board

In accordance with Ch. 2 sect.15 HF, the university board has established a staff disciplinary board to decide on matters of dismissal on grounds of personal circumstances, on disciplinary responsibility, notification of legal action and suspension from appointment.

1.11 Disciplinary board

In accordance with Ch. 10 sect. 3 HF, there is a disciplinary board, handling matters of disciplinary measures against students who, for instance have used unauthorised aids in exams, disturbed teaching or have harassed another student or university staff.

1.12 Other boards, committees and groups

There are other boards, committees and groups at Karlstad University. The university board delegates to the vice-chancellor to establish and decommission the boards, committees and groups at Karlstad University according to needs.

1.13 Decision-making at Karlstad University

1.13.1 Decisions requiring research or artistic expertise

Decisions shall be made by individuals with research or artistic expertise if a decision requires assessment of

1. organisation, implementation, or quality of studies, or
2. organisation of or quality of research as well as artistic development projects.

If the decision to be made shall be made by a group, the majority of the group members shall have research or artistic qualifications. The university board may, however, decide that such a majority is not required if there special reasons(Ch. 2 sect. 6 HL).

In this context, an individual with research or artistic qualifications is a person holding a doctor's degree or other equivalent research or artistic qualifications.¹

The definition of research qualifications applies to election of members to the governing bodies in the university.

1.13.2 Handling matters and decisions

Provisions on handling matters are given in the administrative procedure law and sections 19-21 of the Government Agency Ordinance (2007:515). The HF also includes regulations on the handling of matters.

1.13.2.1 Processing

Matters are allocated to officers pursuant to the order of delegation by responsible body or official. Processing can, depending on the nature of the matter, be constituted by various measures, but shall always lead to a proposal for a final decision. Processing shall always meet the demands of objectivity and impartiality.

1.13.2.2 Consultation with student representatives

Ch. 2 sect. 7 HL regulates students' rights to representation when decisions are made or drafted. If a decision is to be made or drafted by one single individual, the student representative shall be notified and consulted with well in advance of the decision or the completion of the preparation.

If a decision shall be made by a group, pursuant to Ch. 2 sect. 6 , second paragraph HL, students have the right to be represented by at least three members. The number of student representatives in such a group may be fewer if there are special reasons considering the total number of group members.

Each higher education institution decides on the right to student representation regarding what is stated in the first paragraph above. (Ch. 2 sect.14 HF).

1.13.2.3 Union negotiations

Before decisions are made, the obligation to notify or inform employee union organisations pursuant to regulations in the Co-determination Act must be considered. When matters are concluded with a written decision, this must be noted and dated if information or negotiation in accordance with the co-determination act has taken place.

1.13.2.4 Presenting a matter

Pursuant to section 20 of the Government Agency Ordinance, a matter shall be presented before the decision is made. A public agency may decide, through rules of procedure or special decisions, that matters decided by another person than the head of the agency need not be presented. The head of the agency may make decisions on pressing matters that cannot be delayed till the time of presentation. The decisions of the university board shall be made after presentation pursuant to the Higher Education Ordinance. The dean shall make decisions after presentation unless otherwise provided by the vice-chancellor. This also applies to other decision-makers regarding matters drafted by other special officials. Presentation shall be in writing or, if not necessary, a

¹ Examples of equivalent research or artistic qualifications are a foreign doctorate, licentiate degree under previous ordinance and other research expertise without a doctorate, e.g. industrial research. See prop. 2009/10:149 p. 34 f.

matter can also be presented orally. If a matter cannot be delayed till the time of presentation, a decision can be made without presentation.

1.13.2.5 Disqualification

Regarding disqualification in university procedures, the provisions of section 16 Administrative Procedure Act (2017:900) apply. Disqualification means that there are special circumstances that may affect the trust in a person's ability to partake in a decision process without bias. Circumstances that may constitute disqualification shall be considered and reported voluntarily.

1.13.2.6 Dissenting opinion

When a decision is jointly made, a participant may make a reservation against the decision by having a dissenting opinion noted. A member who does not exercise this right shall be seen to have participated in the decision. Rapporteurs (presenters) and other officials who are involved in the final handling of a matter without taking part in the decision have the right to have dissenting opinions noted.

Dissenting opinions shall be recorded before the decision is dispatched or announced in another way. If the decision is not to be announced, notification of dissent shall be made at the latest when the minutes are adjusted or in equivalent order (section 30 of administrative procedure act). Dissenting opinion should be announced and noted already at the meeting where the decision in question is taken.

1.13.2.7 Documentation

For each decision on a matter, a document shall state

1. date of decision,
2. content of decision,
3. who made the decision,
4. who presented the matter, and
5. who has been involved in the final handling without partaking in the decision (section 21 of Government Agency Ordinance).

A decision through which the agency concludes a matter shall, pursuant to section 32 of the Administrative Procedure Act, state the reasons for the decision, if the matter involves exercise of authority against a person. The reasons may be excluded wholly or in parts if the decision pertains to appointment, admission to voluntary study programme, or to grading in education (Ch. 1 section 4 a HF).

1.13.2.8 Registration and dispatch

Issued decisions and other conclusive decisions are official documents, which shall be registered or archived in an orderly fashion. Decisions shall also be distributed for the information of the organisational units that are directly or indirectly affected, or otherwise interested in the decision made.

Every organisational unit is responsible for ensuring that information of decisions are shared within the unit.

1.13.3 Delegation

1.13.3.1 General principles

Delegation of authority shall be well defined and clear. Delegation shall be given to ensure that matters are effectively and competently treated. The requirement that certain types of decision are made by persons with research or artistic expertise shall be observed. Responsibility and authority shall be matched.

A person delegated authority to decide shall not exercise that authority if the decision involves a principle, precedence, or is of general importance and should therefore be made by the person delegating.

1.13.3.2 Delegating

Delegation can involve a group of matters or an individual matter, and can be given to a body or to an individual employee. A decision on delegation shall be in writing. Delegated authority can be further delegated unless otherwise provided in ordinance or in the delegation decision. The delegation decision shall clearly state who is delegating, to whom it is delegated, what is delegated and the duration of the delegation.

Delegations can be revoked or redelegated by the person who has given it. The revocation can be general for a group of matters or pertain to a certain matter. The recipient of a delegation can also, when justified, refer the matter to the person giving the delegation.