

Instructions for delegating roles and tasks in a department or equivalent

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NOTE: This is a translation of the Swedish version (*Delegationer vid institution eller motsvarande*). In the event of any discrepancy between the versions, the Swedish version and wording will apply.



**Karolinska
Institutet**



Delegating roles and tasks in a department or equivalent

Annex to the President's decision-making procedures and delegation rules

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1. Introduction

The President's decision-making procedures and delegation rules regulate, amongst other provisions, that the Heads of department are responsible for all departmental activities at Karolinska Institutet (KI). In order to assist the departments and other operational units in their efforts concerning the work environment, environment and sustainable development, and security/safety; tasks relating to these areas may be delegated. Certain functions must be in place in all KI entities including the departments, the Central Administration, and the university library, among others. Other roles are linked to particular/specific areas and entities (*e.g.* laboratory environments) and are therefore relevant to KI's core operations rather than its support roles and administration. This document contains instructions for departments or the equivalent on the establishment of:

- organisational plans with decision-making procedures and delegation rules,
- delegation of decision-making and authorisation rights,
- delegation and retracting work assignments.

Role descriptions, templates and forms can be found in a separate appendix to this document.

In this document, *Head of department* shall be read to mean *Head of department or the equivalent*, and *department* to mean *department or the equivalent*.

Unless otherwise delegated, the Head of department is responsible for the tasks included in his/her role description.

The instructions provided herein are based on relevant statutes or KI's internal steering documents. Laws, regulations, and provisions are binding and describe in more or less detail the prevailing requirements relating to a certain area or issue. Instructions describe a particular method of or recommendations for handling a specific case, performing an activity, or completing a process. In certain cases, there are requirements in place for documented procedures, such as management systems or ISO standards.

2. Instructions for organisational plans with decision-making principles and delegation rules

The document to be drawn up at each department shall indicate the name of the organisational unit (with any needed clarifications) defining and delimiting responsibilities, authorisation, and delegations.

The department's overall organisation shall be described along with specific tasks that apply to individual departmental officials and their associated decision-making powers.

The Head of department shall, unless circumstances dictate otherwise, designate co-workers to coordinate or perform certain tasks (*e.g.* for particular risk areas in laboratories) that adhere to the departmental activities. Requirements vary according to the nature of the activity and the law under which it operates. Examples of such roles and tasks can be found in sections 3, 4 and 5.

Other formal assignments can be regulated depending on legal requirements, the specific activities within a department, internal organisation, and delegation of decision-making and authorisation rights (e.g. permission to receive and handle pharmaceuticals).

2.1 Basic principles

The President's decision-making procedures and delegation rules are based on the principle of a far-reaching delegation in which decisions are taken as close as possible to the activity in question.

The point of departure is that the delegated responsibility applies within one department (often to one person). When necessary, a person may have a delegated task for more than one department (for instance if they share the same premises). It may also be suitable to delegate a task to several persons (if, for instance, a department is geographically dispersed). In many cases, there are restrictions regarding the delegation to a person employed by an organisational unit other than the delegator's unit. This must be reviewed for each role against the prevailing legal provisions and KI's internal steering documents. Delegation to other organisation and unclear cases must be reviewed together with the Legal Office at KI.

A delegation plan covering all assignments and delegations should be in place in the event the assigned person is absent. For some roles, such as Head of department, there shall be at least one deputy. As a rule, delegated authority reverts to the delegator in the event that the delegatee is not on duty or otherwise prevented from accepting it (e.g. if there is a conflict of interest).

A generic template shall be used for the delegation of tasks that do not have a specific role description with accompanying template.¹

Decisions concerning delegation of tasks shall be made following a presentation, if this is specifically prescribed.

Students are entitled to be represented both centrally and departmentally when decisions that impact their education or situation are made or prepared. Chapter 2 of the Higher Education Ordinance (1992:1434) states that if decisions or preparations shall be made by one single individual, information is to be given to and consultation shall take place with a student representative in good time before the decision is made or preparations concluded. (More about student representation can be found in "Instructions for student influence at Karolinska Institutet").

2.2 Delegation of work assignments

In accordance with the President's decision-making procedures and delegation rules, the president delegates tasks to the Heads of department. A Head of department may delegate the responsibility for a task within his/her department if there is a need to do so, that there are no other constraints and that the delegatee:

- has the necessary competence,

¹ Does not apply to roles/tasks pertaining to that of examiner at first and second-cycle level.

- has the authority and resources required to handle the tasks,
- represents the employer in his/her role.

Authority refers to the right to make decisions and take action. Resources refers not only to financial means, but also access to staff, equipment, premises, etc. and the time to complete the tasks.

The delegator is responsible for ensuring that the delegatee has understood the implications of his/her delegated task and that the above three points are met. The person who delegates a task is still responsible for regularly ensuring that the work is being done effectively and in compliance with the delegation and the rules and regulations pertaining to it.

