

## TEMPLATE 1 – GAP ANALYSIS

Name Organisation under review:	<b>UPPSALA UNIVERSITY, Uppsala, Sweden</b>
Organisation's contact persons:	Anna Ledin, Planning Division, Uppsala University ( <a href="mailto:anna.ledin@uadm.uu.se">anna.ledin@uadm.uu.se</a> )

SUBMISSION DATE: MAY 22<sup>ND</sup>, 2018

DATE ENDORSEMENT CHARTER AND CODE: DECEMBER 12<sup>TH</sup>, 2017

### PROCESS

The HRS4R process was initiated through a decision taken by the Vice-Chancellor, assigning Professor Mats Larhed as project manager. In the decision, the Vice-Chancellor included the establishment of a Working Group with one representative from the Vice-Chancellor's Office and two participants from the Human Resources Division plus administrative support. Further, the Vice-Chancellor appointed a Reference Committee involving 1) a representative community of researchers from different research areas ranging from R1 to R4, 2) the Adviser to the Vice-Chancellor for Equal Opportunities, and 3) three administrative officers from the Faculty Offices.

The Vice-Chancellor is the project owner.

The work on the GAP analysis was conducted by the Working Group through a series of two-hour meetings (2017: 5/9, 14/9, 22/9, 2/10, 16/10, 24/10, 31/10, 9/11, 30/11, 18/12. 2018: 11/1, 22/1, 6/2, 12/3), consultations with the Reference Committee (2017: 2/10, 6/11. 2018: 5/2), meeting with Vice-Chancellor of Uppsala University (21/11-17) and discussion with Deans and The University Management (1/3-18), with the Heads of Administration (9/3-18), discussions with the Uppsala University PostDoc Association (12/3-18) and meeting with the union representatives (28/9-17 and 1/3-18).

#### Members of the Working Group:

Malin Ardre, *Project Coordinator at Division for Contract Education*

Cecilia Arnqvist, *HR-specialist at Human Resources Division*

Oskar Fahlén Godö, *Analyst at Faculty Offices, Office for Medicine and Pharmacy*

Mats Larhed, *Project Manager Charter and Code, Deputy Vice-President Medicine and Pharmacy*

Anna Ledin, *Senior Advisor at Planning Division*

Kristina Lundgren, *Project coordinator at Division for Contract Education*

Simon Lundin, *HR-generalist at Human Resources Division*

Anders Waxell, *Project manager at the Division for Quality Enhancement, Quality and Evaluation*

Members of the Reference Committee:

Elin Bjarnegård, *Senior Lecturer at Department of Government*  
Eva Borgert, *Faculty Officer at Faculty Offices, Office for Science and Technology*  
Marika Edoff, *Professor at Department of Engineering Sciences*  
Mikaela Eriksson, *PhD student at Department of Pharmaceutical Biosciences*  
Andrea Hinas, *Researcher at Department of Cell and Molecular Biology, administrator Junior Faculty*  
Anna T. Höglund, *Adviser to the Vice-Chancellor for Equal Opportunities, Senior Lecturer at Department of Public Health and Caring Sciences*  
Ingela Johansson, *Faculty Officer at Faculty Offices, Office for Humanities and Social Sciences*  
Fotis Papadopoulos, *Senior Lecturer at Department of Neuroscience*  
Anna Rosling, *Senior Lecturer at Department of Ecology and Genetics*  
Britt Sjöstedt, *Faculty Officer at Faculty Offices, Office for Medicine and Pharmacy*  
Eva Tiensuu Janson, *Professor at Department of Medical Sciences*  
Maria Ågren, *Professor at Department of History*

## **GAP ANALYSIS**

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.



European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview			
Status: to what extent does this organisation meet the following principles?	+ = <b>fully</b> implemented +/- = <b>almost but not fully</b> implemented -/+ = <b>partially</b> implemented - = <b>insufficiently</b> implemented	In case of -, -/+, or +/-, please <b>indicate the actual “gap”</b> between the principle and the current practice in your organisation. If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives already undertaken and/or suggestions for improvement
Ethical and Professional Aspects			
1. Research freedom	+	<b>Relevant legislation</b> The Higher Education Act, Chapter 1, Section 6: The following general principles shall apply to research: <ol style="list-style-type: none"> <li>1. research issues may be freely selected,</li> <li>2. research methodologies may be freely developed, and</li> <li>3. research results may be freely published.</li> </ol> Freedom of Speech Act ( <a href="#">1991:1469</a> ) The purpose of freedom of expression under this Fundamental Law is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation. Freedom of Press Act ( <a href="#">1949:105</a> )  Act ( <a href="#">1976:580</a> ) on Co-Determination in the Workplace – the law	



		<p>describes employee rights to information about the workplace.</p> <p><b>Organisational regulation</b></p> <p>In <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> it is stated that the mission of the University “is to gain and disseminate knowledge for the benefit of humankind and for a better world” (page 3). Uppsala University (UU) “stands behind the search for knowledge in order to contribute to human knowledge and global development” (page 4).</p> <p>UU has formulated strategies, which we believe will create good conditions for quality and renewal, in <a href="#">Uppsala University Research Strategies 2016–2020 (UFV 2016/117)</a>. In the document, four major factors for success for a broad research university are identified, and the first of those are that “Researchers personally define the content of their research on the basis of current scholarly and social challenges. New perspectives are identified to address the most interesting and challenging questions in the field.” (page 4)</p>	
2. Ethical principles	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Act (2003:460) concerning the Ethics Review of Research Involving Humans.</a></p> <p><b>Please note: proposal in progress!</b> <sup>1</sup></p> <p><a href="#">Animal Welfare Act (SFS 1988:534).</a></p>	

<sup>1</sup> Departementsserien 2016:12

A memorandum ([Ds 2016:12](#)) is in progress (September 2016), containing not yet decided proposals aimed at adapting Swedish law regarding the ethical review of research involving humans to the EU ordinance (EU no 536/2014) on clinical trials on medicinal products. If the proposal is accepted and legislated the regulation becomes directly applicable in Sweden.