Tasks shall be delegated at a meeting between the people concerned in order to clarify the practical implications of the delegation, including current strategies and goals. This meeting should also clarify the knowledge, authorisations, procedures, and resources required to carry out the tasks as well as the possibility to retract the delegation.

Decisions on the delegation of tasks or the retraction thereof shall be documented and signed using the relevant form. The decision shall be registered, and the corresponding information made available within the department.

2.3 Delegation of decision-making authority and right to authorise payments

Decision-making authority can be accompanied by the right to allocate funds for the area of responsibility in question. Unless otherwise stated, decision-making authority and the authorisation to approve payments may be delegated to officials holding the position of unit manager, group leader or similar.

The delegatee is required to ensure that the costs do not exceed the specified budget or other contractual conditions, and that cost allocation is done and documented correctly in accordance with accounting or tax rules.

The steering documents regulating the right to authorise funds, will in accordance with the UBW manual, state the amounts that apply to each level of authorisation.

Costs tied to an individual shall always be authorised by his/her immediate manager or an official so delegated by the president.

Decisions on the delegation of decision-making authority and the accompanying authorisation rights shall be documented and signed, with the signatory's name and organisational unit printed clearly underneath (see appended templates). The decisions shall be registered.

Decisions shall be registered, and the corresponding information made available within the department for review (*e.g.* auditing).

Each authorised person in KI's digital invoice management system shall have a deputy in the event of his/her absence.

3. Delegation to management

For further guidance on organisational elements and role descriptions, see Tools and support/Steering documents on the staff portal. A generic template is used for each of the following delegates.

3.1 Head of department

The Head of department's responsibilities and decision-making authority are regulated in the President's decision-making procedures and delegation rules. Save for exceptional reasons, the Head of department shall delegate tasks and decision-making rights to officials (roles) in the list below, unless the President's decision-making procedures and delegation rules state otherwise. Tasks delegated to a Head of department and not further delegated to other departmental officials rest with the Head of department.

The Head of department has overall responsibility for ensuring that the decision-making process at his/her department complies with the prevailing legal provisions or KI's internal steering documents.

3.2 Deputy head of department

The Deputy head of department stands in for the Head of department when he/she is not on duty or is otherwise prevented, with the same decision-making authority as the Head of department and can be tasked by the Head of department with special areas of responsibility. KI's core-activity departments shall have at least one Deputy head of department.

3.3 Assistant head of department

The Assistant head(s) of department may be tasked by the Head of department with special areas of responsibility. KI's core-activity departments may have several Assistant heads of department.

3.4 Administrative manager

The Administrative manager has overall responsibility and decision-making authority under the Head of department for his/her department's administrative activities. An Administrative manager thus has right to issue directives to departmental staff and can be tasked by the Head of department with special areas of responsibility.

3.5 Department manager, unit manager or the equivalent

The position of department manager, unit manager or the equivalent entails general responsibility and decision-making authority for the department/unit/equivalent in question and can be tasked with special areas of responsibility by their manager.

4. Delegating tasks concerning the work environment, environment, and safety/security

For further guidance on organisational elements and role descriptions, see Tools and support/Steering documents on the staff portal.

Below is a summary of the tasks and role descriptions for which there are separate annexes with complementary descriptions and specific delegation templates.

4.1 Delegating work environment tasks

Each Head of department, regardless of department, is required to take a systematic approach to the management of his/her work environment. This includes informing staff about work environment rules, inspecting working conditions, assessing risks, implementing measures, and following up/evaluating outcomes. Work environment tasks for Heads of department are defined as per the annex.

Heads of department may distribute the practical execution of work environment tasks to subordinate managers and other colleagues. It must be made clear whether the delegatee also has responsibility for the students' work environment within the department. The delegatee is duty-bound to perform the tasks. If it is not possible to resolve a work environment issue, the matter should be discussed, and an opportunity made available for the task to revert to the primary delegating manager.

At departments with laboratory activities, the Head of department shall appoint a special proxy (see below) and, when necessary, distribute other work environment tasks (e.g. to a lab manager) to ensure good laboratory conditions.

The identity of the person who is to take over work environment tasks in the event of the manager's (or equivalent's) absence shall be clarified and documented. This applies to periods of holiday, leaves of absence, longer periods of official travel, sick leave, etc. A basic principle is that responsibility for work environment tasks reverts to the manager or is transferred to whomever is acting manager (or the equivalent).

4.2 Biosafety representative

To ensure that biological agents and genetically modified microorganisms are handled correctly and in a way that minimises the risk of illness and accident, the head of each department hosting work involving biological agents, genetically modified microorganisms/cell cultures shall appoint at least one biosafety representative. The biosafety representative serves as the point of contact and the link between the department and KI's central biosafety coordinator. All other tasks are described in the appended role descriptions.