		<p><b>The Swedish Research Council</b> (Sw. Vetenskapsrådet, VR) is an agency within the Ministry of Education and Research. It has a leading role in financing and thereby developing Swedish research of the highest scientific quality and ensuring legal and ethical obligations, thereby contributing to the development of society including Uppsala University. For further information regarding good research practice: <a href="https://publikationer.vr.se/produkt/good-research-practice/">https://publikationer.vr.se/produkt/good-research-practice/</a></p> <p>In the beginning of 2004, independent authorities of ethical vetting were established; The Central Ethical Review Board and six regional boards. The authorities are under supervision of the Parliamentary Ombudsman and the Chancellor of Justice, and ensure the supervision of compliance with the Ethical Review Act and the regulations issued under the Act.</p> <p><a href="http://www.epn.se/en/start/">http://www.epn.se/en/start/</a></p> <p><a href="http://codex.vr.se/omcodex.shtml">http://codex.vr.se/omcodex.shtml</a></p> <p><a href="#">Declaration of Helsinki</a> – Ethical principles for medical research involving human subjects. <a href="#">Ethical principles</a> - according to Swedish legislation.</p> <p><b>Organisational regulation</b> UU notes in <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> that the university's "activities are characterized by equal opportunities.</p>	
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		<p>Basic principles of gender equality and equal value of all people are applied so staff and students are supported and encouraged to develop their capability to the full” (page 3). It is stated unequivocally that the “application of sound research practices and ethical research principles is an absolute prerequisite and will be secured through continual educational and informational efforts” (page 4). Doctoral education will maintain the highest standards, and “research ethics and sound research practice will be continuously stressed” (page 8).</p> <p>UU has also recently enacted new <a href="#">Guidelines on the procedure for handling alleged misconduct in research (UFV 2016/1079)</a>, to ensure that suspected misconduct will be handled in a uniform and legally certain manner.</p> <p>As of 1<sup>st</sup> of February 2018 an Advisor to the Vice-Chancellor on Good Research Practice has been appointed at Uppsala University.</p>	
3. Professional responsibility	+	<p><b>Relevant legislation</b> <a href="#">The Swedish Higher Education Act 1992:1434, § 3a</a></p> <p>In the course of their operations, higher education institutions shall uphold academic credibility and good research practice Last amended (2000:1370).</p> <p><b>Organisational regulation</b> In the <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a>, it is noted “Staff will be encouraged to use their professional competence not only for their own part of the organization’s activities but also for the University in general” (page 9).</p>	



		<p>Professional responsibility is considered a key to high quality performance, and is facilitated through skill development and courses in supervision. In <a href="#">Uppsala University Research Strategies 2016–2020 (UFV 2016/117)</a> it is noted that “Skills development programmes facilitate new career steps. Management training is obligatory for heads of department, as are courses in university teaching for teachers and courses in supervision for PhD supervisors. Skills development for senior academic managers is arranged in cooperation with international partner institutions” (page 7). It is also considered an overarching goal for doctoral education at UU, that the “newly graduated doctor or licentiate will have good qualifications for a successful career in academia or elsewhere. Among other things, this entails:</p> <ul style="list-style-type: none"><li>- a good subject knowledge of a research field,</li><li>- a capacity for independent and critical thinking,</li><li>- skills in scientific methods and modes of working,</li><li>- an ability to identify interesting and researchable problems,</li><li>- teaching skills and an ability to express oneself in speech and writing,</li><li>- a capacity to work in an international context, and</li><li>- a good ability to understand and deal with ethical issues in research”</li></ul> <p>(<a href="#">Guidelines for Third-cycle Education at Uppsala University (UFV 2009/1993)</a>) (page 3-4).</p>	
4. Professional attitude	+	<p><b>Relevant legislation</b></p> <p>The professional attitude is unambiguously linked to the professional responsibility and the contractual and legal obligations to which each researcher must adhere.</p>	



		<p>The Swedish legislation embraces ethical aspects in a number of laws and regulations, referred to in this document under each paragraph, and thus set the frames for each researcher's personal accountability. Examples are:</p> <p><a href="#">Act (2003:460) concerning the Ethics review of research involving humans</a></p> <p><a href="#">Privacy Act (1998: 204)</a> Note that the Privacy Act will be replaced by the <a href="#">General Data Protection Regulation</a>, as of 25<sup>th</sup> of May 2018.</p> <p><a href="#">Patient Data Act (2008:355)</a></p> <p><a href="#">Medicines Act (2015:315)</a></p> <p><a href="#">The Act (2002 : 297) on biobanks in the health service</a></p> <p><a href="#">The Swedish Radiation Safety Authority's Regulations on General Obligations in Medical and Dental Practices using Ionising Radiation. (SSMFS 2008:35)</a></p> <p><b>Organisational regulation</b></p> <p>Please see point 3 on regulation and furtherance of professional responsibility. Professional attitudes are ensured at UU by “systematic quality assessment and development, with collegial reviews and international comparisons”. Staff and students alike are “given incentives to undertake governance and management duties, to stand for elected office, and to increase their competence through education and training</p>	
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		<p>in cooperation and leadership” (<a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> page 9). To further increase participation in EU projects and consortia, “project coordinators [EU coordinators, support staff] with a good knowledge of the EU have been recruited to support researchers involved and contribute to closer dialogue with decision-makers and partners” (<a href="#">Uppsala University Research Strategies 2016–2020 (UFV 2016/117)</a> page 7).</p> <p>See also point 28.</p>	
5. Contractual and legal obligations	+	<p><b>Relevant legislation</b></p> <p><a href="#">Act (1960 : 729) on Copyright in Literary and Artistic Works</a></p> <p><a href="#">The Patent Act (1967:837),</a></p> <p><a href="#">Act ( 1949: 345) on the Right to Employee Inventions</a></p> <p><a href="#">Design protection Act ( 1970: 485)</a></p> <p><a href="#">The Trademark Act (2010:1877</a></p> <p><a href="#">The Trade Names Act (1974:156)</a></p> <p><a href="#">Act ( 1992: 1685 ) on the protection of topographies of semiconductor products</a></p> <p><a href="#">The Plant Breeders' Rights Act (1997:306)</a></p> <p><a href="#">The Names Act (1982:670)</a></p>	



		<p><a href="#">The Swedish Higher Education Act (1992: 1434), Chapter 1 § 6</a></p> <p><b>Organisational regulation</b> Agreements between UU and third parties are to involve clauses on how to manage intellectual property rights. Guidelines and templates for research agreements are published on UU:s internal web, accessible by all academic staff. The Legal Affairs Division of the University Administration gives support on legal questions, and provides a checklist for research contracts.</p>	
6. Accountability	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Swedish Higher Education Act 1992:1434, § 4</a></p> <p>'The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and in research.</p> <p>The principle of public access to official records - is expressed in different ways in the Swedish Basic Law, for example through the right to freedom of expression, freedom of information for officials and the public documents publicity. Governmental agreements and responsibility as a governmental employee.</p> <p><a href="#">The Public Employment Act (1994:260)</a></p> <p>Research contracts with foundations, research councils, EU etc. For more information see Swedish Research Council on <a href="#">Open Access</a>.</p> <p><b>Organisational regulation</b></p>	



		<p>It is stated in <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> that “all research will be thoroughly scrutinized in order to strengthen quality and add new aspects. Research results will be published via the most prominent channels in the respective subject areas” (page 4). It is also stated that “research results will be made available in open access channels, wherever possible” (page 4).</p> <p>UU works continuously and systematically with quality improvement, in accordance with the <a href="#">Programme for Quality Work at Uppsala University (UFV 2008/556)</a>, in which it is stated that besides “internal academic values and quality demands, quality work must also satisfy external demands for accountancy presented by the government and other stakeholders” (page 5).</p> <p>Support programs and staff are available from Uppsala University. Support programs in Economy, relevant legal regulations and Human Resources.</p>	
7. Good practice in research	+/-	<p><b>Relevant legislation</b></p> <p><a href="#">Work Environment Act (1977:1160)</a></p> <p>Comprise general provisions regarding work environment. A fundamental principle is that work should be adapted to the physical and psychological situation of the employee. The Act also regulates co-operation between employer and employees.</p> <p><a href="#">The Personal Data Act (1998:204)</a></p> <p><a href="#">Archives Act (1990:782)</a></p>	UU has a wide range of programmes, action plans and guidelines concerning safe working practices, to be fully accessible relevant documents need to be translated into English.



		<p><a href="#">Public Access to Information and Secrecy Act (2009:400)</a></p> <p><b>Organisational regulation</b> It is stated in <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> that “active efforts will be made within the entire University to create and maintain good working conditions, competitive terms, a good work environment, and equality and equal opportunities for staff and students” (page 9).</p> <p>UU labors strategically and systematically with questions regarding safe working practices, and has established a wide range of programmes, action plans and guidelines concerning crisis organization, fire safety, personal safety, IT security etc. Only a few of these are translated into English, though.</p>	
8. Dissemination, exploitation of results	+	<p><b>Relevant legislation</b> <a href="#">The Swedish Higher Education Act (1992:1434)</a> <a href="#">Ch 1, 2 and 3§§</a></p> <p>'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.'</p> <p><b>Organisational regulation</b> In <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> it is noted that “collaboration will be developed in partnership with external partners by formulating challenges and implementing joint projects and</p>	



		<p>educational elements” (page 10). The university is working systematically to strengthen the ability of the academic staff to convey ideas and research results to the wider society, and “support for collaboration and commercialization will be developed so as to utilize research results to the benefit of society and to contribute to greater exchange of knowledge with external partners” (page 11). To implement that strategy, there is a <a href="#">Programme for External Collaboration (UFV 2015/735)</a> and an <a href="#">Action plan for External Collaboration 2016-2018 (UFV 2015/735)</a>.</p> <p>Development of new products, methods and commercialisation of research is vigorously supported by Uppsala University Innovation. UU Innovation is part of a strong innovation support network, including, among others, the business incubator Uppsala Innovation Centre.</p> <p>See also point 31.</p>	
9. Public engagement	+	<p><b>Relevant legislation</b> <a href="#">The Swedish Higher Education Act (1992:1434) Chapter 1, 2 and 2 §§</a></p> <p>The role of universities shall include conducting third stream activities and providing information about their operations, as well as taking actions to ensure that benefit is derived from research findings at the university. Communications Division support the researchers to inform about the research activities and results.</p> <p><b>Organisational regulation</b> <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> states that “Uppsala University is open to the outside world. Research is made</p>	



		<p>accessible and is put to good use. Education satisfies the needs of the individual and of society for training and professional knowledge. Active collaboration with the surrounding world contributes both to the development of education and research, and to achieving sustainable solutions to the challenges facing society” (page 3). The duties for researchers also include following developments in their own subject area and social development, which is also important for the work at the university. The employment also includes actively applying for external research funds, interacting with the surrounding community and administration.</p> <p>See also point 8.</p>	
10. Non discrimination	+	<p><b>Relevant legislation</b> <a href="#">The Discrimination Act (2008: 567)</a> The Act’s purpose is to counteract discrimination and in other ways promote equal rights and opportunities regardless of sex, gender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age. <b>The Discrimination Ombudsman</b> is a government agency that promote equal rights and opportunities and combat discrimination. <a href="http://www.do.se">www.do.se</a>.</p> <p>The Swedish Secretariat for Gender Research (Nationella Sekreteriatet för genusforskning) is a central actor in the area of gender research and gender equality since 1998, carrying out assignments on behalf of several national, Nordic and European actors. The secretariat is commissioned by the Swedish government to support all state funded higher education</p>	



		<p>institutions in their gender mainstreaming efforts 2016-2019. <a href="http://www.genus.se/en/about-us/our-assignments/gma/">http://www.genus.se/en/about-us/our-assignments/gma/</a></p> <p><b>Organisational regulation</b> In accordance with Swedish legislation Uppsala university has developed an “Equal Opportunities Programme” for gender equality and equal conditions. An action plan for equal opportunities can be found on <a href="#">Uppsala university’s website</a>.</p> <p>The University also has a plan for gender mainstreaming (<a href="#">UFV 2016/418</a>), stating that a gender perspective should be considered in all decision-making on all levels of the University.</p> <p>Each management representative is responsible to ensure that discrimination is eliminated and prevented.</p>	
11. Evaluation/ appraisal systems	+	<p><b>Relevant legislation</b> <b>The Swedish Research Council</b> (Sw. Vetenskapsrådet, <b>VR</b>) is an agency within the Ministry of Education and Research. It has a leading role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society. <a href="http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html">http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html</a></p> <p>VR conducts various types of evaluations of research, both evaluations of research topics and evaluations of government initiated research efforts, the latter more frequent.</p>	