4.3 Fire safety supervisor

The fire safety supervisor coordinates departmental fire safety activities in collaboration with KI's central safety coordinator – fire safety, the department's fire safety monitor and, where relevant, the supervisor/acting supervisor of flammable goods at the department. Tasks involve, among other things, ensuring that the department's staff receive the required fire safety training, monitoring, and following up that the departmental fire safety inspections are conducted in accordance with KI's guidelines, and participating in official fire safety inspections at the department. All other tasks are

given in the appended role descriptions. This position must be held by a Swedish speaker.

4.3.1 Fire safety monitor

There shall be a fire safety monitor in all locations in which the department has operations to ensure compliance with KI's fire safety rules, regulations, guidelines, and instructions. The inspector liaises with the departmental head of fire safety. Tasks include, among other things, introducing new staff and students to the local fire safety procedures and conducting fire safety inspections in accordance with KI's guidelines. All other tasks are described in the appended role descriptions.

4.4 Supervisor/acting supervisor for flammable goods

The supervisor of flammable goods or his/her deputy (acting supervisor) has a legal responsibility for ensuring that the department's flammable goods are handled with due diligence in accordance with all applicable laws and regulations and in compliance with the relevant steering documents at KI. The supervisor of flammable goods liaises with KI's central coordinator for flammable goods and the departmental flammable goods monitor. The supervisor of flammable goods is responsible, among other things, for ensuring that procedures are in place for the safe handling of flammable and explosive goods, that staff and students receive required information and training, that deficiencies in the handling of flammable goods are reported to the head of the department and remedied, and for participating in official inspections and risk investigations. All other tasks are described in the appended role descriptions. The supervisor of flammable goods and the acting supervisor must have attended KI's introductory course for supervisors of flammable goods and shall retake the course at least every five years. This position must be held by a Swedish speaker.

4.4.1 Flammable goods monitor

There shall be a monitor of flammable goods in all locations in which the department has operations to ensure compliance with KI's steering documents for flammable goods. The inspector liaises with the departmental monitor of flammable goods. Tasks include, among other things, introducing new staff and students to the local handling and storage procedures and ensuring that flammable goods are handled and stored correctly and safely. Deficiencies shall be reported to the department's supervisor of flammable goods. All other tasks are described in the appended role descriptions.

4.5 Information security representative

The role of departmental information security representative includes liaising with KI's central information security coordinator and supporting the department's staff in its data security work. The representative is appointed by the Head of department. Tasks include, among other things, protecting data confidentiality, accuracy, and accessibility in all forms: oral, digital and printed. All other tasks are described in the appended role descriptions.

4.6 Chemicals representative

The chemicals representative is the contact person between the department and KI's central chemical safety coordinator. Tasks include the local administration of the chemicals database (KLARA or the equivalent). The representative is appointed by the Head of department. All other tasks are described in the appended role descriptions.

4.6.1 Chemicals inventory-taker

Research groups/units that handle chemical products shall have at least one chemicals inventory-taker tasked with maintaining the group's/unit's chemicals register and liaising with the department's chemicals representative and his/her/their own group/unit. The chemicals inventory-taker is appointed by the research group leader/unit manager. All other tasks are described in the appended role descriptions.

4.7 Environment and sustainability representative

The role of the environment and sustainability representative includes coordinating and driving the department's work with issues related to the environment and sustainable development and liaising with the department and KI's central environment coordinator². The representative is appointed by the head of department. All other tasks are described in the appended role descriptions.

4.8 Radiation safety representative

Every department that works with ionising radiation shall have a radiation protection representative. Tasks include, among others, establishing and communicating local workplace rules and instructions, updating workplace rules and local procedures, compiling annual lists of purchases and quantities used, taking part in the drafting of educational plans, handling personal dosimeters and reports, and liaising between the department and the radiation protection expert. The representative is appointed by the Head of department. All other tasks are described in the appended role descriptions.

4.8.1 Radiation safety assistant

Every laboratory that uses radioactive matter shall have an assistant radiation protection representative tasked with such matters as handling access to premises, managing laboratory logbooks and reporting departures from laboratory procedures, among others. The assistant radiation protection representative is appointed by the research group leader or other head of operations. All other tasks are described in the appended role descriptions.

4.9 Animal facility representative or other role regulated by law

The responsibilities assigned to this role as defined by law or ordinance are briefly described in separate steering documents; any additional areas of responsibility within specific departments are also described therein, as necessary.

4.10 Export control representative

The responsibility includes ensuring compliance with applicable legislation regarding export control, in accordance with the "Guidelines for export control of dual-use items", for departments with activities affected by export control regulations.