		<p>Specific examples are the evaluations of the national Strategic Research Areas ('SFAs' and 'SFOs'). In some cases, evaluations are carried out during a (mid-term) investment and then the evaluation results are used for eventual reprogramming of appropriations. Focus of the evaluations are set on the scientific quality, though aspects such as strategic management at the university level and research impact may occur. Responsibility for the compliance with ethical guidelines rests with the beneficiary/academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort.</p> <p>Other examples include the evaluation of clinical research.</p> <p><a href="https://vr.se/omvetenskapsradet/alfkansliet/utvarderingar.4.41566e4915b6b1121051e7b4.html">https://vr.se/omvetenskapsradet/alfkansliet/utvarderingar.4.41566e4915b6b1121051e7b4.html</a></p> <p><a href="#">Ordinance (2007: 603) on Internal Control</a></p> <p><a href="#">Internal Audit Ordinance (2006 : 1228 ), 1 and 2 §§</a></p> <p>The quality of education (including third-cycle education) is externally evaluated by the Swedish Higher Education Authority according to the National system for quality assurance of higher education.</p> <p><a href="http://english.uka.se/">http://english.uka.se/</a></p> <p><b>Organisational regulation</b> In January 2016 the Vice-Chancellor decided to launch a new university-wide research evaluation at Uppsala University – Quality and Renewal 2017 (Q&amp;R17). Previously, two research evaluations have been carried out at Uppsala University, one in 2007 (Q&amp;R07) and one in 2011 (Q&amp;R11), with the primary objective to evaluate the quality of research.</p>	
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		<p>The overall purpose of Q&amp;R17 is to analyze preconditions and processes for good quality and strategic renewal of research in order to generate increased awareness of aspects of the research environments that should be actively maintained and be further developed or changed. The research evaluation Q&amp;R17 is more enhancement-led than control-oriented. There is a special emphasis on strengthening quality-generating processes in the University's research environments and develop the culture of quality. Q&amp;R17 has thus a different focus than its predecessors, since both Q&amp;R07 and Q&amp;R11 primarily focused on research results (measuring-analyzing-rewarding).</p> <p><a href="http://www.uu.se/en/about-uu/quality/evaluation/evaluation-of-research/">http://www.uu.se/en/about-uu/quality/evaluation/evaluation-of-research/</a></p> <p>UU has recently launched a model for educational evaluation, including third-cycle education, which integrates ongoing quality assurance procedures and annual follow-ups with educational evaluations every six years to form a whole that supports and stimulates quality assurance and enhancement.</p> <p><a href="#">Uppsala University's Model for Educational Evaluations, UFV 2015/475</a></p>	
<p>Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. <b>In addition</b>, your organisation also needs to complete the checklist on <b>Open, Transparent and Merit-Based Recruitment</b> included below, which focuses on the operationalization of these principles.</p>			
12. Recruitment	+	<p><b>Relevant legislation</b>  <a href="#">The Instrument of Government</a>          The Instrument of Government Chapter 11, Section 9: "When making appointments to posts within the State administration, only objective</p>	



		<p>factors, such as merit and competence, shall be taken into account."</p> <p><a href="#">The Public Employment Act in Swedish (1994:260)</a> The Public Employment Act Section 4: "When making appointments only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist."</p> <p><a href="#">The Swedish Higher Education Act (1992:1434)</a></p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><b>Organisational regulation</b> <a href="#">Uppsala university goals and regulations</a></p> <ul style="list-style-type: none"><li>• Regulated and quality assured appointment procedures.</li><li>• Guidelines for recruiting teaching staff is available on website: <a href="#">Appointment Regulations for Uppsala University</a></li><li>• The recruitment process is standardised through routines and templates for advertising, recruitment and employment.</li></ul> <p>Action plan for equality and equal opportunities.</p> <p>See also point 10.</p> <p>The UU Action Plan for Equal Opportunities and the UU Gender Mainstreaming plan state that all members of recruitment groups should</p>	
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		be educated in recruitment on equal opportunities, i.e., non-discriminatory processes for recruitment on all levels.	
13. Recruitment (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> According to the Higher Education Ordinance (SFS 2010 : 1064 ) Chapter 2, § 2 , the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p> <p><a href="#">Employment Ordinance (SFS 1994:373)</a></p> <p><a href="#">The Freedom of the Press Act</a> <a href="#">Chapter 2. On the public nature of official documents</a></p> <p><a href="#">The Public Employment Act Section 4 Merits and competence</a></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><b>Organisational regulation</b> See also point 10 and 12.</p> <ul style="list-style-type: none"><li>• Guidelines for recruiting teaching staff available for the public on Uppsala University's <a href="#">website</a>.</li><li>• Recruitment process with standardised routines and templates for advertising always includes clear qualification requirements.</li><li>• Electronic recruitment system (Varbi)</li><li>• Anyone is entitled to request documents and applications from all recruitment processes, in accordance with Swedish legislation.</li><li>• Advertising all positions</li></ul>	



		<ul style="list-style-type: none"><li>• Action plan for equal opportunities</li><li>• UU Action plan for equal opportunities as well as Gender mainstreaming plan state that all members of recruitment groups should be educated in recruitment on equal opportunities, i.e., non-discriminatory processes for recruitment on all levels.</li></ul>	
14. Selection (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Swedish Higher Education Act (SFS 1992:1434)</a> <a href="#">The Higher Education Ordinance (SFS 1993:100)</a></p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• The composition of the employment committees/groups may vary among the different faculties and is regulated on the faculty level, experts and members should however always be evenly distributed in terms of gender in accordance with Swedish legislation.</li><li>• Students and PhD students are represented in accordance with Uppsala universities <a href="#">Arbetsordning</a> (Rules of procedure).</li><li>• External assessors review the applications for teaching positions, as regulated by <a href="#">Appointment Regulations for Uppsala University</a>.</li><li>• Quality assurance processes are continuously ongoing at several levels within the University. At Uppsala University we have methods for streamlining the administrative processes of recruitment.</li></ul>	
15. Transparency (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Swedish Higher Education Act (SFS 1992:1434)</a></p>	



		<p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> According to the Higher Education Ordinance (SFS 2010 : 1064 ) Chapter 2 , § 2 , the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p> <p><a href="#">Employment Ordinance (1994:373)</a></p> <p><a href="#">Public Access to Information and Secrecy Act (2009:400)</a></p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Recruitment process with standardised routines and templates for advertising always including clear qualification requirements and application guidelines.</li><li>• Anyone is entitled to request documents and applications from all recruitment processes, including expert assessment and decision protocol, in accordance with Swedish legislation</li><li>• All employment decisions are publicly available via Uppsala University's website.</li></ul>	
16. Judging merit (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Public Employment Act (SFS 1994:260) §4 Merits and competence</a></p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100)</a> chapter 4</p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Great freedom for applicants to refer to merits.</li></ul>	



		<ul style="list-style-type: none"><li>• External expert assessments include teaching and scientific skills as well as other skill, as defined in the announcement of the position in question.</li><li>• Procedure is regulated in <a href="#">Appointment Regulations for Uppsala university</a>. Detailed instructions for expert assessment are available at faculty level.</li></ul>	
17. Variations in the chronological order of CVs (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">Instrument of Government</a> Chapter 12 5§ and Civil Service Act(1994:260) 4§. For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise.</p> <p><a href="#">Employment Ordinance (1994:373)</a> 4-5 § Assessments grounds for employment.</p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• In accordance with Swedish legislation</li><li>• Great freedom for applicants to refer to merits</li></ul>	



18. Recognition of mobility experience (Code)	+/-	<p><b>Relevant legislation</b> <a href="#">Instrument of Government</a> Chapter 12 5§ and <a href="#">The Public Employment Act (1994:260)</a> 4§ For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. <a href="#">Employment Ordinance (1994:373)</a> 4-5 § Assessment grounds for employment 6-8 § Procedures for employment</p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• See under point 14 and 16.</li><li>• Guidelines for recruiting teaching staff.</li></ul>	The merit value of mobility needs to be recognised in relevant regulations.
19. Recognition of qualifications (Code)	+	<p><b>Relevant legislation</b> <a href="#">The Higher Education Ordinance (SFS 1993:100)</a> According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.</p> <p><a href="#">Instrument of Government</a> Chapter 12 5§ and <a href="#">The Public Employment Act (1994:260)</a> 4§ “For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise.”</p> <p><b>Organisational regulation</b></p>	



		<p>There are clear criteria for when and how assessments should be carried out. Recruitment committees use several different methods to verify non-documented qualifications (such as trial lectures and interviews).</p> <p>External assessors review the applications in accordance with guidelines given by the university.</p>	
20. Seniority (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Instrument of Government</a></p> <p><a href="#">The Public Employment Act in Swedish</a></p> <p><a href="#">The Swedish Higher Education Act (SFS: 1992: 1434)</a></p> <p><a href="#">Collective agreement for Post doc</a></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Action Plan for Equality and Equal Opportunities</li><li>• Appointments Procedure and Guidelines for recruitment of teachers</li><li>• In accordance with Swedish legislation (see also point 10).</li></ul>	
21. Postdoctoral appointments (Code)	+	<p><b>Relevant legislation</b></p> <p><a href="#">Employment Protection Act 1982:80 (LAS) § 5</a></p> <p><a href="#">Employment Protection Act in Swedish</a></p> <p><a href="#">Collective agreement for Post doc positions</a></p>	





		<b>Organisational regulation</b> <ul style="list-style-type: none"><li>• Post-doctoral appointments are regulated in the collective agreement</li><li>• Recruitment process with standardised routines and templates for advertising always includes clear qualification requirements, project description, duties and length of employment.</li></ul>	
Working Conditions and Social Security			
22. . Recognition of the profession	+	<b>Relevant legislation</b> <a href="#">The Swedish Higher Education Act 1992:1434 chapter 1, §6 and chapter 2 §6.</a>  <a href="#">Collective agreement “Villkorsavtal”</a>  <b>Organisational regulation</b> Terms of employment follow Swedish legislation and exist for all levels of employment. Since PhD students are employed, these terms of employment are a natural part for all forms of employment at Uppsala university.	
23. Research environment	+	<b>Relevant legislation</b> <a href="#">The Work Environment Act (SFS 1977:1160 The Work)</a>  <a href="#">The Work environment ordinance (SFS 1977:1166)</a>	



		<p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><a href="#">Social Insurance Act (SFS 2010:110)</a></p> <p><a href="#">Flammable and explosive goods act (SFS 2010:1011)</a></p> <p><a href="#">Flammable and explosive goods ordinance (SFS 2010:1075 )</a></p> <p><a href="#">Protection against accidents act (SFS 2003:778)</a></p> <p><a href="#">Protection against accidents ordinance (SFS 2003:789)</a></p> <p><a href="#">The Environmental Code (SFS 1988:808)</a></p> <p><a href="#">Parental leave act (SFS 1995:584)</a></p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Researchers' work environment is regulated by the Swedish Work environment act.</li><li>• Options for employees to carry out work include different research platforms and libraries.</li><li>• Q&amp;R17 was fully focused on evaluating and analysing the research environments and processes at Uppsala University. (Här kommer länk till Q&amp;R17 när den blir publik)</li></ul>	
24. Working conditions	+	<p><b>Relevant legislation</b></p> <p><a href="#">Work Environment Act (1977:1160)</a></p> <p>The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment</p>	