5. Delegating core activity tasks

Core activities comprise research as well as first, second and third-cycle education. For further guidance on organisational elements and role descriptions, see Tools and

² ISO certificated operational units also often have a separate local environmental coordinator.

support/Steering documents on the staff portal. A generic template is used for each of the following delegates.

5.1 Education committee

A department's education committee has overall responsibility for the implementation and coordination of its first and second-cycle educational activities. Information on responsibilities and decisions within the purview of courses and programmes can be found in the current steering documents on course and programme responsibility for first and second-cycle education.

The following decisions shall be delegated to the education committee:

- The establishment and revision of syllabi for programme courses for which the department has programme responsibility; freestanding courses; executive and professional education; and elective courses within programmes. Decisions on the establishment of syllabi may not be delegated from the board. Decisions on syllabi revisions can be delegated within the board's own organisation although not to a course-coordinating teacher or examiner.
- Proposals of syllabi for programme courses for which another department or the Committee for Higher Education (KU) has programme responsibility. Decisions may not be delegated from the board.
- Departmental regulations, guidelines, and instructions for first and second-cycle education, which must align with centrally decided steering documents.

The following decisions shall be delegated to the education committee at departments with programme responsibility:

- Proposals for programme syllabi. May not be delegated from the board.
- General and specific programme regulations, guidelines and instructions that are not provided in centrally decided steering documents. May not be delegated from the board.
- Excess intake onto programmes after consultation with the Central Administration's education support office.
- Distribution of the resources allocated by KU to each programme.

5.2 Doctoral committee

Each department shall have a doctoral education committee. The board's principal task is to judge scientific projects during the establishment of doctoral positions, but it may also have additional responsibilities. The role of the board is described in the current steering documents for doctoral education at KI.

5.3 Departmental director of education (GUA)

The GUA is delegated by the head of department to have overall responsibility and decision-making authority for matters related to first and second-cycle education. The GUA chairs the department's education committee and is therefore responsible for the quality of the department's educational activities and their connection to research. The position is described in the current steering documents on course and programme responsibility for first and second-cycle education.

5.4 Programme director (PD)

The PD is appointed by the programme-coordinating organisation (department or KU) and has overall responsibility for day-to-day activities at first and second-cycle programme level, including for the quality and coordination of the constituent courses. The position is described in the current steering documents on course and programme responsibility for first and second-cycle education.

5.5 Director of doctoral studies

Each department appoints one or more directors of doctoral studies to serve as a support for doctoral students and supervisors and to help ensure that the department provides high quality doctoral education and complies with the current doctoral education steering documents. The following decisions shall be delegated to the director of doctoral studies: the establishment of individual study plans for doctoral students and doctoral education credits. The position is described in the current steering documents for the director of doctoral studies.

5.6 Course director

A course director shall be appointed for each first and second-cycle course for which the department has responsibility. The position may be held by an examiner or other suitable teacher. The position is described in the current steering documents on course and programme responsibility for first and second-cycle education.

5.7 Course examiner

The Higher Education Ordinance defines an examiner as a teacher specifically appointed to grade courses. Examiners are appointed by the relevant head of department. The decision to appoint an examiner for first and second-cycle courses may only be delegated to the GUA. The decision to appoint an examiner for doctoral courses may be delegated to whomever the prefect(s) deem(s) appropriate. The examiner shall be appointed for a fixed term (*e.g.* one year). Decisions on the appointment of a new examiner supersede previous decisions. The role of examiner may not be delegated.

The requirements of examiner for first and second-cycle courses are described in the current steering documents on course and programme responsibility for first and second-cycle education.

The requirements of examiner for doctoral courses are described in the current steering documents for doctoral education.

5.8 Research group leader or the equivalent

Research group leaders are appointed by the Head of department. The role of research group leader or the equivalent can entail overall responsibility and decision-making authority for the activities of the leader's own group. The Head of department decides on the details of the role within the department, bearing in mind local needs and conditions. It must be possible to discontinue the role prematurely when the conditions required for group leadership no longer exist.

The role of research group leader is briefly described in the instructions for research group leaders.

Annex list –Role descriptions with delegation form

The annexes are available as separate documents, determined by the University Director or on his/her delegation. See also referrals to documents and websites.

- Generic delegation form (unnumbered)
- 4.1 Delegation (allocation) of work environment tasks
- 4.2 Biosafety representative
- 4.3 Fire safety supervisor
 - 4.3.1 Fire safety monitor
- 4.4 Supervisor for flammable goods
 - 4.4.1 Flammable goods monitor
- 4.5 Information security representative
- 4.6 Chemicals representative
 - 4.6.1 Chemicals inventory-taker
- 4.7 Environment and sustainability representative
- 4.8 Radiation safety representative
 - 4.8.1 Radiation safety assistant
- 4.10 Export control representative