		<p><a href="#">Parental leave act (SFS 1995:584)</a></p> <p><a href="#">The Work environment ordinance (SFS 1977:1166)</a></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><a href="#">The Public Employment Act (1994:260)</a> - regulates the employment for most of those working in government service and in the municipality and county council.</p> <p><a href="#">Social Insurance Act (SFS 2010:110)</a></p> <p><a href="#">Flammable and explosive goods ordinance (SFS 2010:1075 )</a></p> <p><a href="#">Protection against accidents ordinance (SFS 2003:789)</a></p> <p><a href="#">Protection against accidents act (SFS 2003:778)</a></p> <p><a href="#">Protection against accidents ordinance (SFS 2003:789)</a></p> <p><a href="#">The Environmental Code (SFS 1988:808)</a></p> <p><a href="#">Parental leave act (SFS 1995:584)</a></p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Action Plan for Equality and Equal Opportunities</li><li>• Collective agreement (Villkorsavtal)</li><li>• Fixed yearly working time</li></ul>	
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25. Stability and permanence of employment	+	<p><b>Relevant legislation</b></p> <p><a href="#">Employment Protection Act (SFS 1982:80)</a></p> <p>Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below:</p> <ul style="list-style-type: none"><li>• Probationary period, not exceeding six months</li><li>• General temporary-term ALVA (maximum two years)</li><li>• Substitute</li><li>• Seasonal work</li><li>• Employees from age 67</li></ul> <p>A new tenure track position is now included in the <a href="#">Higher Education Ordinance</a>.</p> <p><a href="#">Employment Regulation (1994:373)</a></p> <p><a href="#">Act 2002:293 prohibiting discrimination against part-time workers and workers with fixed-term contracts</a></p> <p><a href="#">Regulation of higher education (SFS 1993:100, chapter 4-5)</a></p> <p><a href="#">The Swedish Higher Education Act (1992:1434)</a></p> <p><a href="#">The Public Employment Act (1994:260)</a></p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Following Swedish legislation.</li><li>• After two years of temporary employments (ALVA) the employment becomes permanent.</li></ul>	
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26. Funding and salaries	+	<p><b>Relevant legislation</b></p> <p>National collective agreements exist between employers and the unions SACO - S and OFR / S, P, O. that ensures researchers receive a contractual salary and equitable social security provisions. <a href="https://www.arbetsgivarverket.se/avtal--skrifter/">https://www.arbetsgivarverket.se/avtal--skrifter/</a></p> <p>The Social insurance system is an important part of the Swedish security system. Swedish social insurance covers almost everyone who lives or works in Sweden. It provides financial protection for families and children, people with disabilities and illness, work injury and old age. For those not covered by the social insurance system, Uppsala University provides insurance through Kammarkollegiet. Through Sweden's membership in the EU, citizens have the right to social security benefits in other EU countries.</p> <p>Kammarkollegiet provides a national group insurance covering all foreign scientists doing research. <a href="http://www.kammarkollegiet.se/english/insurance">http://www.kammarkollegiet.se/english/insurance</a></p> <p><a href="#">Swedish Pensions Agency</a> The Pensions Agency's assignment is to administer and disburse the national pension, but also to provide both general and individual information about pensions.</p> <p>Possibility to unemployment benefits through <a href="#">National Employment Agency</a> and <a href="#">Unemployment Insurance Fund</a></p> <p><a href="#">The Swedish Employment Protection Act (1982:80)</a> – After two years of fixed-term employment, employees become permanent employees, with the exception of certain positions e.g. within artistic activities.</p>	
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		<p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• In accordance with Swedish legislation and collective agreement.</li><li>• PhD students are employed for at least four years and have salary and social benefits.</li><li>• Salary Analysis is conducted annually to ensure equal pay for women and men, but also to ensure that the salaries are not unduly biased.</li></ul>	
27. Gender balance	+/-	<p><b>Relevant legislation</b></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><a href="#">The Swedish Higher Education Act (SFS 1992:1434), Ch 1 §§ 5-6</a> The Higher Education Act states that higher education institutions should always observe and promote gender equality.</p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100), Ch 4 § 5</a> "If a group of individuals are to submit a proposal on the applicants to be considered for appointment to a teaching post, women and men shall be equally represented in the group. This does not apply, however, if there are extraordinary reasons to the contrary. Ordinance (2010:1064)". "For the appointment of a professor (including an adjunct professor) opinions on the expertise of the applicants shall be obtained, provided that this is not manifestly unnecessary for appraisal of their expertise. When the opinions of two or more persons are obtained, both men and women should be represented equally. This does not apply, however, if there are extraordinary reasons to the contrary. Ordinance (2010:1064)".</p> <p>The Swedish Secretariat for Gender Research (Nationella Sekretariatet för genusforskning) is a central actor in the area of gender research and</p>	<p>The activities proposed in the <i>Gender Mainstreaming Plan for 2017–2019</i> needs to be implemented.</p>



		<p>gender equality since 1998, carrying out assignments on behalf of several national, Nordic and European actors. The secretariat is commissioned by the Swedish government to support all state-funded higher education institutions in their gender mainstreaming efforts 2016-2019. <a href="http://www.genus.se/en/about-us/our-assignments/gma/">http://www.genus.se/en/about-us/our-assignments/gma/</a></p> <p><b>Organisational regulation</b> In <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> it is stated that “Uppsala University’s activities are characterized by equal opportunities. Basic principles of gender equality and the equal value of all people are applied so that staff and students are supported and encouraged to develop their capability to the full” (page 3).</p> <p>UU has worked for a long time to promote gender equality and equal opportunities. Today, an Equal Opportunities Advisory Board drafts strategic plans, proposes actions and analyses the annual follow-up of the University’s work on equal opportunities. That work is directed by the <a href="#">Uppsala University Equal Opportunities Programme (UFV 2014/455)</a>, <a href="#">the Action Plan for Equal Opportunities (UFV 2014/455)</a> and the in May 2017 adopted <a href="#">Gender Mainstreaming Plan for 2017–2019 (UFV 2016/418)</a>. Work is now focused on implementing the actions proposed in the gender mainstreaming plan.</p>	
28. Career development	+/-	<p><a href="#">The Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29</a></p> <p><b>Individual study plans Section 29</b> All doctoral students have their own individual study plan. The plan shall contain the undertakings made by the doctoral students and the higher</p>	<p>Need for improvement: 1. The support needs to be improved, accessible and coherent and be presented to everyone when the</p>



		<p>education institution, and a timetable for the doctoral student's study program. The plan shall be adopted after consultation with the doctoral student and his or her supervisors. The individual study plan shall be reviewed annually and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defense forces or an elected position in a trade union or student or parental leave. Ordinance (2010:1064).</p> <p><b>Organisational regulation</b> <a href="#">Guidelines for Third-cycle Education at Uppsala University (UFV 2009/1993)</a></p> <p>All employees at Uppsala University have the right to at least one yearly individual development dialogue with their immediate supervisor/manager. Moreover Uppsala University has a central unit - <a href="#">Office for Leadership and Organisational Development</a> (Kompetensforum) – that provides effective support to university employees. The unit embraces issues related to leadership, individual, group and organisational development. In particular, their academic leadership course contributes to the career development for independent junior researchers.</p> <p>Academic staff have the opportunity to apply for the title of associate professor (docent) and excellent teacher.</p> <p>A researcher appointed as senior lecturer has the right to apply for promotion to professor. Researchers appointed as lecturers and</p>	<p>employment starts, as well as on a structured website.</p> <ol style="list-style-type: none"><li>2. More coordination is needed between the different support functions.</li><li>3. Relevant information needs to be available in English.</li></ol>
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		<p>associate senior lecturers have the right to apply for promotion to senior lecturer.</p> <p>“Promotion may be requested only by teachers appointed by the University until further notice, who are active at the time of application, and by associate senior lecturers”. <a href="#">Appointment regulations, §46.</a></p> <p>All researchers appointed as associate senior lecturers are provided with the criteria (regarding e.g. research, independence, and teaching) by which they will be evaluated during their fourth year.</p> <p>All managers, directors, executives, etc., are offered courses on managerial support and duties. Teacher training, for example focused on undergraduate teaching or supervision of PhD students, is offered by the Unit for Academic Teaching and Learning.</p> <p>Junior faculty are offered career-building seminars and workshops (e.g. on writing grant applications and on recruitment) for researchers between PhD and senior lecturer level.</p>	
29. Value of mobility	+	<p><b>Relevant legislation</b></p> <p><a href="#">Act (1974: 981)</a> on employees’ rights to time off for studies (Study Leave Act)</p> <p><a href="#">Act (1997: 1293)</a> on the right to time off to conduct business <a href="#">Act (2008: 565)</a> on the right to leave in order to, because of illness, try another job</p> <p>Leave for employees in the governmental sector - for employees of authorities subordinated the government are special rules in <a href="#">Ordinance respecting Leave of Absence (1984:111)</a> and in collective agreements. Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad.</p>	



		<p><b>Organisational regulation</b></p> <ul style="list-style-type: none"> <li>In accordance with Swedish legislation.</li> </ul> <p>A unit within the HR Department – <a href="#">International Faculty and Staff Services</a> – is dedicated in supporting recruitment of foreign international staff and to facilitate mobility.</p> <p>Good conditions are in place, depending on the individual’s own decision. There is opportunity to take leave of absence, as regulated by the relevant legislation.</p>	
30. Access to career advice	+/-	<p><a href="#">The Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29</a></p> <p><b>Organisational regulation</b></p> <p><a href="#">Office for Leadership and Organisational Development</a> (Kompetensforum) – provides support to anyone working at Uppsala University, and the unit embraces issues related to leadership, individual, group and organizational development. This includes offering courses as well as individual career coaching.</p> <p>See also point 28.</p>	<p>Improve:</p> <ul style="list-style-type: none"> <li>- Career planning for PhD students, postdocs and junior researchers</li> <li>- Offer more courses for PhD students, postdocs and junior researchers, providing generic skills in project management, leadership, languages and career planning.</li> <li>- Internal communication regarding access to career advice (for example translate all course information regarding career development to English) and gather all information in one platform so that it can easily be found/accessed).</li> </ul>



31. Intellectual Property Rights	+	<p><b>Relevant legislation</b> <a href="#">Act ( 1949: 345) on the Right to Employee Inventions</a></p> <p><a href="#">The Swedish Higher Education Act (1992:1434 §3a)</a></p> <p><b>Please note;</b> "<i>Principles for handling intellectual property in research agreements</i>" (<i>Principer för immaterialrättslig hantering i forskningsavtal</i>) by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutions.</p> <p><b>Organisational regulation</b> Employees of UU are covered by the ‘professor’s privilege’ (also known as the Teachers exemption), which means that they own the results of their research. The Legal Affairs Division of the University Administration provides a checklist for research contracts, in which intellectual property rights are covered extensively. The checklist is published on UU:s internal website, accessible by all academic staff.</p> <p>On the internal website there are also instructions on open access-publishing. Research results are made available in open access channels, wherever possible. UU’s system for digital publishing, DiVA (Academic Archive Online), also facilitates open access publishing.</p> <p>See also point 6.</p>	
32. Co-authorship	+	<p><b>Relevant legislation</b> There is no Swedish legislation regarding co-authorship in research. Though, as a response to the recommendation of the European Commission, April 2008, on the management of intellectual property in</p>	



		<p>knowledge transfer activities and Code of Conduct for universities and other public research organisations, the Association of Swedish Higher Education has developed "Principles for handling intellectual property in research agreements" (Principer för immaterialrättslig hantering i forskningsavtal) which is recommended as praxis for Swedish Higher Education Institutions.</p> <p>The Swedish Research Council provides guidelines for <a href="#">Good Research Practice</a>.</p> <p>Rules and guidelines: <a href="#">Codex</a></p> <p><b>Organisational regulation</b> Prioritised and encouraged at Uppsala University. Most research collaborations increase the opportunity to obtain financing when published with co-authorship. There are significant differences between different subject traditions.</p>	
33. Teaching	+	<p><b>Relevant legislation</b> Relevant legislation <a href="#">The Higher Education Ordinance, Chapter 5, Section 2</a></p> <p><b>Organisational regulation</b> In accordance with Swedish legislation, those appointed as PhD students shall primarily devote themselves to their studies. However, they may work to a limited extent with educational tasks and administration. Duties of this kind may not comprise more than 20 per cent of a fulltime</p>	



		<p>post. When a PhD student has 20 per cent non-study tasks the doctoral training period is prolonged from four to five years.</p> <p>Local collective agreement regarding working hours for teaching personnel regulates the amount of time of teaching.</p> <p>All PhD students have access to a number of pedagogical training courses, which is mandatory for PhD students involved in teaching.</p>	
34. Complains/ appeals	+	<p><b>Relevant legislation</b></p> <p><a href="#">Work Environment Act (1977:1160)</a> The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment.</p> <p><a href="#">Systematic work environment management (AFS 2001:1) regulations</a></p> <p><a href="#">Organisational and social working environment (AFS 2015:4)</a></p> <p><a href="#">Discrimination Act (SFS 2008:567)</a></p> <p><a href="#">Act (1976: 580)</a> on Co-Determination at Work (MBL) regulates collective labour law. Its name refers to the Act's objective to promote the employees participation of working conditions and management.</p> <p><b>Organisational regulation</b></p> <ul style="list-style-type: none"><li>• Established procedures for conflict management, victimisation and systematic work environment management.</li><li>• Students are represented in disciplinary boards.</li><li>• Employee organisations.</li><li>• Central HR Division provides support</li><li>• All PhD students have access to support from Directors of Doctoral studies</li></ul>	



<p>35. Participation in decision-making bodies</p>	<p>+/-</p>	<p><b>Relevant legislation</b>  <a href="#">The Swedish Higher Education Act 1992:1434 chapter 2 §6.</a></p> <p><a href="#">The Higher Education Ordinance (SFS 1993:100) Chapter 2, §7a</a></p> <p><b>Organisational regulation</b>  It is stated in <a href="#">Uppsala University: mission and core values (UFV 2013/110)</a> that all staff and students “will be given incentives to undertake governance and management duties, to stand for elected office, and to increase their competence through education and training in cooperation and leadership” (principle 9).</p> <p>Collegially elected governing bodies, at the department, faculty /disciplinary domain and university level, govern UU. Academic staff are eligible for election, and encouraged to participate. The students, including PhD students, have the right to be represented in all elected governing bodies at the University. This structure is regulated in <a href="#">Arbetsordning för Uppsala universitet (UFV 2015/1342)</a>, which, regrettably, is not yet translated into English.</p> <p>Gender balance is sought in governing bodies, in accordance with the <a href="#">Action Plan for Equal Opportunities</a> and <a href="#">Gender Mainstreaming Plan</a>.</p>	<p>The <i>Arbetsordning för Uppsala universitet (UFV 2015/1342)</i> needs to be translated into English.</p>
<p>Training and Development</p>			



36. Relation with supervisors	+	<p><b>Relevant legislation</b></p> <p><a href="#">The Higher Education Ordinance</a>, Chapter 6, section 28. At least two supervisors shall be appointed for each PhD student. One of them shall be nominated as the principal supervisor. The PhD student is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A PhD student who so requests shall be allowed to change supervisor. Ordinance 2010:1064.</p> <p><b>Organisational regulation</b></p> <p><a href="#">Guidelines for Third-cycle Education at Uppsala University</a> (UFV 2009/1993)</p> <p>The individual study plan for each PhD student include the University's and PhD student's commitments and a schedule for the education. The plan will be decided upon consultation with the PhD student and the supervisor. The individual study plan is regularly updated, at least once per year, and approved by the head of department. Supervisors are required to take a course in PhD student supervision.</p> <p>All PhD students have access to support from Directors of Doctoral studies.</p> <p>Both student- and PhD-student representatives in Uppsala University's Managerial Board (Ledningsrådet) and at Faculty Board meetings</p>	
37. Supervision and managerial duties	+/-	<p><b>Organisational regulation</b></p> <p><a href="#">Guidelines for Third-cycle Education at Uppsala University</a> (UFV 2009/1993)</p>	



		<p>Professional supervisor and managerial training is done by Uppsala University's <a href="#">Office for Leadership and Organisational Development</a> (Kompetensforum) Individual study plan.</p> <p>Gender balance in the supervision group is sought in accordance with the Action Plan for Equal Opportunities and Gender Mainstreaming Plan.</p> <p>A number of support structures are available at the faculty and department level to provide high quality supervision.</p>	
38. Continuing Professional Development	-	<p><b>Relevant legislation</b> <a href="#">The Higher Education Ordinance (SFS 1993:100)</a>, Chapter 6, §29</p> <p><b>Organisational regulations</b> Development discussions.</p> <p>Individual development plan.</p> <p>See point 28.</p>	<p>Improve:</p> <ul style="list-style-type: none"> <li>- Career planning for academic staff</li> <li>- Offer more courses for academic staff that provide generic skills in project management, leadership, languages and career planning.</li> <li>- Internal communication regarding access to professional development.</li> </ul>
39. Access to research training and continuous development	-/+	<p><b>Relevant legislation</b> <a href="#">The Higher Education Ordinance (SFS 1993:100)</a>, Chapter 6, §29</p>	<p>Improve:</p> <ul style="list-style-type: none"> <li>- Career planning for academic staff</li> <li>- Offer more courses for academic staff that provides generic skills in</li> </ul>





		<p><b>Organisational regulation</b></p> <p>Supervisor training.</p> <p>Development discussions.</p> <p>Individual development plan discussed with immediate supervisor/manager. Opportunity to and funding for travelling and visiting conferences exist and is supported.</p> <p>See also point 28.</p>	<p>project management, leadership and career planning.</p> <p>- Internal communication regarding access to professional development.</p>
40. Supervision	+	<p><b>Relevant legislation</b></p> <p>The Higher Education Ordinance (SFS 1993:100) Chapter 6, section 28 At least two supervisors shall be appointed for each PhD student. One of them shall be nominated as the principal supervisor. The PhD student is entitled to supervision during his or her studies unless the Vice-Chancellor has decided otherwise by virtue of Section 30. A PhD student who so requests shall be allowed to change supervisor.</p> <p><b>Organisational regulation</b></p> <p><a href="#">Guidelines for Third-cycle Education at Uppsala University (UFV 2009/1993)</a></p> <p>See also point 36 and 37.</p>	
Any additional issues			



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## Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list<sup>2</sup>

### OTM-R checklist for organisations

	Open	Trans- parent	Merit- based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++	<a href="#">Appointment Regulations, Uppsala university</a>
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	Internal website; <a href="#">Recruit and employ, from A to Ö</a> .
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	Introductions, transfer of knowledge, strict processes in accordance to law, etc.
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	++	Web-based tool for (all) the stages in the recruitment process. <a href="#">Vacancies at Uppsala University</a> .
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	Internal Audit, National Audit
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	Trend in the share of applicants from outside the organisation
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	Trend in the share of applicants from abroad. See also Uppsala University's diversity report; <a href="#">mångfaldsrapporten</a>

<sup>2</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>



8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	Trend in the share of applicants among underrepresented groups. See also Uppsala University's diversity report; <a href="#">mångfaldsrapporten</a>
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	Trend in the share of applicants from outside the organisation
10. Do we have means to monitor whether the most suitable researchers apply?	x	x	x	++	Faculty Boards Expert advisers Recruitment groups
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x	x	++	<a href="#">Vacancies at Uppsala University</a>
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [see Chapter 4.4.1 a) of the OTM-R expert report <sup>3</sup> ]	x	x	x	++	Information from adverts.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x	x	++	- The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad
14. Do we make use of other job advertising tools?	x	x	x	++	Statistics on published adverts
15. Do we keep the administrative burden to a minimum for the candidate? [see Chapter 4.4.1 b) <sup>45</sup> ]	x	x	x	++	General use of career portfolios. Information from adverts.
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees? [see Chapter 4.4.2 a) <sup>45</sup> ]	x	x	x	++	Statistics on the composition of panels. <a href="#">Arbetsordning för Uppsala universitet (UFV 2015/1342)</a> .
17. Do we have clear rules concerning the composition of selection committees?	x	x	x	++	Written guidelines.
18. Are the committees sufficiently gender-balanced?	x	x	x	++	Statistics on the composition of panels.

<sup>3</sup> <http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies>



19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?	x	x	x	++	Written guidelines.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?	x	x	x	++	Email.
21. Do we provide adequate feedback to interviewees?	x	x	x	++	Email, decision protocols.
22. Do we have an appropriate complaints mechanism in place?	x	x	x	++	Statistics on complaints.
<b>Overall assessment</b>					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?	x	x	x	++	Internal Audit, National Audit.